
National Clean Diesel Rebate Program, 2013 Construction Equipment Funding Opportunity Program Guide

National Clean Diesel Rebate Program, 2013 Construction Equipment Funding Opportunity Program Guide

Transportation and Climate Division
Office of Transportation and Air Quality
U.S. Environmental Protection Agency

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1. Introduction

The Environmental Protection Agency (EPA) is offering a 2013 Construction Equipment Funding Opportunity to reduce diesel emissions from existing fleets of nonroad construction equipment. The Diesel Emission Reduction Act program (DERA) was originally authorized by Title VII, Subtitle G (Sections 791 to 797) of the Energy Policy Act of 2005 (Public Law 109-58). DERA was amended by the Diesel Emissions Reduction Act of 2010 (Public Law 111-364), codified at 42 U.S.C. 16131 et seq, adding, among other provisions, a rebate program option. These provisions provide the Environmental Protection Agency with the authority to award rebates, competitive grants and low-cost revolving loans to eligible entities to fund the costs of a clean diesel strategy that significantly reduces diesel emissions from mobile sources through implementation of a certified engine configuration or verified technology. The objective of this program is to achieve significant reductions in diesel emissions in terms of tons of pollution produced and reductions in diesel emissions exposure, particularly from fleets operating in areas designated by the Administrator as poor air quality areas.

1.1 Rebate Program History

The National Clean Diesel Rebate Program was authorized by the Diesel Emissions Reduction Act of 2010. Through the National Clean Diesel Rebate Program, EPA will offer financial support to eligible applicants to reduce diesel emissions from a variety of mobile sources. EPA's first rebate program in 2012 focused on the replacement of school buses.

This second round of rebate funding, known as the 2013 Construction Equipment Funding Opportunity, will provide financial assistance to public and private construction equipment owners for engine replacements or diesel particulate filters on older construction equipment. EPA anticipates offering additional rebate opportunities in future years to retrofit, repower, or replace other types of diesel engines in various sectors. Future rebate funding opportunities will be based on program goals and available funding, among other factors.

1.2 Scope of Work

The 2013 Construction Equipment Funding Opportunity will provide rebate incentives to selected eligible applicants to either: 1) retrofit with a diesel particulate filter or 2) replace their nonroad construction equipment engine. See Section 2.2 for specific information on eligible equipment engines and Section 2.3 for technology options.

The project parameters for the 2013 Construction Equipment Funding Opportunity ensure that all projects that receive funding meet the DERA national priorities. The eligible projects maximize public health benefits, are cost-effective, serve areas that receive a disproportionate quantity of air pollution from diesel fleets, include a certified engine configuration, maximize the useful life of the certified engine configuration, and conserve diesel fuel.

In addition, the 2013 Construction Equipment Funding Opportunity supports EPA's 2011 – 2015 Strategic Plan that defines goals, objectives, and sub-objectives for protecting human health and the environment. Specifically, it supports Goal 1 (Take Action on Climate Change and Improve Air Quality) and Objective 1.2 (Improve Air Quality). Activities funded will reduce diesel

emissions from the existing fleet of construction equipment, thereby reducing local and regional air pollution.

This document describes the minimum criteria and requirements of the 2013 Construction Equipment Funding Opportunity.

2. Rebate Program Structure

2.1 Eligible Applicants

Eligible public sector applicants include regional, state, local, or tribal agencies or port authorities with jurisdiction over transportation or air quality. Municipalities, metropolitan planning organizations (MPOs), and counties are all eligible applicants for this rebate program to the extent that they fall within the definition above.

Private entities that operate nonroad construction equipment under a contract or lease with a public entity listed above are also eligible. If the applicant is a private entity, the applicant must certify on the Rebate Application that it has an existing and executed contract or lease to provide nonroad construction equipment to a specified public entity at the time of the rebate application.

2.2 Eligible Construction Equipment Engines

The eligible engines must meet **all** of the definitions and requirements listed below.

Nonroad Engine Definition

The EPA definition of the nonroad engine includes engines installed on: (1) self-propelled equipment; (2) equipment that is propelled while performing its function; or (3) equipment that is portable or transportable, as indicated by the presence of wheels, skids, carrying handles, dolly, trailer, or platform. In other words, nonroad engines are all internal combustion engines except motor vehicle (highway) engines, stationary engines (or engines that remain at one location for more than 12 months), engines used solely for competition, or engines used in aircraft.

Construction Definition

Eligible construction equipment, for the purpose of the 2013 Construction Equipment Funding Opportunity, is defined as nonroad (see above) equipment used in the creation or maintenance of transportation infrastructure, commercial and industrial projects, residential buildings, and heavy civil construction. The construction equipment must be diesel-powered and have a rated power between 130-450 kW or 174-603 horsepower. Examples include but are not limited to wheel or skid loaders, motor graders, and dozers.

Ownership and Annual Usage

At the time of application, the applicant must own and operate the equipment, for which funds are being requested. Equipment ownership must be documented by providing a copy of the original bill of sale, original invoice, or other documentation that demonstrates ownership of the equipment. The equipment must have operated for a minimum of 500 hours in the previous 12 months.

Location Requirement

The nonroad construction equipment must be located in one of the eligible counties in the List of Eligible Counties in Appendix A at the time of application and the 3 months prior to the application. Starting on the date of the rebate payment, following installation of the technology option, the equipment must operate in the application county for 12 months or 500 hours, whichever comes first. The term “eligible county” refers to the primary area where the equipment engines operate, or the primary area where the emissions benefits of the project will be realized. EPA may conduct audits up to 3 years after the rebate payment to ensure these conditions are met.

The counties listed in Appendix A were selected as eligible areas for the 2013 Construction Equipment Funding Opportunity based on data from a number of sources. The sources include counties:

- Designated as PM 2.5 or 8-Hr Ozone Nonattainment Areas or 8-Hr Ozone Maintenance Areas. Data is sourced from EPA’s Green Book of Nonattainment Areas for Criteria Pollutants.
 - www.epa.gov/oaqps001/greenbk/
- Where all or part of the population is exposed to more than 2.0 µg/m³ of diesel particulate matter emissions. Data is sourced from the 2005 National-Scale Air Toxics Assessment.
 - www.epa.gov/ttn/atw/nata2005/
- Accepted to participate in EPA’s Ozone Advance Program or PM Advance Program by Tuesday, November 19, 2013.
 - www.epa.gov/ozoneadvance/basic.html
 - www.epa.gov/ozoneadvance/basicPM.html

2.3 Technology Options

There are two options under this Funding Opportunity:

- 1) Retrofit devices for diesel-powered Tier 2 and Tier 3 emission standard nonroad construction engines;
- 2) Engine replacement for diesel-powered unregulated (Tier 0) and Tier 1 emissions standard nonroad construction engines.

See Table 1 (page 5) and Table 2 (page 6) for specific engine model years and rated power eligibility requirements.

The existing construction equipment must currently operate on diesel fuel, be in regular use, and in operational condition to qualify for funding. To be in regular use, construction equipment engines to be retrofitted or replaced must have accumulated at least 500 annual usage hours over the most recent 12 months. To be considered operational, the equipment must be able to start, have all operational parts in working order, and perform its intended function. If the equipment has more than one engine, all engines are eligible provided the engines on the application meet annual usage hours and rated power requirements.

EPA reserves the right to request maintenance logs or similar at any time during the rebate program process. Applicants are required to certify in the Rebate Application that the construction equipment listed meets these operational requirements.

2.3.1 Technology Option #1 - Engines Eligible for Retrofits with Diesel Particulate Filters

Tier 2 and Tier 3 emission standard nonroad construction engines with engine model years 2001-2010 and power rating of $225 \leq \text{kW} < 450$ ($301 \leq \text{hp} < 603$) are eligible for rebates on a Diesel Particulate Filter (DPF). EPA will pay for the full cost of the DPF, up to a maximum of \$30,000 per DPF.

Please refer to Table 1 and Appendix E to determine eligibility and available rebate amount.

