

**SAN JOAQUIN VALLEY
AIR POLLUTION CONTROL DISTRICT**

LOW DUST NUT HARVESTER REPLACEMENT PROGRAM

LOW DUST NUT HARVESTER / EQUIPMENT REPLACEMENT 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 nut harvesters (equipment) with new, low dust replacement equipment, 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
Strategies and Incentives Department
1990 East Gettysburg Avenue
Fresno, CA 93726-0244**

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

(559) 230-5800
grants@valleyair.org
www.valleyair.org

PROGRAM REQUIREMENTS

❖ General Information and Eligibility Criteria:

- The SJVAPCD Low Dust Nut Harvester Replacement Program is **not** a co-funding program. You are not eligible to participate in the SJVAPCD's program if you are currently under contract to receive funding from any other local, state, or federal agencies for the equipment you intend to submit an application for.
- **Eligible Equipment:** Low dust harvesting equipment achieving at least 40% reduction in particulate matter emissions as demonstrated by available peer-reviewed information and/or District-approved methodology. The list of eligible equipment is attached for reference.
- **Incentive Amount:** The incentive amount has been established at 75% of eligible equipment costs. Eligible Self-Propelled and Pull-Behind PTO harvesters are subject to a maximum incentive of \$250,000 per unit, while eligible Shaker/Sweeper Combination units are not subject to a maximum incentive.
- Funding is limited to a maximum of five pieces of equipment per applicant.
- Submission of a program application **does not** guarantee funding.

❖ There are four (4) options to choose from if you would like to take advantage of this program

1. Replace an old PTO-driven pull behind nut harvester with a new low dust PTO-driven harvester.
 - a. Participant will be required to utilize a tractor equipped with a Tier 4 Final or cleaner engine to pull the harvester for the life of the project.
 - b. If you do not currently own a tractor equipped with a Tier 4 Final or cleaner engine to pull the new harvester and wish to purchase a new low dust PTO-driven harvester, you may replace your older (Tier 2 or dirtier) tractor through the District's Tractor Replacement Program. Please note that Tier 3 equipment is ineligible for replacement at this point in time.
 - i. Please fill out an Ag Tractor Replacement application and submit it along with this application. This application can be found here:
<http://valleyair.org/grants/tractorreplacement.htm>
2. Replace an old self-propelled nut harvester with a new, low dust self-propelled nut harvester.
3. Replace an old PTO-driven pull behind nut harvester and a tractor that has a tier 2 or older engine with a new, low dust self-propelled nut harvester. For this option, participant will be required to destroy or render permanently inoperable the existing tractor and the PTO-driven harvester in accordance with established District criteria.
4. Replace an old self-propelled nut sweeper with a new, low dust shaker/sweeper combination unit. See the attached list of eligible equipment for reference.

❖ The **existing (old) equipment** must be:

- A pull behind or a self-propelled off-road agricultural nut harvester that is not a low dust verified model. If the old nut harvester is self-propelled it must have a compression-ignition (CI) engine greater than or equal to 25 horsepower.

