

DRAFT – Do not cite or quote

**CARL MOYER PROGRAM
OFF-ROAD DIESEL VOUCHER PROGRAM**

California Environmental Protection Agency

 **Air Resources Board**

**OFF-ROAD VOUCHER PROGRAM GUIDELINES
CARL MOYER MEMORIAL AIR QUALITY STANDARDS ATTAINMENT PROGRAM
FOR OFF-ROAD DIESEL EQUIPMENT**

These guidelines describe the minimum criteria and requirements for the Carl Moyer Memorial Air Quality Standards Attainment Program (CMP) off-road voucher program (ORVP). The ORVP provides a streamlined approach to reduce emissions by installing a Verified Diesel Emission Control Strategy (VDECS or retrofit) or by replacing existing, high-polluting equipments with newer, lower-emission equipments. The ORVP provides real emission benefits by retrofitting or retiring the high-polluting equipment earlier than would have been expected through normal attrition or by regulation. Carl Moyer Program funds for voucher projects are used to offset part of the cost of the retrofit or replacement equipment.

California air pollution control/air quality management districts (districts) shall utilize these guidelines as a stand-alone document and need not refer to the current Carl Moyer Program guidelines in implementing this program. Districts must follow all ORVP guidelines in order to offer vouchers as a funding option. Districts may not set more stringent requirements based upon local priorities. These guidelines provide implementation documents in the appendices section that must be used for funding voucher projects and may not be modified (unless otherwise noted).

1. Project Criteria

The project criteria listed below for ORVP projects provides districts, applicants, retrofit installers, and equipment dealerships with the minimum requirements for participating in the ORVP.

2. Projects Eligible for Funding

The following ORVP projects are eligible for funding:

New Replacement Equipment Purchase: The purchase of new equipment to replace the existing equipment that is to be scrapped. The new equipment must have an engine that meets the current model year California emission standards or the current model year United States Environmental Protection Agency (U.S. EPA) emission standards if it is a federally preempted engine.

Retrofit Purchase and Installation: The purchase and installation of a qualifying retrofit that is verified by ARB for the specific engine family in the existing equipment.

3. Project Funding Amounts

The maximum total project funding amounts associated with reducing the eligible costs of an ORVP project are pre-determined and shown in Appendix O.

4. Program Requirements

(a) General Program Criteria

- (1) Eligible Equipment: The following equipment using uncontrolled off-road compression ignition equipment with engines that are greater than 25 horsepower (hp) and less than 175 hp that meet the following criteria are eligible to participate in the ORVP:
 - a) Agricultural tractors that are not currently regulated by an Air Resources Board (ARB) in-use regulation.
 - b) Construction tractors/loaders/backhoes in small fleets that have a total fleet hp of 2500 or less, as determined by the In-Use Off-Road Diesel Vehicles Regulation (Off-Road Regulation).
- (2) The following equipment are not eligible for funding:
 - a) Equipment in medium and large fleets subject to the Off-Road Regulation;
 - b) Equipment subject to the Regulation for Mobile Cargo Handling Equipment at Ports and Intermodal Rail Yards
 - c) Equipment subject to the Off-Road Large Spark-Ignition Equipment Regulation;
- (3) Emission Reduction Technologies: Emission reduction technologies must be certified/verified by the ARB. Federally preempted engines must be certified by the U.S. EPA and must comply with durability and warranty requirements. For the purposes of the ORVP, a technology granted a conditional certification/verification by ARB is considered certified/verified.
- (4) Equipment Leasing is Not Allowed: If financing is necessary, the equipment purchase must be financed with a conventional purchase loan.
- (5) Obtaining Financing: The participant may obtain public and/or private financing to assist in the purchase of a retrofit or replacement equipment, but cannot seek additional public funded grants.
- (6) Emission reductions obtained through ORVP projects must not be required by any federal, State or local regulation, memorandum of agreement/understanding with a regulatory agency, settlement agreement, mitigation requirement, or other legally binding document.

- (7) No emission reductions generated by the ORVP shall be used as marketable emission reduction credits, or to offset any emission reduction obligation of any person or entity.
- (8) No project funded by the ORVP shall be used for credit under any federal or State emission averaging banking and trading program.
- (9) Engines operating under a regulatory compliance extension granted by the ARB, a local district, or the U.S. EPA are not eligible for funding.
- (10) Projects funded by the ORVP may not be used to generate a compliance extension or extra credit for determining regulatory compliance.

(b) Participant Requirements

- (1) General Participant Requirements: All participants must meet the following requirements to be eligible for funding:
 - a. Ownership Requirements: The participant must currently own and operate the existing equipment. The participant must be able to provide two (2) items from the following documentation list:
 - (A) Bill of sale for the existing equipment
 - (B) Copy of Diesel Off-road On-line Reporting System (DOORS) registration
 - (C) Tax depreciation logs
 - (D) Property tax records
 - (E) Equipment insurance records
 - (F) Bank appraisals for equipment
 - (G) Maintenance/service records
 - (H) General ledgers
 - b. Prior Minimum Usage Requirement: The existing equipment must have met the annual usage requirements in Appendix O, during each twelve (12) months for the previous twenty-four (24) months. Participants must submit documentation verifying usage for the previous twenty-four (24) months for the existing equipment. The participant must be able to provide at least one (1) of the following types of documentation:
 - (A) Hour meter reading log collected at minimum of once per year from an installed and fully functioning hour meter or
 - (B) At least two (2) items from the following list proving existing equipment is being used by the fleet:
 - A. Revenue and usage records that identify operational, standby, and down hours for the equipment
 - B. Employee timesheets linked to specific equipment use

- C. Preventative maintenance records tied to specific hours of equipment use
 - D. Repair work orders specific to the equipment.
- c. Operation in California: The existing equipment must have operated at least 75% of the time in California during each twelve (12) month period for the previous twenty four (24) months. Applicant certifies this on the application.
- d. Applying for Funding in a Participating Air District: Applicants may only apply to one (1) participating air district at a time per piece of equipment.
- (2) Application Package: To be approved for ORVP funds, the applicant must meet guideline requirements, submit an application, and submit all of the documentation listed in the Application Package (Appendix A).
- (3) Participant Requirements for Replacement Projects: All replacement project participants must meet the following requirements to be eligible for funding:
- a. Specified Participating Dealership: The participant must specify the participating dealership used for the purchase of the replacement equipment. If the application is approved, the participant must purchase the replacement equipment from the specified dealership. If the participant chooses to change dealerships, the participant must submit a new ORVP application to the district.
 - b. Voucher Redemption Deadline: The dealer and owner must agree on a date in which the replacement equipment will be delivered. The voucher will be redeemable within thirty (30) days of issuance or by the delivery date agreed upon by the dealer and owner, whichever is later.