Only verified Diesel Particulate Filters are eligible under this technology option. A list of eligible, EPA verified exhaust control technologies is available at: www.epa.gov/cleandiesel/verification/verif-list.htm; a list of eligible, California Air Resources Board (CARB) verified exhaust control technologies is available at: www.arb.ca.gov/diesel/verdev/vt/cvt.htm. Verified technologies proposed for funding under this category must be specifically named on one of these lists at the time of application to the rebate program, and must be used only for the vehicle application specified on the list.

If selected, applicants will have 45 days to confirm suitability for a DPF by data logging the proposed engine. This can be arranged with the Diesel Particulate Filter vendor. The results of the data logging must be sent to EPA within 45 days of the selection letter.

2.3.2 Technology Option #2 - Engines Eligible for Engine Replacement

Rated Power 130 – 225 kW or 174 - 301 horsepower

Unregulated (Tier 0) and Tier 1 emission standard nonroad construction engines with engine model years 1990-2002 and power rating between 130 – 225 kW ($174 \leq \text{hp} < 301$) are eligible for engine replacements to either Tier 2 or Tier 3 emission standard engines.

Rated Power 225 – 450 kW or 301 - 603 horsepower

Unregulated (Tier 0) and Tier 1 emission standard nonroad construction engines with engine model years 1990-2000 and power rating between 225 – 450 kW ($301 \leq \text{hp} < 603$) are eligible for engine replacements to either Tier 2 or Tier 3 emission standard engines.

Please refer to Table 2 and Appendix F to determine eligibility and available rebate amount.

The Rebate Application must show the pre- and post- project emission standard levels of the engines to be replaced. The replacement engine must be of the same horsepower or within 10% of the engine horsepower being replaced and operate in the same manner as the original engine. All replacement engines must meet Federal safety standards and required warranties. The applicant takes sole responsibility for ensuring the replacement engine is in operational condition.

Following installation of the replacement engine, the original engine must be scrapped by drilling a hole through the engine block and at least one cylinder. See Section 4.5 for specific engine scrappage requirements.

2.4 Available Funding and Selection Process

For the 2013 Construction Equipment Funding Opportunity, EPA anticipates having approximately \$2,000,000 for rebates, subject to availability of funds. Funding will not be provided for administrative expenses. EPA reserves the right to partially fund applications, reject all applications, and make no selections under this program, or to make fewer selections than anticipated.

Application selections will be determined by a random lottery. Once the lottery list is generated, EPA will apply the following criteria to the lottery list:

- Each of the 10 EPA Regions, with at least one eligible applicant, will have a selected applicant.
- It is anticipated that at least 50% of funds will be allocated to public construction equipment.

2.5 Amount of Rebate

Tables 1 and 2 specify the rebate amounts for eligible nonroad construction equipment engines.

**Table 1: Construction Equipment Rebate Program
Rebate Amount for Technology Option #1**

Original Emissions Tier	New Technology	Rated Power 130 ≤ kW < 225 174 ≤ hp < 301	Rated Power 225 ≤ kW < 450 301 ≤ hp < 603
Tier 2 or Tier 3	Diesel Particulate Filter	Not Eligible	\$30,000 Max (Eligible Engine Model Years 2001-2010)

**Table 2: Construction Equipment Rebate Program
Rebate Amount for Technology Option #2**

Original Emissions Tier	New Technology	Rated Power 130 ≤ kW < 225 174 ≤ hp < 301	Rated Power 225 ≤ kW < 450 301 ≤ hp < 603
Unregulated (Tier 0) or Tier 1	Engine Replacement to Tier 2	\$12,000 (Eligible Engine Model Years: 1990-2002)	\$49,000 (Eligible Engine Model Years: 1990-2000)
Unregulated (Tier 0) or Tier 1	Engine Replacement to Tier 3	\$15,000 (Eligible Engine Model Years: 1990-2002)	\$69,000 (Eligible Engine Model Years: 1990-2000)

2.6 Maximum Number of Engines per Applicant

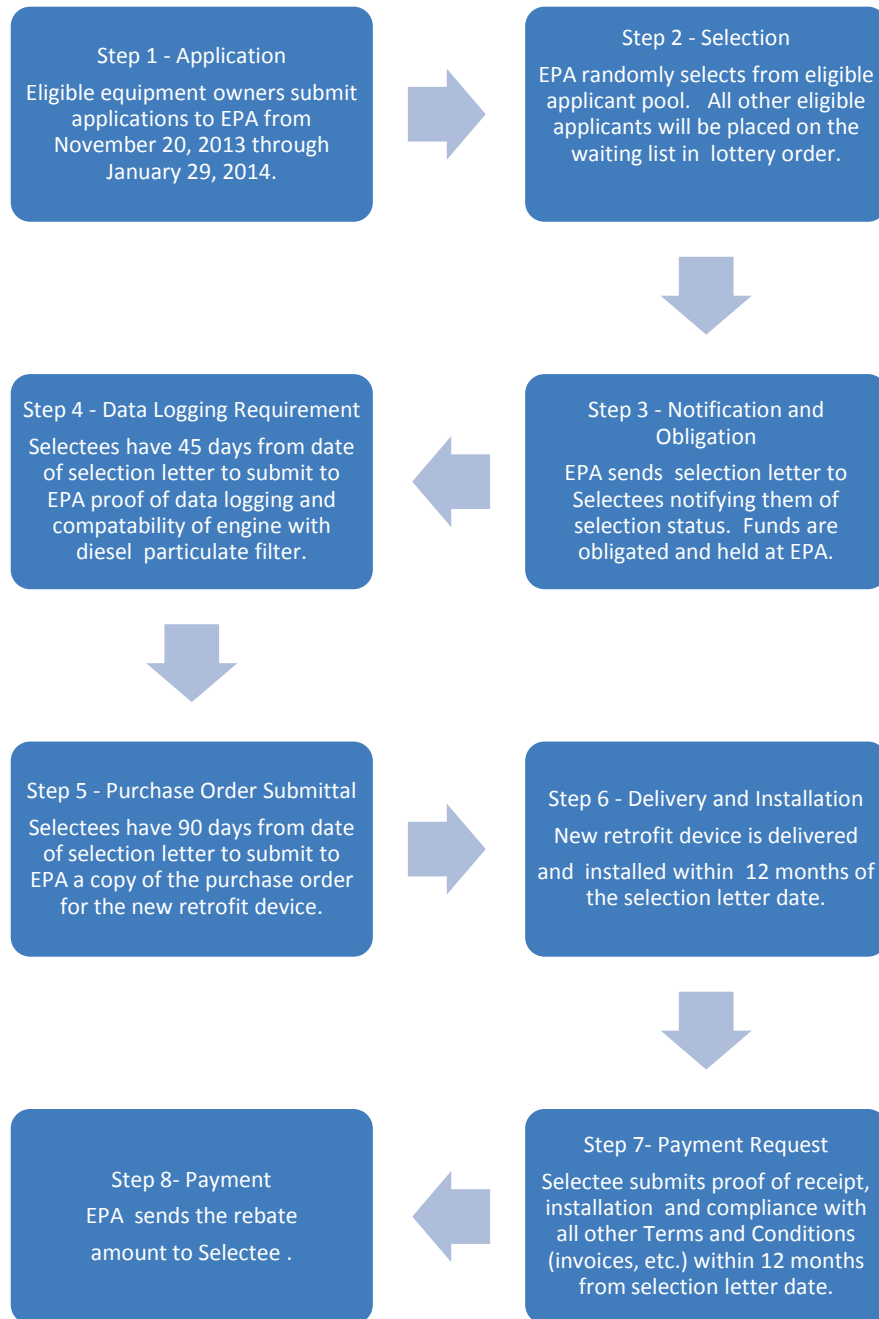
Applicants may submit only one Rebate Application that includes up to five eligible nonroad construction equipment engines. The five engines can be any combination of the options shown in the above tables for a total maximum of \$120,000 in rebate funding. Applications can include both technology options on the same application, i.e., an applicant could apply for DPF and a replacement engine on the same application.

3. Rebate Process for Technology Option #1 - Retrofit with a Diesel Particulate Filter

The 2013 Construction Equipment Funding Opportunity for Technology Option # 1 consists of the following eight steps, as illustrated in Figure 1. Details of the requirements for each step are described in Sections 3.1 – 3.9 below.