- The self-propelled nut harvester and or ag tractor must have an uncontrolled (Tier 0), Tier 1, or Tier 2 engine. This must be documented in the application and will be verified through an inspection process conducted by SJVAPCD staff.
 - Owned and operated for the previous two (2) years. If selected for funding, the participant must submit supporting documentation (see page 6).
 - In operational condition at the time of application submission **and** SJVAPCD inspections. If selected for funding, the participant must submit documentation demonstrating that the old equipment has been in operational condition for the previous year (see page 6).
 - Must be destroyed or rendered permanently in-operable after the new equipment is placed into operation. Destruction of the old equipment must be performed by a participating dismantler contracted with the SJVAPCD. Participant is required to refer to “Payment Procedures” document for full destruction requirements.
- ❖ If the **new low dust nut harvester** is **self-propelled** it must:
- Have an engine meeting the most recent Model Year California emission standard.
 - Interim Tier 4 (interim Tier 4, Tier 4 Phase-Out, Tier 4 Phase-In/Alternate NOx) and Tier 4 Final engines participating in the averaging, banking and trading program that are certified to family emission limits (FELs) higher than the applicable emission standards, as designated on ARB’s Executive Order, are eligible to participate in the program. The appropriate emission factor for calculating emission reductions and cost-effectiveness shall be equivalent to the emission factors associated with the Tier 3 for engines 50 to 750 horsepower and Tier 2 for engines less than 50 horsepower or greater than 750 horsepower.
 - Interim Tier 4 and Tier 4 Final engines participating in the averaging, banking and trading program that are certified to FEL below the applicable emission standards, as designated on ARB’s Executive Order, are eligible to participate in the program. The appropriate emission factor for calculating emission reductions and cost-effectiveness shall be the emission factors associated with the applicable interim Tier 4, (interim Tier 4, Tier 4 Phase-Out, Tier 4 Phase-in/Alternate NOx) or Tier 4 Final emission standard.
 - For CI equipment, engines that are participating in the “Tier 4 Early Introduction Incentive for Engine Manufacturers” program, as detailed in California Code of Regulations, title 13, section 2423(b)(6), are eligible for funding provided that they are certified to the final Tier 4 emission standards. The ARB Executive Order for these engines indicates that the engines are certified under this provision. The emission rates for these engines used to determine cost-effectiveness shall be equivalent to the emission factors associated with Tier 3 engines.
 - Interim Tier 4 CI engines between 75 and 750 hp, certified to the Phase-In, Phase-Out, and Alternate NOx standards as detailed in California Code of Regulations, title 13, section 2423(b)(1)(B), are eligible for funding.
 - Equipment manufactured under the “Flexibility Provisions for Equipment Manufacturers”, as detailed in California Code of Regulations, title 13, section 2423(d)

are eligible for funding as replacement equipment, provided the equipment meets the Tier 3 or cleaner level. Eligible equipment produced under the flexibility provisions whose reference engine family is certified to an FEL are also subject to the provisions of section (1) or (2) above. Equipment manufactured under the “Flexibility Provisions for Equipment Manufacturers,” with an engine whose reference engine family meets a standard, Tier or FEL less stringent than Tier 3 standard (or Tier 2 standard for engines less than 50 horsepower or greater than 750 horsepower), are ineligible for funding.

- The certification emission standard and/or Tier designation for the engine must be determined from the Executive Order or United States Environmental Protection Agency Certificate of Conformity (for federally preempted engines) issued for that engine. ARB Executive Orders for off-road engines may be found at <http://www.arb.ca.gov/msprog/offroad/cert/cert.php>
- The new self-propelled low dust harvester must have less than 500 hours at the time of sale. Used equipment is eligible for funding as replacement equipment if it meets all criteria listed in the guidelines.
- Serve the same function and perform the same work equivalent to the old equipment (i.e. replacement of a PTO nut harvester with another PTO low dust nut harvester).
- Have only the minimum attachments normally sold with the original equipment as determined by SJVAPCD staff. Only eligible items will be considered for funding.
 - Implements or attachments on the new replacement equipment may be eligible for funding if the existing equipment was also similarly equipped, and the replacement equipment requires such implements or attachments to perform the same activities as the existing equipment. Such instances will be reviewed and approved on a case-by-case basis by the SJVAPCD.
- Have an operating hour meter to record annual usage in hours (if self-propelled).
- Be domiciled within the boundaries of the SJVAPCD (see page 13).
- Reside and operate one-hundred percent (100%) of the new replacement equipment’s annual hours within SJVAPCD boundaries (see page 13).
- Participant agrees to have the “Funded in part by the Valley Air District” sticker attached to the new replacement equipment (sticker will be provided and attached by a SJVAPCD inspector during the post-inspection prior to incentive reimbursement). Funding will not be dispersed if the aforementioned sticker is not attached and visible for the post-inspection pictures. See below for a picture of the 4”x5” sticker:



❖ The **Participant** must:

- **Not make purchase, make payments toward, and/or take possession of new equipment prior to receiving a fully executed contract from the SJVAPCD.**
- Remain the owner of the new equipment through the full term of the agreement.
 - If the new equipment is sold during the agreement term, then the new owner of the equipment 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 equipment ownership change prior to its sale.
- Maintain the replacement equipment in accordance with manufacturer specifications.
- Maintain replacement value insurance for the replacement equipment through the full term of the agreement.
- Purchase a minimum of a one-year or 1,600 hours power and drive train warranty for the self-propelled replacement equipment.
 - Warranty must cover parts and labor.
 - Documentation must be provided to the SJVAPCD when submitting a claim for reimbursement.
 - Warranty costs are not eligible for funding.
- Ensure the old equipment is destroyed or rendered permanently in-operable. Destruction must be performed by a participating dismantler contracted with the SJVAPCD. Refer to “Payment Procedures” document for full destruction requirements.
- Submit annual reports to the SJVAPCD through the full term of the agreement.
- Install and maintain an operational hour meter on the new self-propelled low dust harvester. Future annual hours of equipment operation for determining emission reductions must be based only on readings from an installed and fully operational hour meter.

- 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.
- If during the project life, the hour meter fails for any reason, the hour meter must be repaired or replaced as soon as possible at the owner's cost.

❖ **Ownership Documentation:**

- If selected for funding, provide ONE of the items from the following list showing ownership for the previous two (2) years (24 months):
 - Bill of Sale for the old equipment (preferred)
 - Tax depreciation logs
 - Property tax records
 - Equipment insurance records
 - Bank appraisals for the equipment
 - Maintenance/service records
 - General ledgers
 - Fuel records specific to the existing equipment that identify the equipment owner
 - Other documentation approved by the SJVAPCD and ARB on a case-by-case basis

❖ **Annual Usage Documentation:**

- If selected for funding, provide ONE of the following documents showing operational status of the old equipment for the previous one (1) year:
 - Revenue and usage records that identify operation, standby, and down hours for the existing equipment
 - Routine inspections which document the operating condition of the existing equipment (OSHA or workplace required)
 - Employee timesheets linked to specific equipment use
 - Preventative maintenance/service records tied to specific hours of equipment use
 - Repair work orders specific to the equipment
 - Other documentation approved by the SJVAPCD and ARB on a case-by-case basis

❖ **Equipment/Engines Ineligible** for funding:

- Equipment currently receiving funding to be replaced under any other local, state or federal programs including the NRCS EQIP Program.
- New replacement equipment engines that are compression ignition (CI) or diesel engines that:
 - Are participating in the averaging, banking, and trading program that are certified to family emission limits higher than the applicable emission standards, as designated on the ARB Executive Order.

- Are participating in the “Tier 4 Early Introduction Incentive for Engine Manufacturers” program. The ARB executive order for these engines reference that the engines are certified under this citation.
- Additional attachments that are not normally sold with the original equipment, as determined by the SJVAPCD.
- Warranty, setup, document preparation fees, and freight costs.
- Maintenance or repair costs. The participant is solely responsible for ensuring that the equipment is in operational condition throughout the agreement period.

APPLICATION PACKET 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.
- ❖ A copy of the following items must be submitted in order for the application packet to be deemed **complete**:
 - Completed Application, which includes:
 - If applicable, completed Third Party Information section
 - Completed and signed Certifications section with original signature
 - Completed and signed Disclosure of Funds Form
 - IRS Form W-9
 - Dated and itemized dealer quote for the new equipment

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

STEP-BY-STEP APPLICATION GUIDE

This section outlines the information requirements for each field of the application. If you need additional assistance, please contact the Strategies and Incentives Department and a staff member will assist you.

SECTION 1 – APPLICANT INFORMATION

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. - 5. Address

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

6. - 9. 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.

10. Have you applied to any other grant programs for any equipment in this project?

Check whether additional grant funding was applied for any equipment in this project other than grant funding through this program. If yes, please explain and provide the name of the agency.

SECTION 2-CONTACT INFORMATION

PRIMARY CONTACT INFORMATION**1. 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 this individual.

2. Title

The job title of the primary contact.

3. Phone Number

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

4. Fax Number

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

5. Alternate Contact Number

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

6. Email

The email address of the primary contact.

CONTRACT SIGNING AUTHORITY INFORMATION**7. 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.