If the owner is unable to purchase the replacement equipment after a voucher has been issued, the owner must notify the dealer and district immediately so that funds can be reallocated.
 - c. Replacing two (2) existing equipment with one (1) replacement equipment: Owners may replace two existing equipment with one replacement equipment as long as all ORVP requirements are met. The two existing equipment must have cumulatively met the annual usage requirements in Appendix O. If the two existing equipment have different engine model years, then the newest engine model year shall be used to determine the funding amount. The horsepower rating for the replacement equipment engine must not be greater than 125 percent of the original manufacturer rated horsepower (baseline horsepower) for the existing equipment engine. Participants who

utilize this option must submit a complete application for each existing equipment. The applicant should specify on each application that the applicant is choosing this option by checking the Two-for-One Option box.

- d. The owner must agree to the following terms after being approved for a replacement voucher:
 - i. If the existing equipment is subject to the requirements of the Off-Road Regulation, then the applicant must show proof of equipment registration in DOORS.
 - ii. Own and operate the replacement equipment at least 75% of the time within California for a minimum of sixty (60) months from the date of purchase for agricultural tractors or a minimum of thirty-six (36) months from the date of purchase for construction tractors/loaders/backhoes.
 - iii. Notify the district if there is any change of ownership.
 - iv. Return annual usage surveys as requested by the district.
 - v. Do not make any modifications to the emission control system on the replacement equipment engine.
 - vi. Be available for a follow up inspection, if requested by the district or the ARB.

(4) Participant Requirements for Retrofit Projects: All retrofit project participants must meet the following requirements to be eligible for funding:

- a. Specified Participating Installer: The participant must specify the participating retrofit installer used for the purchase and installation of the retrofit. If the participant chooses to change installers, the participant must submit a new ORVP application to the district.
- b. Voucher Redemption Deadline: The installer and owner must agree on a date in which the retrofit will be installed. The voucher will be redeemable within thirty (30) days of issuance or by the installation date agreed upon by the installer and owner, whichever is later.
 - i. If the owner is unable to have the retrofit installed after a voucher has been issued, the owner must notify the installer and district immediately so that funds can be reallocated.
- c. The owner must agree to the following terms after being approved for a retrofit voucher:

- i. Own and operate the retrofitted equipment at least 75% of the time within California for a minimum of sixty (60) months from the date of purchase for agricultural tractors or a minimum of thirty-six (36) months from the date of purchase for construction tractors/loaders/backhoes.
- ii. Notify the district if there is any change of ownership.
- iii. Return annual usage surveys as requested by the district.
- iv. Do not make any modifications to the emission control system on the equipment engine.
- v. Be available for a follow up inspection, if requested by the district or the ARB.

(c) Existing Equipment Requirements: Replacement Projects

For replacement projects, all existing equipment must meet the following conditions before an ORVP application will be approved and awarded a voucher.

- (1) Eligible Existing Engine: The existing engine must be uncontrolled. Verification must be submitted in the application package. Verification can include a picture of the model year on the engine plate or written documentation from the manufacturer or participating dealer that matches the engine serial number to a particular model year.
- (2) Diesel-fueled Equipments: The existing equipment must currently operate on diesel fuel.
- (3) DOORS Registration: The existing equipment must be registered in DOORS if it is subject to the Off-Road Regulation. A copy of the DOORS fleet summary sheet that shows the fleet size must be submitted with the application package.
- (4) Ownership Requirements: The participant must currently own and operate the existing equipment. The participant must be able to provide two (2) items from the following documentation list:
 - (A) Bill of sale for the existing equipment
 - (B) Copy of Diesel Off-road On-line Reporting System (DOORS) registration
 - (C) Tax depreciation logs
 - (D) Property tax records
 - (E) Equipment insurance records

- (F) Bank appraisals for equipment
 - (G) Maintenance/service records
 - (H) General ledgers
- (5) Operational Condition Verification: The existing equipment must be in operational condition to qualify for funding. Operating condition must be determined through an inspection by a participating dealership prior to submitting the application or by air district staff upon request. An operational equipment must be able to start, move in all directions, and have all operational parts.
- (6) Engine Verification: If the existing equipment engine tag is missing, then verification of the engine information can be done with the engine serial number. The participant will be required to provide verification of the engine make, model, model year, engine serial number, and horsepower from the manufacturer. Verification can include a letter or a printout from an engine manufacturer or participating dealer.
- (7) Existing Equipment Components: Incentive funding can only be used to purchase the new equipment and to pay for items essential to the operation of the equipment.
- (8) Operation of Existing Equipment After Approved for a Voucher: If the existing equipment is in an accident or has an engine failure AFTER receiving approval for a voucher from the air district but prior to replacement, then the existing equipment will still be eligible for receiving funds from the program as long as all other ORVP requirements have been met.
- (9) Delivering the Existing Equipment to the Dealer Prior to Taking Ownership of the Replacement Equipment: The participant must deliver the existing equipment in similar condition as it was in the pre-inspection. The district or dealer can reject the condition of the existing equipment if it is deemed not operational or if parts were stripped from the existing equipment. Reimbursement of the voucher will be withheld until the dealer or district approve of the condition of the existing equipment.