- Step 1 – Application Submission
- Step 2 – Selection of Participants
- Step 3 – Notification of Selectees
- Step 4 – Data Logging Results Submittal
- Step 5 – Purchase Order Submittal
- Step 6 – Delivery and Installation
- Step 7 – Payment Request
- Step 8 – Payment

Figure 1 – Rebate Program Flow Chart for Technology Option # 1 – Retrofit with a Diesel Particulate Filter



3.1 Step 1 - Application

All applicants must submit a Rebate Application (EPA Form 5600-260) and required supporting documentation to EPA by Wednesday, January 29, 2014, 4:00 pm EST. The application may be downloaded from www.epa.gov/cleandiesel/documents/2013-clean-diesel-rebate-application.pdf as a fillable Portable Document File (PDF). See Appendix B for a sample Rebate Application.

You must have Adobe Reader to open and fill in the fields of this form. For more information about PDFs, please see www.epa.gov/epahome/pdf.html.

Email the completed Rebate Application, along with a scanned copy of the equipment's original bill of sale, invoice or other ownership documentation to CleanDieselRebate@epa.gov. Include the subject line: **DERA Construction Equipment Rebate Application: [your organization's name]**. If the applicant does not have access to email, please call 202-343-9231 for assistance.

The Rebate Application includes identifying information such as organization name, address, Dun and Bradstreet (DUNS) number, Employer ID Number (EIN), and the name of the organization's Authorized Representative, who is able to sign on behalf of the applicant organization. If an applicant does not have a DUNS or EIN, they must obtain one prior to applying for a rebate. An organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the rebate form. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711, or visiting the D&B website at: www.dnb.com.

Applicants must also be registered in the System for Award Management (SAM), prior to submitting an application (previously known as the Central Contractor Registration). Information can be found at www.sam.gov.

The Rebate Application requires applicants to supply the following information related to each of the construction equipment engines to be retrofitted.

- 1) Equipment Type
- 2) Technology Option and Emission Standard Tier
- 3) Engine Serial Number (see Appendix D)
- 4) Engine Family Name (see Appendix D)
- 5) Engine Model Year (see Appendix D)
- 6) Gallons of Diesel Used in Last 12 Months
- 7) Hours of Use Last 12 Months
- 8) Horsepower
- 9) Location of operation of the construction equipment (County and State)
- 10) Rebate Amount (See Section 2.5 and Appendix E for eligible rebate amounts)

The engine model year of the existing equipment's engine must be between 2001 and 2010, as described in Section 2.3.1 and Table 1. See Appendix D for additional assistance with determining the engine serial number, engine model year, or engine family name.

A copy of the equipment's original bill of sale, invoice, or other documentation that proves ownership must be submitted with the application. See Section 2.2 for additional information.

Annual usage hours should be obtained from maintenance logs or other recordkeeping information. By signing the Rebate Application, applicants are certifying that the engine serial number, engine model year, engine family name, horsepower, annual usage hours, and fuel usage

reported are true to the best of their knowledge. EPA reserves the right to request copies of documentation, such as activity logs, to verify the above information.

EPA may contact an applicant to clarify any information provided by that applicant.

3.2 Step 2 - Selection

All applications that are received by EPA by **Wednesday, January 29, 2014, 4:00 pm EST**, will be assigned a unique identification number, and applicants will be selected through a random number generator. Once the lottery list is generated, EPA will apply the following criteria to the lottery list:

- Each of the 10 EPA Regions, with at least one eligible applicant, will have a selected applicant.
- It is anticipated that at least 50% of funds will be allocated to public construction equipment.

Eligible applicants who are selected (Selectees) will move on to Step 3 in the Rebate Process. All other applicants will remain in lottery number order on the wait list. If a Selectee does not complete the remaining required steps in the rebate process within the required timeframe (described in Steps 3 – 8 below), that Selectee will be removed from the program and the next applicant on the wait list will be selected for participation.

Both the Selectee List and the Applicant Wait List will be posted at www.epa.gov/cleandiesel/dera-rebate-construction.htm

3.3 Step 3 – Notification and Obligation

EPA will notify Selectees and those applicants that are on the wait list within 30 days of the application submittal deadline. Each Selectee will be assigned an EPA Rebate Contact person for the duration of the Rebate Program. Once Selectees receive the selection letter from EPA, they may purchase the eligible DPFs and complete Steps 4 – 8 below.

3.4 Step 4 – Data Logging Results Submittal

The Selectee will have 45 days to confirm suitability for a DPF by data logging the proposed engine for two weeks. This can be arranged with the Diesel Particulate Filter vendor. The Selectee must submit the results of the data logging process to their Rebate Contact within 45 days of the Selection Letter.

3.5 Step 5 – Purchase Order Submittal

A copy of the purchase order for the new DPF must be submitted to EPA within 90 days of date of the Selection Letter. The date of the purchase order cannot pre-date the date of the Selection Letter. The proof of purchase may be a procurement request, purchase order, or any other document that clearly shows a transaction being initiated between the applicant and a retrofit vendor for the purchase of an eligible DPF.

Proof of purchase must be on official vendor or purchaser letterhead and include the following information for each piece of equipment: (1) purchaser name, address, and phone number; (2) vendor name, address, and phone number; (3) diesel particulate filter model, manufacturer and

purchase price; (4) diesel particulate filter purchase date; (5) delivery date(s), predetermined and agreed upon by both vendor and purchaser. Selectees that submit false or misleading information may be barred from future participation in DERA and other federal funding programs or may face other penalties.

The proof of purchase document should be scanned and saved in PDF format and emailed to: your assigned EPA Rebate Contact and CleanDieselRebate@epa.gov. Include the subject line: **DERA Construction Equipment Proof of Purchase: [your organization's name]**.

3.6 Step 6 – Diesel Particulate Filter Delivery and Installation

Selectees must take delivery and install the new DPF within 12 months of the date of the Selection Letter and prior to submitting the Payment Request to EPA. New DPFs and retrofitted engines must meet the requirements described in Section 2.3.1.

3.7 Step 7 - Request for Payment

Selectees may request reimbursement from EPA by submitting a Payment Request, a copy of the invoice, and a copy of the bill of lading (proof of delivery) for the new DPF. The invoice or the bill of lading should include the following information: Manufacturer and Model of the DPF, Engine Model Year, Engine Manufacturer, Engine Family Name, and DPF cost. The Payment Request Form also requires Selectees to provide detailed information on the retrofitted engine and DPF, such as the Manufacturer and Model of the DPF, Engine Model Year, Engine Manufacturer, Engine Family Name, and DPF cost. The Payment Request must be submitted to EPA no later than 12 months after the date of the Selection Letter (see Section 3.3 for information about the Selection Letter).

To request reimbursement, email the completed Payment Request, a copy of the DPF invoice, and a copy of the bill of lading (in PDF format) as attachments to your assigned EPA Rebate Contact and CleanDieselRebate@epa.gov. Include the subject line: **DERA Construction Equipment Payment Request: [your organization's name]**.

3.8 Step 8 - Payment

Once EPA has received and approved the Selectee's Payment Request and supporting documentation, EPA will issue the rebate funds electronically to the Selectee. EPA anticipates that payment will be issued to the Selectee within approximately 10 business days from the receipt of the complete payment request package.