8. Title

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

- 9. Phone Number**
The main phone number, including area code, for the primary contact.
- 10. Fax Number**
The fax number, including area code, for the primary contact.
- 11. Alternate Contact Number**
The alternate phone number, including area code, where the signing authority can be reached.
- 12. Email**
The email address of the signing authority.

SECTION 3 – EXISTING EQUIPMENT ACTIVITY INFORMATION

- 1. - 3. Equipment Address**
The physical location (street address, city, and zip code) where the equipment is domiciled.
- 4. Applicant Designated Fleet Number for Equipment**
If applicable, the number designated to the equipment by the applicant.
- 5. County of Operation**
Check all of the counties that the equipment operates in.
- 6. Equipment Type**
Indicate the type of the equipment: pull behind or self-propelled
- 7. Annual Operation if self-propelled**
The equipment's annual operation in hours. If the project is selected for funding, you may be required to submit documentation as specified on page 6 of this document.
- 8. Annual Acres Harvested**
Indicate the amount acres of nuts the current machine harvests
- 9. Have you owned and operated the equipment in California for the previous two (2) years?**
Check whether or not this equipment has been owned and operated for the previous two (2) years. If yes and if the project is selected for funding, you are required to submit documentation as specified on page 6 of this document. If no, the equipment is ineligible for funding.
- 10. Is this equipment operational?**
Check whether or not the equipment is currently operational. If yes and if the project is selected for funding, you are required to submit documentation as specified on page 6 of this document. Non-operational equipment are ineligible for funding. If no, the equipment is ineligible for funding. The equipment must be operational at the time of inspection.

SECTION 4 – EXISTING/OLD EQUIPMENT INFORMATION

1. - 2. Equipment Make and Model

Provide the make and model of the equipment. For example, Ford (manufacturer) FC215M (model).

3. Equipment Model Year

The OEM model year in which the equipment chassis was manufactured.

4. Equipment Identification Number

The Vehicle Identification Number (VIN) or Product Identification Number (PIN) listed on the equipment.

5. - 6. Engine Make and Model if self-propelled

Provide the make and model of the existing engine. For example, Cummins (make) 6BTA5.9C (model).

7. Engine Model Year if self-propelled

The year the engine model was manufactured.

8. Advertised Horsepower Rating if self-propelled

The advertised horsepower of the engine.

9. Engine Serial Number if self-propelled

The serial number listed on the engine.

10. US EPA Engine Family Name if self-propelled

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 if self-propelled

Check the appropriate tier designation of the engine. Only Uncontrolled (Tier 0), Tier 1, and Tier 2 engines are eligible for funding.

12. Fuel Type if self-propelled

Check the appropriate fuel type that is currently being used in the equipment. Gasoline or propane powered equipment are ineligible for funding.

SECTION 5 – NEW REPLACEMENT EQUIPMENT INFORMATION

1. - 2. Equipment Make and Model

Provide the make and model of the new equipment

3. Equipment Model Year

The year the equipment model was manufactured.

4. - 5. Engine Make and Model if self-propelled

Provide the make and model of the engine in the new equipment.

6. Engine Model Year if self-propelled

The year the engine model was manufactured

7. Fuel Type if self-propelled

Indicate the fuel type that will be used in the new equipment.

8. Advertised Horsepower Rating if self-propelled

The advertised horsepower rating of the new engine.

9. US EPA Engine Family Name if self-propelled

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.

10. Engine Tier if self-propelled

Check the tier level of the new engine. Must have a current model year emissions engine or best available technology.

11. Total Cost of New Equipment

The total cost of the new equipment per dealer's quote.

12. Tax Rate

Provide the county tax rate, as a percentage, for the new equipment per dealer's quote.

SECTION 6 – NEW REPLACEMENT EQUIPMENT DEALER INFORMATION

1. Dealership Name

The name of the business where you will be purchasing the new replacement equipment associated with this application.

2. - 5. Address

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

6. Contact Name

The first and last name of the person at the dealership the SJVAPCD can contact regarding the purchase of the new equipment.