(d) Existing Equipment Requirements: Retrofit Projects

For retrofit projects, all existing equipments must meet the following conditions before an ORVP application will be approved and awarded a voucher.

- (1) Eligible Existing Engine: The existing engine must be uncontrolled. Verification must be submitted in the application package. Verification can include a picture of the model year on the engine plate or written

documentation from the manufacturer or participating dealer that matches the engine serial number to a particular model year.

- (2) Diesel-fueled Equipment: The equipment must operate on diesel fuel.
- (3) DOORS Registration: The existing equipment must be registered in DOORS if it is subject to the Off-Road Regulation. A copy of the DOORS fleet summary sheet that shows the fleet size must be submitted with the application package.
- (4) Ownership Requirements: The participant must currently own and operate the existing equipment. The participant must be able to provide two (2) items from the following documentation list:
 - (A) Bill of sale for the existing equipment
 - (B) Copy of Diesel Off-road On-line Reporting System (DOORS) registration
 - (C) Tax depreciation logs
 - (D) Property tax records
 - (E) Equipment insurance records
 - (F) Bank appraisals for equipment
 - (G) Maintenance/service records
 - (H) General ledgers
- (5) Operational Condition Verification: The equipment must be in operational condition to qualify for funding. Operating condition must be determined through an inspection by a participating retrofit installer prior to submitting the application or by air district staff upon request.
- (6) Engine Verification: If the existing equipment engine tag is missing, then verification of the engine information can be done with the engine serial number. The participant will be required to provide verification of the engine make, model, model year, engine serial number, and horsepower from the manufacturer. Verification can include a letter or a printout from an engine manufacturer or participating dealer.

(e) Replacement Equipment Requirements (Replacement Projects Only)

For replacement projects, all replacement equipments must meet the following requirements before funding is awarded to the participant:

- (1) Purchased from a Participating Dealership: The replacement equipment must be purchased from a district-approved participating dealership.
- (2) Engine Emission Standards: The replacement equipment must have an engine that meets the current model year California emission standards or the current model year U.S. EPA emission standards if it is a federally

preempted engine. An ARB Executive Order or an U.S. EPA Certificate of Conformity certifying the engine meets this requirement must be included with the application package.

- Engines 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 ineligible to participate in the Carl Moyer Program.
- Engines that are participating in the “Tier 4 Early Introduction Incentive for Engine Manufacturers” program, as detailed in Title 13, CCR, section 2423(b)(6), are ineligible for Carl Moyer Program funding. The ARB executive order for these engines reference that the engines are certified under this citation.
- The certification emission standards and/or Tier designation for the engine must be determined from the ARB Executive Order issued for that engine. Executive Orders for off-road engines may be found at <http://www.arb.ca.gov/msprog/offroad/cert/cert.php>
- The engine in the replacement equipment must be certified to a NOx emission standard that is at least 15 percent lower than the emission standard(s) applicable to the existing engine and be certified to either the current applicable emission standard, except as noted below, or to a FEL NOx or NOx+NMHC level that is lower than the required emission standard.

(3) Warranty Requirements: Purchasers of new CI equipment must purchase a minimum of a three-year or 5000 hours power and drive train warranty for the replacement equipment. The warranty must cover parts and labor. Purchasers of used, late model year equipment must purchase the remaining manufacturer warranty, if available, on the equipment. Warranty documentation must be provided to the district. Warranty costs are not eligible for funding. It is recommended that the highest-grade warranty be purchased in order to avoid expensive repairs in the future. No Carl Moyer Program funds will be issued for maintenance or repairs related to the operation of the equipment. The participant takes sole responsibility for ensuring that the equipment is in operational condition.

(4) Engine and Emission Control Modifications: Emission controls on the replacement equipment engine cannot be modified in any manner. Unauthorized modification to engine performance (including changes in horsepower), emission characteristics, engine emission components (not including repairs with like-original equipment manufacturers replacement parts), or any other modifications to the engine’s emission control function is not allowed.

(f) Retrofit Requirements (Retrofit Projects Only)

- (1) Only ARB-verified retrofits are eligible for funding.
- (2) Retrofit projects must use the highest level technically feasible technology verified for the engine being retrofitted. The retrofit that achieves the highest level of PM reductions (Level 3: 85 percent reduction) and the highest level of NOx reductions is the highest level retrofit.
- (3) More information on retrofits, including a list of currently verified retrofits, is available at <http://www.arb.ca.gov/diesel/verdev/verdev.htm>. A searchable database of verified retrofits is available at <http://arb.ca.gov/diesel/verdev/vdb/vdb.php>.

(g) Air District Requirements

Air districts that decide to implement the Off-Road Voucher Program must follow the ORVP guidelines. Districts must implement the program under the following requirements:

- (1) The Off-Road Voucher Program guidelines and attachments provide all requirements for the program, therefore districts/dealers/grantees are not required to refer back to the 2011 Carl Moyer Program Guidelines for Moyer funded ORVP projects.
- (2) Each district must have a resolution of the district Governing Board that commits the district to comply with all ORVP requirements. If a district has been given prior authority to adopt a program like the ORVP, the district must have the ability to comply with all ORVP requirements.
- (3) Districts may not put additional limitations on project criteria or make changes to the ORVP guidelines.
- (4) A district may request Carl Moyer Program funds if the district chooses to use those funds to implement the ORVP as these funds become available. In order for a district to be approved for a funding request to implement the ORVP, the district must provide verification of board approval to implement the ORVP, a copy of at least one active dealer agreement, and a copy of at least one active dismantler agreement (as mentioned in (4)(e)(9)).
- (5) Districts must reject all ORVP applications if funds are not currently available. Districts cannot create a list of ORVP projects to receive funding in a future date.