3.9 Cancellation of Rebate Application

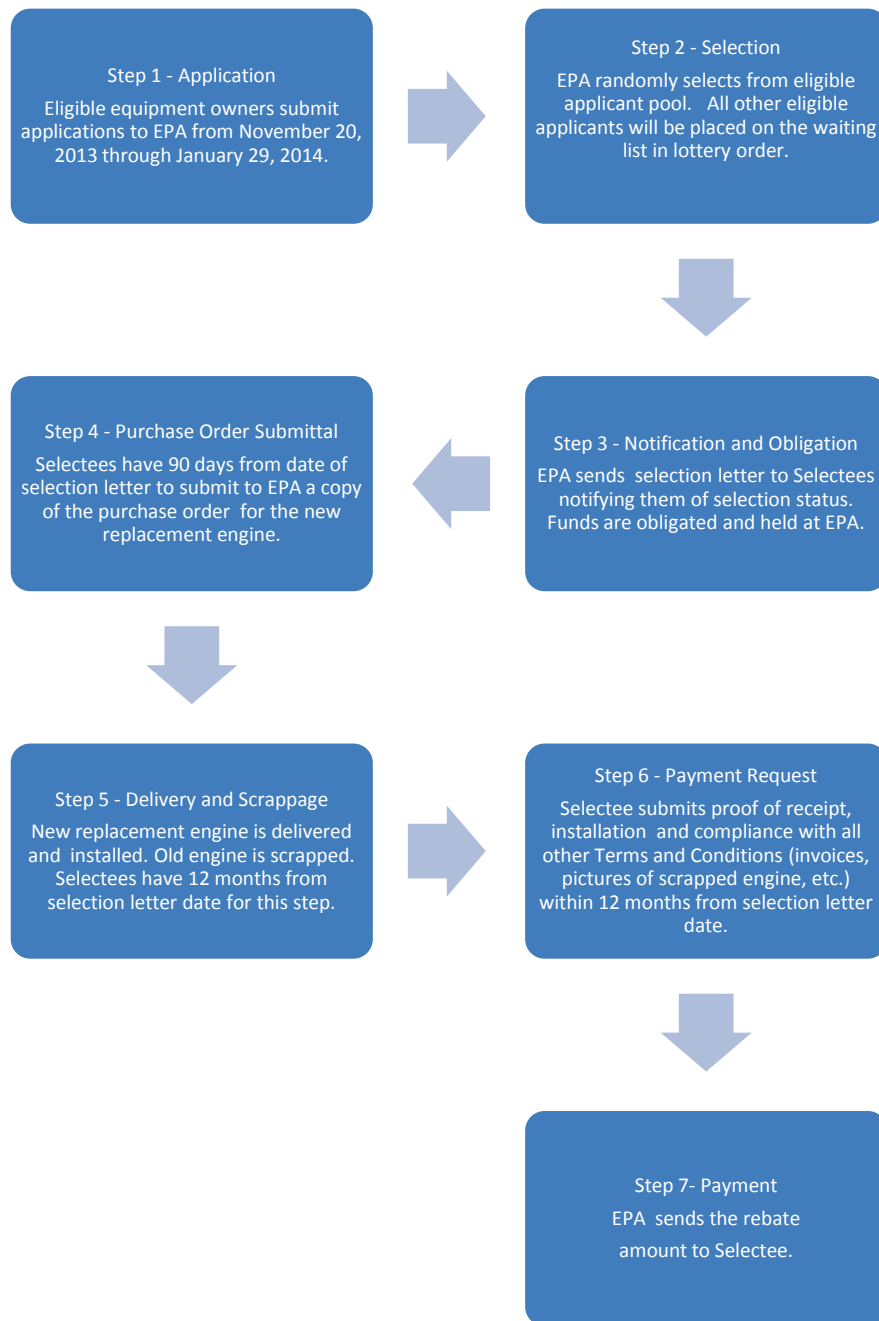
If a Selectee fails to submit all of the required forms and other documents by the deadlines established in Section 3.4, 3.5, and 3.7, the rebate application will be cancelled and any reserved funds will be offered to the next eligible applicant on the waiting list. EPA will notify the Selectee prior to cancelling any reserved funds.

4. Rebate Process for Technology Option # 2 - Replacement Engine to Tier 2 or Tier 3 Emission Standard Engine

The 2013 Construction Equipment Funding Opportunity consists of the following seven steps, as illustrated in Figure 2. Details of the requirements for each step are described in Sections 4.1 – 4.8 below.

- Step 1 – Application Submission
- Step 2 – Selection of Participants
- Step 3 – Notification of Selectees
- Step 4 – Purchase Order Submittal
- Step 5 – Delivery and Scrappage
- Step 6 – Payment Request
- Step 7 – Payment

Figure 2 – Rebate Program Flow Chart for Technology Option # 2 – Replacement Engine to Tier 2 or Tier 3 Emission Standard Engine



4.1 Step 1 - Application

All applicants must submit a Rebate Application (EPA Form 5600-260) and required supporting documentation to EPA by Wednesday, January 29, 2014, 4:00 pm EST. The application may be downloaded from www.epa.gov/cleandiesel/documents/2013-clean-diesel-rebate-application.pdf as a fillable Portable Document File (PDF). See Appendix B for a sample Rebate Application.

You must have Adobe Reader to open and fill in the fields of this form. For more information about PDFs, please see www.epa.gov/epahome/pdf.html.

Email the completed Rebate Application, along with a scanned copy of the equipment's original bill of sale, invoice or other ownership documentation to: CleanDieselRebate@epa.gov. Include the subject line: **DERA Construction Equipment Rebate Application: [your organization's name]**. If the applicant does not have access to email, please call 202-343-9231 for assistance.

The Rebate Application includes identifying information such as organization name, address, Dun and Bradstreet (DUNS) number, Employer ID Number (EIN), and the name of the organization's Authorized Representative, who is able to sign on behalf of the applicant organization. If an applicant does not have a DUNS or EIN, they must obtain one prior to applying for a rebate. An organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the rebate form. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711, or visiting the D&B website at: www.dnb.com.

Applicants must also be registered in the System for Award Management (SAM), prior to submitting an application (previously known as the Central Contractor Registration). Information can be found at www.sam.gov.

The Rebate Application requires applicants to supply the following information related to the construction equipment engine to be replaced.

- 1) Equipment Type
- 2) Technology Option and Emission Standard Tier
- 3) Engine Serial Number (see Appendix D)
- 4) Engine Family Name (see Appendix D)
- 5) Engine Model Year (see Appendix D)
- 6) Gallons of Diesel Used in Last 12 Months
- 7) Hours of Use Last 12 Months
- 8) Horsepower
- 9) Location of operation of the construction equipment (County and State)
- 10) Rebate Amount (See Section 2.5 and Appendix F for eligible rebate amounts)

The engine model year of the existing equipment's engine must be between 1990 and 2002 for Unregulated (Tier 0) emission standard engines or between 1990 and 2000 for Tier 1 emission standard engines, as described in Section 2.3.2 and Table 2. See Appendix D for additional assistance with determining the engine serial number, engine model year, or engine family name.

A copy of the equipment's original bill of sale, invoice, or other documentation that proves ownership must be submitted with the application. See Section 2.2 for additional information.

Annual usage hours should be obtained from maintenance logs or other recordkeeping information. By signing the Rebate Application, applicants are certifying that the engine serial number, engine model year, engine family name, horsepower, annual usage hours, and fuel usage

reported are true to the best of their knowledge. EPA reserves the right to request copies of documentation, such as activity logs, to verify the above information.

EPA may contact an applicant to clarify any information provided by that applicant.

4.2 Step 2 - Selection

All applications that are submitted to EPA by **Wednesday, January 29, 2014, 4:00 pm EST**, will be assigned a unique identification number, and applicants will be selected through a random number generator. Once the lottery list is generated, EPA will apply the following criteria to the lottery list:

- Each of the 10 EPA Regions, with at least one eligible applicant, will have a selected applicant.
- It is anticipated that at least 50% of funds will be allocated to public construction equipment.

Eligible applicants who are selected (Selectees) will move on to Step 3 in the Rebate Process. All other applicants will remain in random number order on the wait list. If a Selectee does not complete the remaining required steps in the rebate process within the required timeframe (described in Steps 3 – 7 below), that Selectee will be removed from the program and the next applicant on the wait list will be selected for participation.

Both the Selectee List and the Applicant Wait List will be posted at www.epa.gov/cleandiesel/dera-rebate-construction.htm

4.3 Step 3 – Notification and Obligation

EPA will notify Selectees and those applicants that are on the wait list within 30 days of the application submittal deadline. Each Selectee will be assigned an EPA Rebate Contact person for the duration of the Rebate Program. Once Selectees receive the selection letter from EPA, they may begin the engine replacement process. Once the engine has been ordered, the Selectee will complete Steps 4 – 7 below.

4.4 Step 4 - Purchase Order Submittal

A copy of the purchase order(s) for the new replacement engine must be submitted to EPA within 90 days of date of the selection letter. The date of the purchase order cannot pre-date the date of the Selection Letter. The proof of purchase may be a procurement request, purchase order, or any other document that clearly shows a transaction being initiated between the applicant and an engine vendor for the purchase of an eligible replacement engine.