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

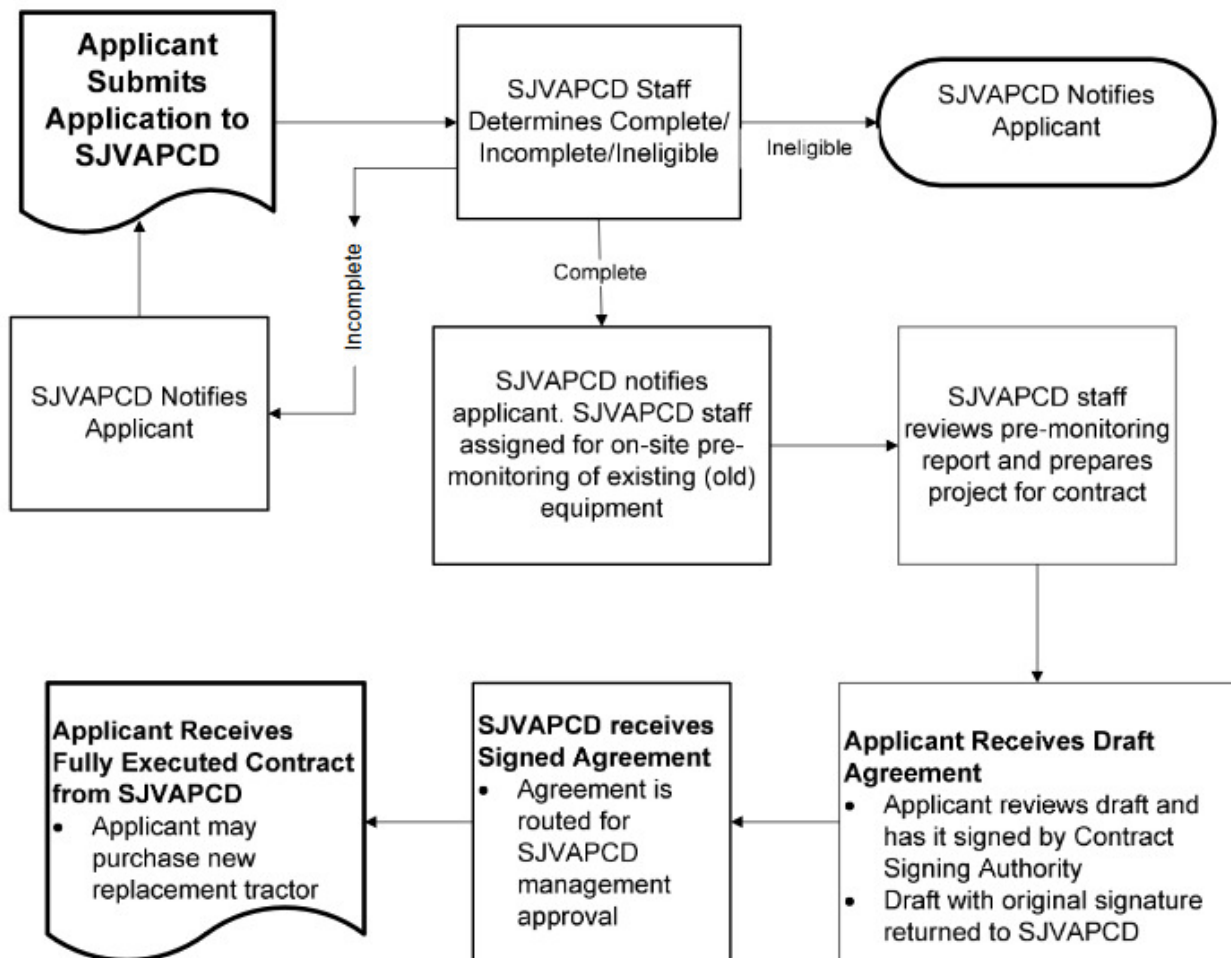
The email address of the contact person.

THIRD PARTY INFORMATION

- ❖ This section must be completed if any part of the application was filled out on your behalf by a third party.

APPLICATION PROCESS: STEP-BY-STEP FLOW CHART

The following is a step-by-step diagram of the entire application process, up to when a contract is awarded to the applicant. If you have any questions about the process, please feel free to contact program staff at (559) 230-5800



MAP OF THE SAN JOAQUIN VALLEY AIR POLLUTION CONTROL DISTRICT BOUNDARIES