- (6) Districts must create an addendum to their current CMP Policies and Procedures using the District ORVP Policies and Procedures (Appendix B) within two (2) months after they begin implementation of the ORVP. Districts are not required to submit this addendum to ARB but it must be available upon request.
- (7) Districts must use the program documents provided in the appendices. The documents may only be modified to include district logos and district contact information. The documents will be provided electronically to the participating air districts.
- (8) Districts must work to contract with equipment dealerships or retrofit installers located in their air district before contracting with dealerships or retrofit installers located outside of their air district. Districts that do not have dealerships or retrofit installers within their air district can proceed directly to contract with dealerships or retrofit installers located outside of their air basin. Districts can contract with dismantlers located within or outside of their air district.
- (9) Districts must contract with equipment dealerships, retrofit installers, and dismantler yards. Dealership and dismantler yard agreements must contain the language provided in Appendix C, C1, and D, respectively. If a dealership or retrofit installer has multiple locations, then the district either needs to have one agreement for each location or list each location in one agreement. The process for selection of dealerships, retrofit installers, and dismantler yards must be specified by the district in the District ORVP Policies and Procedures.
- (10) Districts must ensure participating dealerships, retrofit installers, and dismantlers meet all ORVP requirements. Districts must receive all requested documents from the dealership, retrofit installer, or dismantler prior to signing an agreement. Districts must maintain records that verify their participating dealerships, retrofit installers, and dismantlers meet the ORVP requirements.
- (11) Districts must provide participating dealership, retrofit installer, and dismantler contact information to ARB within ten (10) business days of entering into agreement.
- (12) Districts must ensure at least one representative from each participating dealership or retrofit installer is trained on the terms, conditions, and requirements of the Program. Districts must describe how this will be accomplished in the District ORVP Policies and Procedures.
- (13) Districts must work in coordination with ARB in outreach efforts to increase participation of equipment owners, dealerships, retrofit installers,

and dismantler yards. Districts must specify outreach efforts in the District ORVP Policies Procedures.

- (14) Districts must provide all applicants, dealerships, and retrofit installers with application packages, inspection forms, and any other applicable ORVP materials.
- (15) Districts cannot restrict where participating dealers and retrofit installers can send completed applications.
- (16) Districts must review and approve applications on a first-come, first-served basis, based on the date of receipt of the application by the district.
- (17) Districts must approve or reject applications within five (5) business days of receipt.
- (18) Districts must review an application package and approve a project once all program requirements have been met. To facilitate the review of the application package, the district must confirm that all requirements on the District Review Checklist: Initial Review have been met (Appendix E). The following application form fields are mandatory and must be filled in completely before the application may be approved:

<p>Applicant Information:</p> <ul style="list-style-type: none"> • Owner Name • Mailing Address (including City, State, Zip) • Physical Address (if different from mailing) • Owner Phone 	<p>Third Party Information:</p> <ul style="list-style-type: none"> • Third-Party Name • Mailing address (including City, State, Zip) • Physical Address (if different from mailing) • Phone • Third Party Signature & Date <p>Only required if a paid party other than the dealership completes the application</p>
<p>Existing Equipment and Engine Information:</p> <ul style="list-style-type: none"> • Equipment Make • Equipment Model • Equipment Model Year • DOORS Equipment Identification Number (EIN) (if available) • Equipment Serial Number • Equipment Operational • Engine Make • Engine Model • Engine Model Year • Engine Serial Number • Engine Operational • Fuel Used 	<p>Replacement Equipment and Engine Information: <i>(Replacement Projects Only)</i></p> <ul style="list-style-type: none"> • Equipment Make • Equipment Model • Equipment Model Year • Engine Make • Engine Model • Engine Model Year • Engine Family Number • Engine Operational • Fuel Used • ARB Executive Order Number or U.S. EPA Certificate of Conformity Number
<p>Dealership/Retrofit Installer Information: All fields must be filled out or a business card must</p>	<p>Retrofit Information: <i>(Retrofit Projects Only)</i></p> <ul style="list-style-type: none"> • Retrofit Make • Retrofit Model • Retrofit ARB Executive Order #

be attached	<ul style="list-style-type: none"> • ARB-verified PM reduction % • ARB-verified NOx reduction % • Retrofit Cost • Cost of Retrofit with Installation
Inspection Forms: all applicable forms must be filled in based on the information required above for the existing and replacement equipments.	Applicant Recitals Owner must sign and date application

- (19) Districts must enter the Equipment Identification Number (EIN) assigned by DOORS (if available) or Equipment Serial Number (ESN) into the CARL database as part of the initial review of the application to ensure that the existing equipment has not already applied for funding. If the EIN or ESN has already been entered into the CARL database, then the district must reject the application.
- (20) Dismantle inspections must be conducted by district staff. For all other inspections listed below, districts have the option of conducting inspections or having the dealership conduct the inspections. If the district decides to conduct the inspections, the inspections must be scheduled and completed within the following timeframes:
- Pre-inspection of the existing equipment must be completed within five (5) business days of the receipt of the application or request by the applicant or dealership.
 - Post-inspection of the replacement equipment or retrofit must be completed within three (3) business days of being notified by the dealership or installer.
 - Pre-dismantle inspection of the existing equipment must be completed within three (3) business days of being notified by the dealership. The pre-dismantle inspection is to verify the existing equipment is in similar operating condition as in the pre-inspection. If the existing equipment has been stripped of major parts or accessories, the district may withhold payment until the existing equipment is restored to its previous state.
- (21) For approved projects, the district must provide an Approved Voucher Package to the dealership or retrofit installer, as applicable. An approved voucher package includes the following documents:
- Voucher (Appendix F)
 - Receipt of Voucher (Appendix G)
 - Dealer Reimbursement Invoice (for immediate signature and return to the district – Appendix H)
 - Post-inspection (replacement equipment) and Pre-dismantle (existing equipment) Inspection Forms (Appendix I)

- Dealer Reimbursement Package Checklist (Appendix J)