Proof of purchase must be on official vendor or purchaser letterhead and include the following information for each engine: (1) purchaser name, address, and phone number; (2) vendor name, address, and phone number; (3) engine serial number, engine manufacturer, engine model year, emission standard tier, engine family and engine purchase price; (4) replacement engine purchase date; (5) delivery date, predetermined and agreed upon by both vendor and purchaser. Selectees that submit false or misleading information may be barred from future participation in DERA and other federal funding programs or may face other penalties.

The proof of purchase document should be scanned and saved in PDF format and emailed to: your assigned EPA Rebate Contact and CleanDieselRebate@epa.gov. Include the subject line: **DERA Construction Equipment Proof of Purchase: [your organization's name]**.

4.5 Step 5 – Vehicle Delivery and Scrappage

4.5.1 – New Engine Delivery and Installation

Within 12 months of the Selection Letter date, Selectees must take delivery of and install the new engine prior to submitting the Payment Request to EPA. New engines must meet the requirements described in Section 2.3.2.

4.5.2 Scrappage/Disposal of Old Engine

Each engine being replaced must be scrapped or rendered permanently disabled prior to Selectee submitting the Payment Request to EPA. The older engine being replaced must be scrapped and permanently disabled by drilling a minimum ½” diameter hole completely through the engine block and at least one cylinder and cutting through the intake manifold.

Proof of scrappage must be provided with the Payment Request. Scrappage documentation includes photos of:

1. Side profile of the equipment
2. The engine tag that includes:
 - a. Engine serial number
 - b. Engine family identifier
3. Engine block, prior to hole being drilled
4. Engine block, after hole has been drilled

The Selectee must also provide a letter confirming the scrappage requirements have been met. The letter must be signed by the authorized representative listed on the rebate application forms. The letter should include:

1. The date the engines were scrapped.
2. A listing of the scrapped engines with engine model year, engine serial number, horsepower and emission standard tier level.
3. The name and contact information for the entity that scrapped the equipment, if other than the applicant.

All scrappage documentation should be submitted, with the Payment Request, in PDF format or as JPEG image files.

Scrappage may be completed by the Selectee or by a salvage yard, or similar service, provided all scrappage requirements have been met and all necessary documentation is provided. The engine may be sold for scrap metal, provided that the engine is disposed of in accordance with federal and state requirements for disposal.

4.6 Step 6 - Request for Payment

Selectees may request reimbursement from EPA by submitting a Payment Request, proof of scrappage (see Section 4.5.2), a copy of the invoice for the new engine, and a copy of the bill of

lading (proof of delivery) for the new engine. The invoice or bill of lading for the replacement engine should include the following information: Engine Serial Number, Engine Model Year, Engine Manufacturer, Engine Family Name, Emission Standard Tier, Horsepower and Engine Cost.

The Payment Request requires Selectees to provide detailed information on the new engine, such as the Engine Serial Number, Engine Model Year, Engine Manufacturer, Engine Family Name, Emission Standard Tier, Horsepower and Cost. The Payment Request must be submitted to EPA no later than 12 months after the date of the Selection Letter (see Section 4.3 for information about the Selection Letter).

To request reimbursement, email the completed Payment Request, proof of scrappage, a copy of the replacement engine invoice, and a copy of the bill of lading (in PDF format) as attachments to: your assigned EPA Rebate Contract and CleanDieselRebate@epa.gov. Include the subject line: **DERA Construction Equipment Payment Request: [your organization's name]**.

4.7 Step 7 - Payment

Once EPA has received and approved the Selectee's Payment Request and supporting documentation, EPA will issue the rebate funds electronically to the Selectee. EPA anticipates that payment will be issued to the Selectee within approximately 10 business days from the receipt of the complete payment request package.

4.8 Cancellation of Rebate Application

If a Selectee fails to submit all of the required forms and other documents by the deadlines established in Sections 4.4 and 4.6, the rebate application will be cancelled and any reserved funds will be offered to the next eligible applicant on the waiting list. EPA will notify the Selectee prior to cancelling any reserved funds.

5. Rebate Program Administration

5.1 Terms and Conditions

Applicants are required to comply with the following terms and conditions. By signing the Rebate Application (see Appendix B for example), applicants certify that they have read and agree to the requirements of this Program Guide document and the program terms and conditions.

5.1.1 Use of Construction Equipment Engine and/or Retrofits

The equipment engine must operate in a similar manner as the engine prior to retrofit or replacement. In addition, the Selectee agrees that they will:

1. Not make modifications to the emission control system on the replacement engine or the retrofit device; and,
2. Be available for follow-up inspection of the piece of equipment for 3 years after receipt of the rebate, if requested by EPA or its designee. EPA anticipates auditing of a random sample of rebate recipients.

5.1.2 Scrappage of Old Equipment Engine for Replaced Engines Only

Selectees must scrap the engine being replaced in accordance with Section 4.5.2 (Scrappage/Disposal of Old Engine).

5.1.3 Ownership and Location of the Retrofitted or Replaced Engines

Selectees must maintain ownership of the retrofitted or replaced engine for 12 months following payment of the rebate. If the equipment is sold or moved outside of the priority county before the end of the 12 month period or 500 hours of operation, whichever comes first, the Selectee may be required to return up to the full amount of the rebate to EPA. The amount required to be returned is at the discretion of EPA, and will be determined on a case-by-case basis.

5.1.4 Restriction for Mandated Measures

Pursuant to 42 U.S.C. 16132(d)(2), no funds awarded under the 2013 Construction Equipment Funding Opportunity shall be used to fund the costs of emission reductions that are mandated under federal law. In addition, these federal funds for construction equipment engines must not be used in combination with any other federal funding.

5.1.5 Documentation Requirement

If an applicant is selected, that Selectee is responsible for providing the Payment Request and required supporting documentation to EPA. Selectees are responsible for maintaining copies of all submitted forms and documents, and EPA responses, for a period of 3 years from the date of payment.

5.2 EPA Responsibilities

EPA will review rebate applications for eligibility within the timelines established in Section 3.3 and 4.3. EPA will promptly notify Selectees by email and post the waiting list to our website within 30 days of the close of the open application period.

5.3 Disbursement of Funds

EPA will issue rebate funds within 10 business days of determining that a Selectee has submitted a completed Payment Request and all supporting documents, including proof of scrappage of the old engine (for engine replacements only) and proof of the new technology installation and delivery. If necessary, EPA may request additional documentation from a Selectee prior to issuing funds if EPA determines that any required information is missing or incomplete. In such a case, EPA will provide the Selectee with a reasonable amount of time to submit additional information.

5.4 Emission Reductions Reporting

EPA will use the equipment information supplied by applicants to calculate emissions reductions attributable to the 2013 Construction Equipment Funding Opportunity for the purposes of program evaluation and reporting to Congress on the effectiveness of the program.

5.5 Program Audit

EPA will conduct random reviews of Selectees' documentation to protect against waste, fraud, and abuse. As part of this process, EPA may request copies of rebate documents from prior Selectees who have received rebates, or may request documentation from current Selectees to

verify statements made on the application and payment forms. Selectees are expected to comply with recordkeeping requirements (see Section 5.1.5), and must supply EPA with any requested documents for 3 years from date of rebate issuance, or risk cancellation of an active rebate application or other enforcement action.

5.6 Record Retention Requirements

Selectees must retain all financial records, supporting documents, accounting books, and other evidence of Rebate Program activities for 3 years. The retention period starts on the day the Applicant is notified that their application has been selected for funding. If any litigation, claim, or audit is started before the expiration of the three year period, the recipient must maintain all appropriate records until these actions are completed and all issues resolved.