- (22) If a submitted application is incomplete, illegible, or any documentation is missing or unclear, the district must reject the application immediately and return it to the applicant.
- (23) Rejected projects: Districts must mail or e-mail an application rejection letter and the application package to the applicant if their application has been rejected. This letter must be issued by the end of the five-day (5) review period. The district must state the reason(s) for the rejection on the rejection letter. If an application is rejected because the EIN or ESN is already in the CARL database, then the district should note this is the reason for rejection on the rejection letter and keep it in the project folder. The district must also notify the dealer or installer by mailing or e-mailing a copy of the rejection letter. A template of the rejection letter is in Appendix K.
- (24) Payment Goal: A goal of the program is to ensure payment can occur when the existing equipment is turned into the dealership and the replacement equipment is ready for purchase, or when the retrofit installation is complete. The district shall work towards achieving this goal and should notify the dealership or installer of any delays in issuing payment.
- (25) Project Payment Options: In order to achieve the payment goal, districts have two project payment options. The first option is to immediately begin the disbursement process for the approved voucher project after receiving a signed Reimbursement Invoice (Appendix H). Payment must not be distributed until a district-approved Reimbursement Package has been submitted by the dealership or installer. The second option is to begin the disbursement process and issue payment within ten (10) business days of receipt of a completed reimbursement package. Districts must include in the District ORVP Policies and Procedures the option that is implemented.
- (26) District Payment Checklist: Districts should use the District Payment Review Checklist to help review if a complete reimbursement package has been submitted and payment can be issued (Appendix L). Districts must keep a copy of the check with all project documents.
- (27) If the process of payment is delayed, the district must notify the dealership or installer by phone or e-mail at the earliest possible time of such delay.
- (28) If the reimbursement package is not complete, the district will mail or e-mail a reimbursement package rejection letter explaining the discrepancy to the dealership or installer (appendix M) and keep a copy of this letter.

- (29) Districts must enter all project data information into the CARL database within five (5) business days of approving an application for a voucher. Payment information should be submitted within five (5) business days after payment is issued.
- (30) Districts must conduct the dismantle inspection of the existing equipment at the dismantler within sixty (60) calendar days of being notified the existing equipment has been delivered to the dismantler yard. Inspection forms are in Appendix I. The dismantle inspection should include verification of engine destruction and equipment frame rails are completely severed.
- (31) Districts must mail out annual usage survey reports to participants (Appendix N) for five (5) years after the project has been funded. The district must also input data from the returned surveys into CARL. ARB will ensure all other participant voucher requirements are met.
- (32) Records Retention: Districts must retain all records of approved voucher projects for a minimum of seven (7) years from the date of issuing the voucher. For rejected projects, districts must maintain a copy of the application, the rejection letter, and method of notification for seven (7) years from the date the application was received.
- (33) Audit and Monitoring: Districts must allow ARB to monitor their voucher program; of which may include project audits of the district's implementation of the program.
- (34) Audit of Participating Dealers and Retrofit Installers: Districts must meet the following audit requirements:

Districts are required to audit 5 percent of each type of inspection (pre, post, and pre-dismantle). Audits should be done randomly and occur throughout the implementation timeline of the district. Below is a table of audit requirements for the districts to follow.

Type of Audit Inspection	Purpose(s)	Timing of Audit Inspection
Pre-inspection	<ul style="list-style-type: none"> • Verify existing equipment is in operational condition • Verify existing equipment application information 	After application is submitted to district but prior to approving the application.
Post-inspection	<ul style="list-style-type: none"> • Verify replacement equipment meets emission standards: or • Verify that retrofit as 	After replacement equipment is delivered or retrofit installation, and prior to payment being issued

	installed matches executive order verification <ul style="list-style-type: none"> • Verify application information 	
Pre-dismantle inspection (Replacement projects only)	<ul style="list-style-type: none"> • Verify existing equipment is in operational condition and has not been stripped of parts • Verify existing equipment application information 	After existing equipment is delivered to dealership and payment is issued. Existing equipment is at dealership location

- Auditing dealers is not required for districts that conduct 100% of their own inspections.

(35) Meeting Environmental Justice Requirements: Districts with environmental justice (EJ) requirements shall not apply these requirements to the ORVP application review until after each year of implementation. The district must then review each project to determine if it helps to meet district EJ requirements. If those requirements have not been met other Carl Moyer funded projects will need to be used to fulfill the EJ requirement.

(h) Dealership Requirements

- (1) Dealership participation is an important component of the ORVP. Dealers are responsible for providing participants with assistance in the application process. This includes ensuring compliance with all program requirements. Participating equipment dealers are required to do the following:
- a. Dealerships must enter into an agreement with at least one district in order to be a participating dealer in the ORVP. Language that will be included in this agreement can be found in Appendix C. The air district will provide the dealer with the exact contract language once the dealer has expressed interest in participating.
 - b. Dealerships may choose to enter into agreements with more than one district.
 - c. Dealership Qualifications: Dealership warrants that it meets the following minimum qualifications for participation in the Program, and will continue to meet these qualifications throughout its participation in the Program.
 - i. Dealership has had a valid business license issued in California for a minimum of the last two years. Dealerships may meet this requirement by providing documentation of being registered with DMV as a licensed vehicle dealership.

- ii. Dealership maintains a minimum of one (1) employee that has successfully completed the training by the District regarding the terms, conditions and requirements of the Program. If a participating dealership maintains more than one location for equipment sales, then each location must have at least one employee trained on the ORVP.
 - iii. Dealership agrees to allow the District or ARB to inspect equipments or audit program records covered under this Agreement during normal business hours.
- d. Provide accurate information about the ORVP to applicants.
 - e. Help the participants complete the ORVP application package. It is important to make sure that all information is filled out correctly and that the participant understands the ORVP requirements.
 - f. Dealerships must show on the replacement equipment invoice the voucher amount. The voucher does not reduce the purchase price of the equipment, but is an incentive to the equipment owner that will result in a lower price paid by the participant. The receipt of voucher funds does not lower the base price of the equipment or does not reduce the tax basis of the equipment.
 - g. Once the application package is complete, submit the application package to the district. Incomplete application packages will be rejected and returned to the applicant. The dealer will also be notified of the reasons for rejection (Appendix K).
 - h. Application Submittal Recommendation: ORVP recommends dealers submit applications to contracted districts that are closest to an applicant's physical address.
 - i. Ensure any used replacement equipment has an engine that meets the current model year California emission standards or the current model year U.S. EPA emission standards if it is a federally preempted engine.
 - j. Ensure the existing equipment is delivered to the dealership prior to releasing the replacement equipment.
 - k. Ensure the existing equipment is in similar condition as found in the pre-inspection. The dealer should reject the condition of the existing equipment if it is deemed not operational or if parts were stripped from the existing equipment. Reimbursement of the voucher will be withheld until the dealer (or district) approves of the

condition of the existing equipment and is delivered to the dealership.

- I. Ensure the existing equipment and its original, signed title is sent to a participating dismantler yard for destruction within thirty (30) business days of owner delivery to the dealership. Immediately notify the district of the location and date of delivery of the existing equipment to the dismantler.
- (2) Application Package: To ensure that an application package is complete, the dealer must ensure that all the following items are complete and included in the participant's submission to the district. An applicant checklist is available for participants and dealerships to use (Appendix A). The following must be completed before a voucher will be issued:
- a. Submit a signed and complete application.
 - b. Submit all other applicant-required documentation as listed in these guidelines and on the application checklist
 - c. If required by the district, inspect and provide documentation showing that the existing equipment is operational. The district may decide to conduct the inspections and will notify the dealership of this.
 - d. Submit digital photographs of the existing equipment to the district. The district will specify the required format of digital photos as listed on the inspection form in appendix C. Before submitting photographs to the district, dealers must verify that photographs are clear with a minimum capture resolution of 640X480. Dealers can submit photos of more than one equipment inspection on a disk or other media as long as the pictures are clearly labeled. All DOORS Equipment Identification Numbers (EIN) (if available) and engine serial numbers must be legible.
- (3) Dealer Reimbursement Package: Prior to receiving reimbursement, the dealer must submit a reimbursement package to the district. A checklist is available for the dealers (Appendix J). The following documents should be included in the reimbursement package:
- a. Reimbursement Invoice (appendix H) should be signed and returned to the district upon receipt
 - b. Final dealership invoice signed by the applicant that shows the final purchase price less the voucher award

- c. Receipt of Voucher signed by the participant
- d. The original Voucher
- e. Copy of finance documentation (if applicable)
- f. Copy of replacement equipment warranty
- g. Inspection forms and pictures of the existing equipment after it is turned in to the dealership as specified in Appendix I.
- h. Inspection forms and pictures of the replacement equipment as specified in appendix I.
- i. Location of the dismantler yard that the existing equipment will be destroyed.
- j. Date the existing equipment is delivered to or picked up by a participating dismantler.

(i) Retrofit Installer Requirements

- (1) Retrofit installer participation is an important component of the ORVP. Retrofit installers are responsible for providing participants with assistance in the application process. This includes ensuring compliance with all program requirements. Participating retrofit installers must do the following:
- a. Enter into an agreement with at least one district in order to be a participating installer in the ORVP. Language that will be included in this agreement can be found in Appendix C(1). The air district will provide the installer with the exact contract language once the installer has expressed interest in participating.
 - b. Installers may choose to enter into an agreement with more than one district.
 - c. Installer Qualifications: Installer warrants that it meets the following minimum qualifications for participation in the Program, and will continue to meet these qualifications throughout its participation in the Program.
 - iv. Installer has had a valid business license issued in California for a minimum of the last two years.
 - v. Installer maintains a minimum of one (1) employee that has successfully completed the training by the District regarding the terms, conditions and requirements of the Program. If a

- participating installer maintains more than one location, then each location must have at least one employee trained on the ORVP.
- vi. Installer agrees to allow the District or ARB to inspect equipments or audit program records covered under this Agreement during normal business hours.
 - d. Provide accurate information about the ORVP to applicants.
 - e. Help the participants complete the ORVP application package. It is important to make sure that all information is filled out correctly and that the participant understands the ORVP requirements.
 - f. Installers must show the voucher amount on the retrofit invoice. The voucher does not reduce the purchase price of the retrofit, but is an incentive to the equipment owner that will result in a lower price paid by the participant. The receipt of voucher funds does not lower the base price of the retrofit nor does it reduce the tax basis of the retrofit.
 - g. Once the application package is complete, submit the application package to the district. Incomplete application packages will be rejected and returned to the applicant. The installer will also be notified of the reasons for rejection (Appendix K).
 - h. Application Submittal Recommendation: Installers are requested to submit applications to contracted districts that are closest to an applicant's physical address.

(2) Application Package: To ensure that an application package is complete, the installer must ensure that all the following items are complete and included in the participant's submission to the district. An Application Checklist is available (Appendix A). The following must be completed before a voucher will be issued:

- a. Submit a signed and complete application.
- b. Submit all other applicant-required documentation as listed in these guidelines and on the application checklist
- c. If required by the district, inspect and provide documentation showing that the existing equipment is operational. The district may decide to conduct the inspections and will notify the installer of this.
- d. Submit digital photographs of the existing equipment to the district. The district will specify the required format of digital photos as listed

on the inspection form in appendix C. Before submitting photographs to the district, installers must verify that photographs are clear with a minimum capture resolution of 640X480. Installers can submit photos of more than one equipment inspection on a disk or other media as long as the pictures are clearly labeled. All DOORS EIN (if available) and engine serial numbers must be legible.

- (3) Reimbursement Package: Prior to receiving reimbursement, the installer must submit a Reimbursement Package to the district. A checklist is available (Appendix J). The following documents should be included in the reimbursement package:
- a. Reimbursement Invoice (appendix H) should be signed and returned to the district upon receipt
 - b. Final invoice signed by the applicant that shows the final purchase price less the voucher award
 - c. Receipt of Voucher signed by the participant
 - d. The original Voucher
 - e. Copy of finance documentation (if applicable)
 - f. Copy of retrofit warranty
 - g. Inspection forms and pictures of the equipment before it is retrofitted as specified in Appendix I.
 - h. Inspection forms and pictures of the equipment after retrofit is complete as specified in Appendix I.