Appendix A
List of Priority Counties Eligible for 2013 Construction Equipment Funding Opportunity

AL	Jefferson
AL	Mobile
AL	Shelby
AL	Walker
AK	Anchorage
AK	Fairbanks North Star
AZ	Maricopa
AZ	Pima
AZ	Pinal
AZ	Santa Cruz
AR	Crittenden
AR	Pulaski
CA	Alameda
CA	Butte
CA	Calaveras
CA	Contra Costa
CA	El Dorado
CA	Fresno
CA	Imperial
CA	Kern
CA	Kings
CA	Los Angeles
CA	Madera
CA	Marin
CA	Mariposa
CA	Merced
CA	Napa
CA	Nevada
CA	Orange
CA	Placer
CA	Riverside
CA	Sacramento
CA	San Bernardino
CA	San Diego
CA	San Francisco
CA	San Joaquin
CA	San Luis Obispo
CA	San Mateo
CA	Santa Barbara
CA	Santa Clara
CA	Shasta
CA	Solano
CA	Sonoma
CA	Stanislaus
CA	Sutter

CA	Tehama
CA	Tulare
CA	Ventura
CA	Washoe Tribal Lands in CA
CA	Yolo
CA	Yuba
CO	Adams
CO	Arapahoe
CO	Boulder
CO	Denver
CO	Douglas
CO	Jefferson
CO	Larimer
CO	Weld
CT	Fairfield
CT	Hartford
CT	Litchfield
CT	Middlesex
CT	New Haven
CT	New London
CT	Tolland
CT	Windham
DE	Kent
DE	New Castle
DE	Sussex
DC	District of Columbia
FL	Brevard
FL	Broward
FL	Duval
FL	Hillsborough
FL	Lee
FL	Miami-Dade
FL	Orange
FL	Palm Beach
FL	Sarasota
GA	Bartow
GA	Bibb
GA	Chatham
GA	Cherokee
GA	Clayton
GA	Cobb
GA	Coweta
GA	Crawford
GA	DeKalb

GA	Douglas
GA	Fayette
GA	Forsyth
GA	Fulton
GA	Gwinnett
GA	Henry
GA	Houston
GA	Jones
GA	Monroe
GA	Muscogee
GA	Newton
GA	Paulding
GA	Peach
GA	Rockdale
GA	Twiggs
HI	Honolulu
ID	Ada
ID	Franklin
ID	Twin Falls
IL	Cook
IL	DuPage
IL	Grundy
IL	Kane
IL	Kendall
IL	Lake
IL	McHenry
IL	Madison
IL	Monroe
IL	Rock Island
IL	St. Clair
IL	Will
IL	Winnebago
IN	Clark
IN	Dearborn
IN	Lake
IN	Marion
IN	Porter
IA	Black Hawk
IA	Harrison
IA	Johnson
IA	Linn
IA	Mills
IA	Polk
IA	Pottawattamie
IA	Scott

IA	Woodbury
KS	Butler
KS	Harvey
KS	Johnson
KS	Leavenworth
KS	Miami
KS	Sedgwick
KS	Sumner
KS	Wyandotte
KY	Boone
KY	Campbell
KY	Fayette
KY	Jefferson
KY	Kenton
LA	Ascension
LA	Assumption
LA	Bossier
LA	Caddo
LA	Calcasieu
LA	Cameron
LA	De Soto
LA	East Baton Rouge
LA	Iberville
LA	Jefferson
LA	Lafourche
LA	Lafayette
LA	Livingston
LA	Orleans
LA	Plaquemines
LA	St. Bernard
LA	St. Charles
LA	St. James
LA	St. John the Baptist
LA	St. Tammany
LA	Terrebonne
LA	West Baton Rouge
ME	Cumberland
MD	Anne Arundel
MD	Baltimore
MD	Calvert
MD	Carroll
MD	Cecil
MD	Charles
MD	Frederick
MD	Harford
MD	Howard
MD	Montgomery
MD	Prince George's

MD	Baltimore City
MA	Bristol
MA	Dukes
MA	Middlesex
MA	Suffolk
MI	Genesee
MI	Ingham
MI	Kent
MI	Livingston
MI	Macomb
MI	Monroe
MI	Oakland
MI	St. Clair
MI	Washtenaw
MI	Wayne
MN	Aitkin
MN	Anoka
MN	Becker
MN	Beltrami
MN	Benton
MN	Big Stone
MN	Blue Earth
MN	Brown
MN	Carlton
MN	Carver
MN	Cass
MN	Chippewa
MN	Chisago
MN	Clay
MN	Clearwater
MN	Cook
MN	Cottonwood
MN	Crow Wing
MN	Dakota
MN	Dodge
MN	Douglas
MN	Faribault
MN	Fillmore
MN	Freeborn
MN	Goodhue
MN	Grant
MN	Hennepin
MN	Houston
MN	Hubbard
MN	Isanti
MN	Itasca
MN	Jackson
MN	Kanabec

MN	Kandiyohi
MN	Kittson
MN	Koochiching
MN	Lac qui Parle
MN	Lake
MN	Lake of the Woods
MN	Le Sueur
MN	Lincoln
MN	Lyon
MN	McLeod
MN	Mahnomen
MN	Marshall
MN	Martin
MN	Meeker
MN	Mille Lacs
MN	Morrison
MN	Mower
MN	Murray
MN	Nicollet
MN	Nobles
MN	Norman
MN	Olmsted
MN	Otter Tail
MN	Pennington
MN	Pine
MN	Pipestone
MN	Polk
MN	Pope
MN	Ramsey
MN	Red Lake
MN	Redwood
MN	Renville
MN	Rice
MN	Rock
MN	Roseau
MN	St. Louis
MN	Scott
MN	Sherburne
MN	Sibley
MN	Stearns
MN	Steele
MN	Stevens
MN	Swift
MN	Todd
MN	Traverse
MN	Wabasha
MN	Wadena
MN	Waseca

MN	Washington
MN	Watonwan
MN	Wilkin
MN	Winona
MN	Wright
MN	Yellow Medicine
MS	DeSoto
MS	Hancock
MS	Harrison
MS	Hinds
MS	Jackson
MS	Warren
MS	Washington
MO	Barry
MO	Barton
MO	Bollinger
MO	Cape Girardeau
MO	Cass
MO	Cedar
MO	Christian
MO	Clay
MO	Dade
MO	Dallas
MO	Franklin
MO	Greene
MO	Iron
MO	Jackson
MO	Jasper
MO	Jefferson
MO	Lawrence
MO	McDonald
MO	Madison
MO	Newton
MO	Perry
MO	Platte
MO	Polk
MO	Ray
MO	St. Charles
MO	Ste. Genevieve
MO	St. Francois
MO	St. Louis
MO	Stone
MO	Taney
MO	Webster
MO	St. Louis City
MT	Lewis and Clark
MT	Silver Bow
NE	Cass

NE	Douglas
NE	Lancaster
NE	Sarpy
NE	Saunders
NE	Washington
NV	Clark
NV	Washoe Tribal Lands in NV
NJ	Atlantic
NJ	Bergen
NJ	Burlington
NJ	Camden
NJ	Cape May
NJ	Cumberland
NJ	Essex
NJ	Gloucester
NJ	Hudson
NJ	Hunterdon
NJ	Mercer
NJ	Middlesex
NJ	Monmouth
NJ	Morris
NJ	Ocean
NJ	Passaic
NJ	Salem
NJ	Somerset
NJ	Sussex
NJ	Union
NJ	Warren
NM	Bernalillo
NY	Albany
NY	Bronx
NY	Chautauqua
NY	Kings
NY	Monroe
NY	Nassau
NY	New York
NY	Onondaga
NY	Orange
NY	Queens
NY	Richmond
NY	Rockland
NY	Suffolk
NY	Westchester
NC	Cabarrus
NC	Cumberland
NC	Gaston
NC	Iredell
NC	Lincoln

NC	Mecklenburg
NC	Rowan
NC	Union
OH	Ashtabula
OH	Butler
OH	Clark
OH	Clermont
OH	Clinton
OH	Cuyahoga
OH	Darke
OH	Delaware
OH	Fairfield
OH	Franklin
OH	Geauga
OH	Greene
OH	Hamilton
OH	Jefferson
OH	Knox
OH	Lake
OH	Licking
OH	Lorain
OH	Lucas
OH	Madison
OH	Medina
OH	Miami
OH	Montgomery
OH	Portage
OH	Preble
OH	Stark
OH	Summit
OH	Warren
OK	Canadian
OK	Cleveland
OK	Creek
OK	Grady
OK	Lincoln
OK	Logan
OK	McClain
OK	Oklahoma
OK	Okmulgee
OK	Osage
OK	Pawnee
OK	Rogers
OK	Tulsa
OK	Wagoner
OR	Clackamas
OR	Klamath
OR	Lake