(j) Dismantler Requirements

For replacement projects, ARB requires that the existing equipment is destroyed. Destruction of the existing equipment chassis and engine permanently removes the old, high-emitting equipments from operation. This requirement has been established to ensure that emission reductions are real. It prevents the existing equipments from being moved into another locale to continue emitting high levels of pollutants. Districts will establish a list of participating dismantlers that existing equipments can be delivered to or picked up for destruction.

To participate in the ORVP, a dismantler must enter into an agreement with the district. Appendix D lists the terms that must be included in the district/dismantler agreement. The following are requirements for participating dismantlers.

- (1) Participating equipment dismantlers are required to meet the following requirements in order to participate in the ORVP and provide verification to the district:
 - Be licensed by the Department of Motor Vehicles (DMV) as a Dismantler;
 - Have a current, valid California Environmental Protection Agency (Cal/EPA) Hazardous Materials Generators Permit; and
 - Be in compliance with all local, state and federal laws and regulations.
 - Owner must have a minimum of one (1) active employee who received training by the District on the requirements of the Program. If a dismantler has more than one location, then the dismantler must have at least one (1) active employee trained by the District at each location that will be accepting ORVP equipments.
 - Dismantler has had a valid California business license for a minimum of the last two years.
- (2) Funding is not available for the dismantling of any existing equipment.
- (3) The dismantler must agree to do the following:
 - Destroy the existing equipment within sixty (60) days of receipt. Destruction of the equipment includes completely severing the frame rails so that the frame is no longer capable of being used in a equipment.
 - The existing equipment's engine must be destroyed and rendered useless. A minimum 3-inch diameter hole must be put into the engine block.
 - The dismantler must notify the district that an equipment is destroyed and ready for inspection.
 - The destruction of the engine and equipment must be documented by the district. The district must verify in-person the equipment identification numbers and engine serial number.

5. Definitions

For the purposes of the ORVP, definitions are as follows:

Agricultural Tractor: A wheel type vehicle, or track vehicle designed to furnish the power to pull, carry, propel, or drive implements that are designed for agriculture.

Equipment Components: Any components of an equipment specific to the actual vocation of the equipment. This does not include any components that are directly related to the propulsion of the equipment, common component of an equipment (i.e. steering wheel, seats, etc.), or related to the rigid structure of the tractor.

Construction Tractors/Loaders/Backhoes: A tractor is a vehicle specifically designed to deliver a high tractive effort (or torque) at slow speeds, for the purposes of hauling a trailer or machinery used construction. A loader is a type of tractor, usually wheeled, sometimes on tracks, that has a front mounted square wide bucket connected to the end of two booms (arms) to scoop up loose material from the ground, such as dirt, sand or gravel, and move it from one place to another without pushing the material across the ground. A loader is commonly used to move a stockpiled material from ground level and deposit it into an awaiting dump truck or into an open trench excavation. A backhoe is powered excavating machine used to cut trenches by drawing a boom-mounted bucket through the ground toward the machine. The bucket is raised and swung to either side to deposit the excavated material.

Dismantler: A place of business whose purpose is to destroy off-road equipment and engines that also meet the requirements of section (g).

Existing Equipment: For replacement projects, the existing equipment is the equipment that will be turned in by the applicant for dismantling and destruction. For retrofit projects, the existing equipment is the equipment that will have a retrofit installed.

Off-Road Regulation: In-Use Off-Road Diesel Vehicles Regulation (Title 13, CCR, Section 2449).

Participating Dealership: A dealership that has an agreement with an air district to participate in the ORVP.

Participating Dismantler: A dismantler that has an agreement with an air district to participate in the ORVP.

Uncontrolled Engine: An off-road diesel engine that is manufactured in the following years and is not certified to any ARB off-road diesel emission standards or an U.S. EPA non-road diesel emission standards.

- Pre-1998 (25 to 49 hp)
- Pre-1997 (50 to 99 hp)

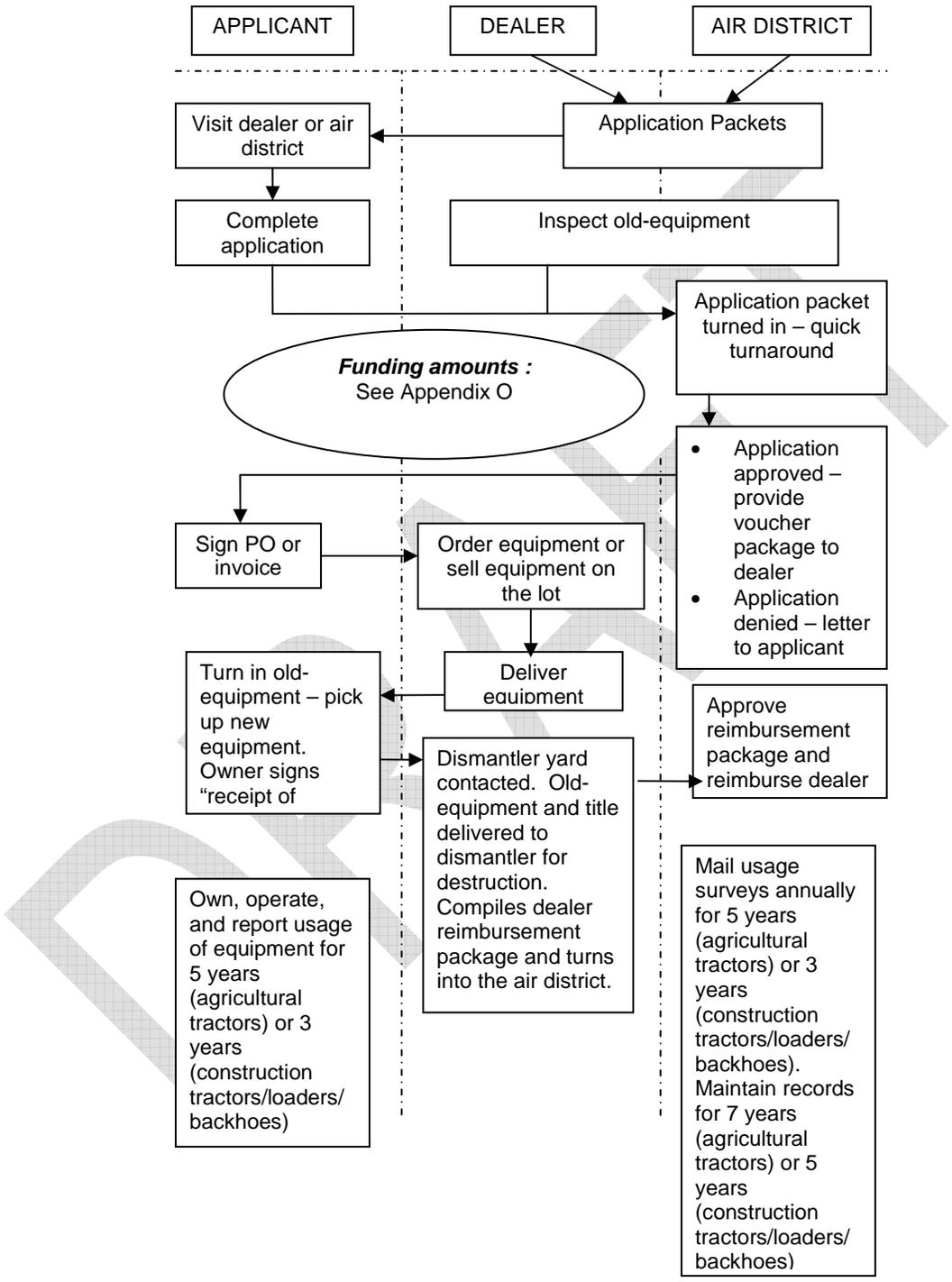
- Pre-1996 (100 to 174 hp)