OR	Lane
OR	Multnomah
OR	Washington
PA	Allegheny
PA	Armstrong
PA	Beaver
PA	Berks
PA	Bucks
PA	Butler
PA	Cambria
PA	Carbon
PA	Chester
PA	Cumberland
PA	Dauphin
PA	Delaware
PA	Fayette
PA	Greene
PA	Indiana
PA	Lancaster
PA	Lawrence
PA	Lebanon
PA	Lehigh
PA	Montgomery
PA	Northampton
PA	Philadelphia
PA	Washington
PA	Westmoreland
PA	York
SC	Abbeville
SC	Aiken
SC	Allendale
SC	Anderson
SC	Bamberg
SC	Barnwell
SC	Beaufort
SC	Berkeley
SC	Calhoun
SC	Charleston
SC	Cherokee
SC	Chester
SC	Chesterfield
SC	Clarendon
SC	Colleton
SC	Darlington
SC	Dillon
SC	Dorchester
SC	Edgefield
SC	Fairfield

SC	Florence
SC	Georgetown
SC	Greenville
SC	Greenwood
SC	Hampton
SC	Horry
SC	Jasper
SC	Kershaw
SC	Lancaster
SC	Laurens
SC	Lee
SC	Lexington
SC	McCormick
SC	Marion
SC	Marlboro
SC	Newberry
SC	Oconee
SC	Orangeburg
SC	Pickens
SC	Richland
SC	Saluda
SC	Spartanburg
SC	Sumter
SC	Union
SC	Williamsburg
SC	York
TN	Anderson
TN	Blount
TN	Davidson
TN	Hamilton
TN	Knox
TN	Loudon
TN	Roane
TN	Shelby
TX	Atascosa
TX	Bastrop
TX	Bexar
TX	Bosque
TX	Bowie
TX	Brazoria
TX	Brazos
TX	Caldwell
TX	Chambers
TX	Collin
TX	Comal
TX	Dallas
TX	Denton
TX	Ellis

TX	El Paso
TX	Falls
TX	Fort Bend
TX	Freestone
TX	Galveston
TX	Gregg
TX	Guadalupe
TX	Harris
TX	Harrison
TX	Hays
TX	Hill
TX	Hood
TX	Jefferson
TX	Johnson
TX	Kaufman
TX	Kendall
TX	Liberty
TX	Limestone
TX	Lubbock
TX	McLennan
TX	Montgomery
TX	Nueces
TX	Parker
TX	Potter
TX	Randall
TX	Rockwall
TX	Rusk
TX	San Patricio
TX	Smith
TX	Tarrant
TX	Taylor
TX	Travis
TX	Upshur
TX	Waller
TX	Webb
TX	Wichita
TX	Williamson
TX	Wilson
TX	Wise
UT	Box Elder
UT	Cache
UT	Davis
UT	Duchesne
UT	Salt Lake
UT	Tooele
UT	Uintah
UT	Uintah and Ouray Reservation
UT	Utah

UT	Weber
VA	Arlington
VA	Caroline
VA	Charles City
VA	Chesterfield
VA	Fairfax
VA	Gloucester
VA	Hanover
VA	Henrico
VA	Isle of Wight
VA	James City
VA	Loudoun
VA	Prince George
VA	Prince William
VA	Spotsylvania
VA	Stafford
VA	York
VA	Alexandria
VA	Charlottesville
VA	Chesapeake City

VA	Colonial Heights
VA	Fairfax City
VA	Falls Church
VA	Hampton
VA	Hopewell
VA	Manassas
VA	Manassas Park
VA	Newport News
VA	Norfolk
VA	Petersburg
VA	Poquoson
VA	Portsmouth City
VA	Richmond City
VA	Roanoke City
VA	Suffolk
VA	Virginia Beach
VA	Williamsburg
WA	Clark
WA	King
WA	Pierce

WA	Snohomish
WA	Yakima
WV	Brooke
WV	Hancock
WV	Kanawha
WV	Putnam
WV	Wayne
WI	Brown
WI	Dane
WI	Kenosha
WI	Milwaukee
WI	Racine
WI	Sheboygan
WI	Waukesha
WY	Lincoln
WY	Sublette
WY	Sweetwater
PR	Bayamon
PR	Mayaguez
PR	San Juan

Appendix B Sample Rebate Application – Public Equipment Owner



United States Environmental Protection Agency
National Clean Diesel Rebate Program
Rebate Application

OMB Number: 2060-0686
Expiration Date: 10/31/2015

Funding Year Target Fleet Rebate Type

Applicant Information

Organization Name

Address

City County/Parish State ZIP

Employer/Taxpayer No. (EIN/TIN) Organizational DUNS Code

Eligible Entity Information (Private Equipment Owner Applicants Only)

Private equipment owners are able to apply for funding from the National Clean Diesel Rebate Program if the equipment, for which funding is being requested, is currently contracted or leased to an eligible entity. An eligible entity is a federal, regional, State, local, or tribal agency or port authority with jurisdiction over transportation or air quality. For additional information regarding private equipment owner applicants and eligible entities, please refer to the Program Guide.

Eligible Entity Type	Eligible Entity Name	Eligible Entity Location (City, State)
<input type="text"/>	<input type="text"/>	<input type="text"/>

I certify the equipment, for which rebate funds are being requested, meet the requirements for private equipment owners as described above and in the terms and conditions within the Program Guide.

Original Equipment

	Equipment Type	Technology **	Engine Serial Number	Engine Family Name	Engine Model Year	Gals Used Last 12 Mos	Hrs of Use Last 12 Mos	HP	Location of Operation: County	State	Rebate Amount
*	Excavator	T1 to T3	8NC13641	YCPXL10.SMRP	2000	3759	500	225	Lake	IN	\$15,000
*	Crane	T3 add DPF	MHX02642	6CPXL12.5ESK	2008	4632	600	388	Cook	IL	\$30,000
1	Tractor/Loader/Backhoe	T1 to T3	C4E06383	8PKXL4.4NJ1	1996	6744	851	523	Washtenaw	MI	\$69,000
2	Boring and Drilling Rig	T3 add DPF	44407183	8PKXL04.4NJ1	2010	5223	664	456	Washtenaw	MI	\$30,000
3	Crane	UR to T2	RSX05086	6CPXL11.1ESK	2001	4985	6007	185	Washtenaw	MI	\$12,000
4											
5											
*Example	** UR = unregulated, also referred to as Tier 0									Total	\$ 111,000

I certify that the engines listed for retrofit or replacement are operational and meet the eligibility requirements defined in the Program Guide.

Replacements only: I certify that the engines listed for replacement will be properly disposed of according to the requirements defined in the Program Guide.

Applicant Signature

By signing, I certify the statements and information provided in this application are true and accurate to the best of my knowledge. If selected for funding, I agree to provide the required documentation and assurances necessary for funding.

Funding for the National Clean Diesel Rebate Program is subject to continuing federal appropriations. Please see the Program Guide for additional funding information.

Authorized Representative Name

Title E-mail Phone

Authorized Representative Signature Jane Smith Date 1/5/2014

Sample Rebate Application – Private Equipment Owner



United States Environmental Protection Agency
National Clean Diesel Rebate Program
Rebate Application

OMB Number: 2060-0686
Expiration Date: 10/31/2015

Funding Year Target Fleet Rebate Type

Applicant Information

Organization Name

Address

City County/Parish State ZIP

Employer/Taxpayer No. (EIN/TIN) Organizational DUNS Code

Eligible Entity Information (Private Equipment Owner Applicants Only)

Private equipment owners are able to apply for funding from the National Clean Diesel Rebate Program if the equipment, for which funding is being requested, is currently contracted or leased to an eligible entity. An eligible entity is a federal, regional, State, local, or tribal agency or port authority with jurisdiction over transportation or air quality. For additional information regarding private equipment owner applicants and eligible entities, please refer to the Program Guide.

Eligible Entity Type	Eligible Entity Name	Eligible Entity Location (City, State)
<input type="text" value="Local Govt/Agency"/>	<input type="text" value="Washtenaw County Road Commission"/>	<input type="text" value="Nice City, MI"/>

I certify the equipment, for which rebate funds are being requested, meet the requirements for private equipment owners as described above and in the terms and conditions within the Program Guide.

Original Equipment

	Equipment Type	Technology **	Engine Serial Number	Engine Family Name	Engine Model Year	Gals Used Last 12 Mos	Hrs of Use Last 12 Mos	HP	Location of Operation:		Rebate Amount
									County	State	
*	Excavator	T1 to T3	6NC13641	YCPXL10.SMRF	2000	3759	500	225	Lake	IN	\$15,000
*	Crane	T3 add DPF	MHX02642	6CPXL12.5ESK	2008	4632	600	368	Cook	IL	\$30,000
1	Tractor/Loader/Backhoe	T1 to T3	C4E06383	8PKXL4.4NJ1	1996	6744	851	523	Washtenaw	MI	\$69,000
2	Boring and Drilling Rig	T3 add DPF	44407183	8PKXL04.4NJ1	2010	5223	664	456	Washtenaw	MI	\$30,000
3	Crane	UR to T3	R5X05086	6CPXL11.1ESK	2001	4985	6007	185	Washtenaw	MI	\$15,000
4											
5											
*Example									** UR = unregulated, also referred to as Tier 0		
									Total		\$ 114,000

I certify that the engines listed for retrofit or replacement are operational and meet the eligibility requirements defined in the Program Guide.

Replacements only: I certify that the engines listed for replacement will be properly disposed of according to the requirements defined in the Program Guide.

Applicant Signature

By signing, I certify the statements and information provided in this application are true and accurate to the best of my knowledge. If selected for funding, I agree to provide the required documentation and assurances necessary for funding.

Funding for the National Clean Diesel Rebate Program is subject to continuing federal appropriations. Please see the Program Guide for additional funding information.

Authorized Representative Name

Title E-mail Phone

Authorized Representative Signature  Date

Appendix C Rebate Application Checklist

The following information is required in order for an application to be considered eligible and therefore entered into the random selection pool to potentially receive funds through the 2013 Construction Equipment Funding Opportunity.

EPA **must** receive the Rebate Application by **Wednesday, January 29, 2014, 4:00 pm EST**.

- 1) Review eligibility to apply (Section 2.1).
- 2) Review and determine equipment and engine eligibility including (sections 2.2, 2.3.1 and 2.3.2):
 - a. Ownership
 - b. Location Requirements
 - c. Eligible Construction Equipment Engines
 - d. Eligible Equipment Engine Model Year
 - e. Eligible Equipment Engine Emission Standard Tier
 - f. Eligible Equipment Engine Rated Power (Horsepower)
- 3) Certify Eligible Entity Information (Private Equipment Owner Applicants only).
- 4) Complete Rebate Application (EPA Form 5600-260) available for download at www.epa.gov/cleandiesel/dera-rebate-construction.htm
 - a. Complete Equipment and Engine Information required on the rebate application for **each** engine to be retrofitted or replaced (up to five).
 - b. Include Dun and Bradstreet (DUNS) and Employer ID Number (EIN).
 - c. Provide name, title, contact information, and obtain the signature of the applicant's Authorized Representative.
- 5) Attach a scanned copy of the equipment's original bill of sale, invoice, or other ownership documentation for **each** engine to be retrofitted or replaced. Note: Equipment with an active lien-holder does not qualify to participate in this program.
- 6) Email the completed Rebate Application to: CleanDieselRebate@epa.gov Include in the subject line: DERA Construction Equipment Rebate Application: [your organization's name].
- 7) Selected applicants must be registered in the System for Award Management (SAM), (previously known as the Central Contractor Registration) prior to submitting an application. Information can be found at www.sam.gov.

Appendix D

How to Find Your Engine Serial Number, Engine Model Year, and Engine Family Name

D.1 Where to find the Engine Serial Number

The engine serial number is typically found in one of the following locations on Nonroad Engines:

1. Above air filter
2. Above the pulley, or on belt guard if present
3. Fuel pump or manifold
4. Engine block on the side of engine
5. On intake manifold
6. On/near starter
7. On cylinder head
8. On flange
9. On valve cover
10. Rear of engine block
11. On compressed air tank

The engine serial number may also be located on the original invoice or bill of lading. Detailed photographs of potential locations for the engine serial numbers can be found in Appendix H of the Construction Fleet Inventory Guide: www.epa.gov/cleandiesel/documents/420b10025.pdf

D.2 Where to find the Engine Model Year and Engine Family Name

The engine model year can be found on the label which is affixed to the engine itself. Do not be confused with the Equipment Model. The engine model year can differ from the equipment model year.

The EPA engine family name is an 11 or 12 character number/letter designation included on the engine nameplate for all nonroad engines sold in the United States. The engine family name is a 12-digit alpha-numeric code used by the U.S. EPA to classify vehicles and engines for the purpose of emissions certification. An engine may have an exhaust engine family name and an evaporative engine family name, depending on the year the engine was manufactured. The engine family name can also be located on a label or plate in the engine compartment in a visible position such as the hood underside, shock tower, radiator support, fan shroud, or firewall.

If the engine label does not list the EPA-issued engine family name or is difficult to read, the manufacturer of your engine may be able to assist you in determining the engine family name if you are able to supply information on the model year and make of the engine, or the engine serial number. Some manufacturers also have online tools where their customer can enter engine serial numbers and determine the engine family name.

Detailed photographs of potential locations where the Family Engine name may be found are in Appendix H of the Construction Fleet Inventory Guide. The Construction Fleet Inventory Guide is available at:

www.epa.gov/cleandiesel/documents/420b10025.pdf

Appendix E
Technology Option # 1 Eligibility and Rebate Amount Worksheet
Retrofit with a Diesel Particulate Filter

1. Equipment Type: _____

2. Fill in the blanks below, then use the table to determine current engine emission standard tier level. Please note that engine model year may differ from equipment model year.

Horsepower: _____

Engine Model Year: _____

Enter Current Engine

Emission Standard Tier: _____

Current Engine Horsepower	Current Engine Model Year	Current Emission Standard Tier
174-300	2003-2005	Tier 2
174-300	2006-2010	Tier 3
301- 603	2001-2005	Tier 2
301- 603	2006-2010	Tier 3

3. Use the below table to determine Rebate Amount

Current Emission Standard Tier	Current Engine Horsepower	Rebate Amount
Tier 2	174-300	Not Eligible
Tier 3	174-300	Not Eligible
Tier 2	301- 603	\$30,000
Tier 3	301- 603	\$30,000

Rebate Amount: _____

4. Select the above amount in the drop-down Rebate Amount Box on the Rebate Application.

This worksheet does not need to be submitted with the Rebate Application.

Appendix F
Technology Option # 2 Eligibility and Rebate Amount Worksheet
Engine Replacement

- Equipment Type: _____
- Fill in the blanks below, then use the table to determine current engine emission standard tier level. Please note that engine model year may differ from equipment model year.

Horsepower: _____
 Engine Model Year: _____
 Enter Current Engine
 Emission Standard Tier: _____

Current Engine HP	Current Engine Model Year	Current Tier
174-300	1990-1995	Unregulated
174-300	1996-2002	Tier 1
301- 603	1990-1995	Unregulated
301- 603	1996-2000	Tier 1

- Circle the Replacement Engine Tier
 Tier 2 Tier 3
- Select the Replacement Tier and Determine Rebate Amount

Current Tier	Replacement Tier	Rebate Amount
Unregulated (UR)	Tier 2 (174-300hp)	\$12,000
Unregulated (UR)	Tier 3 (174-300hp)	\$15,000
Tier 1	Tier 2 (174-300hp)	\$12,000
Tier 1	Tier 3 (174-300hp)	\$15,000
Unregulated (UR)	Tier 2 (301- 603hp)	\$49,000
Unregulated (UR)	Tier 3 (301- 603hp)	\$69,000
Tier 1	Tier 2 (301- 603hp)	\$49,000
Tier 1	Tier 3 (301- 603hp)	\$69,000

Rebate Amount \$ _____

- Select the above amount in the drop-down Rebate Amount Box on the Rebate Application.

This worksheet does not need to be submitted with the Rebate Application.