Small Fleets: As defined in the In-Use Off-Road Diesel Vehicles Regulation (Title 13, CCR, Section 2449(c)(25)(C)): “Small Fleet” means a fleet with total maximum power of less than or equal to 2,500 hp that is owned by a business, non-profit organization, or local municipality, or a local municipality fleet in a low population county irrespective of total maximum power, or a non-profit training center irrespective of total maximum power.

Verified Diesel Emission Control Strategy (VDECS): an emission control strategy (retrofit) that has been verified pursuant to the “Verification Procedure, Warranty and In-Use Compliance Requirements for In-Use Strategies to Control Emissions from Diesel Engines” in Title 13, California Code of Regulations, commencing with section 2700.

DRAFT

Off-Road Voucher Program Equipment Replacement Flow Chart



Appendix A

OFF-ROAD VOUCHER PROGRAM Application Package

- Please print clearly or type all requested information on this application.
- Submit all supporting documentation listed on the application checklist on pg. 2.
- Complete one application for each off-road equipment.
- **If the submitted application is incomplete, illegible, or any documentation is missing or unclear, the application will be rejected immediately and returned to the applicant.**

Eligibility Criteria

To be eligible for funding in the Off-Road Voucher Program, projects must meet the criteria described in the Off-Road Voucher Program Guidelines. These criteria include, but are not limited to, the following:

- Eligible Equipment: Uncontrolled off-road compression ignition equipment with engines that are greater than 25 horsepower (hp) and less than or equal to 175 hp that meet the following criteria are eligible to participate in the ORVP:
 - Agricultural tractors that are not currently regulated by an Air Resources Board (ARB) in-use regulation.
 - Construction tractors/loaders/backhoes in small fleets that have a total fleet hp of 2500 or less, as determined by the In-Use Off-Road Diesel Vehicles Regulation (Off-Road Regulation).
- Eligible Engines: The existing engine must be uncontrolled. Verification must be submitted in the application package. Verification can include a picture of the model year on the engine plate or written documentation from the manufacturer or participating dealer that matches the engine serial number to a particular model year.
- Ownership Requirements: The participant must currently own and operate the existing equipment. The participant must be able to provide two (2) items from the following documentation list:
 - (1) Bill of sale for the existing equipment
 - (2) Copy of Diesel Off-road On-line Reporting System (DOORS) registration
 - (3) Tax depreciation logs
 - (4) Property tax records
 - (5) Equipment insurance records
 - (6) Bank appraisals for equipment
 - (7) Maintenance/service records
 - (8) General ledgers

- **Prior Minimum Usage Requirement:** The existing equipment must have met the annual usage requirements in Appendix O, during each twelve (12) months for the previous twenty-four (24) months. Participants must submit documentation verifying usage for the previous twenty-four (24) months for the existing equipment. The participant must be able to provide at least one (1) of the following types of documentation:
 1. Hour meter reading log collected at minimum of once per year from an installed and fully functioning hour meter or
 2. At least two (2) items from the following list proving existing equipment is being used by the fleet:
 - A. Revenue and usage records that identify operational, standby, and down hours for the equipment
 - B. Employee timesheets linked to specific equipment use
 - C. Preventative maintenance records tied to specific hours of equipment use
 - D. Repair work orders specific to the equipment.
- **Operation in California:** The existing equipment must have operated at least 75% of the time in California during each twelve (12) month period for the previous twenty four (24) months. Applicant certifies this on the application.
- **Applying for Funds:** Applicant may only apply for funds through the Off-Road Voucher Program to one air district at a time per piece of equipment. Applicant cannot apply for any other grant funds to replace or retrofit this equipment.
- **Two-for-One Equipment Replacements:** If an applicant is applying to replace two (2) existing equipment with one (1) replacement equipment, then two applications and supporting documentation must be submitted. Please specify this on the application by checking the Two-for-One Option.
 1. The horsepower rating for the replacement equipment engine must not be greater than 125 percent of the original manufacturer rated horsepower (baseline horsepower) for the existing equipment engine.

OFF-ROAD VOUCHER PROGRAM Application Checklist

Applicant Information	Dealer Information
Company:	Dealership:
Owner:	Salesperson:
Phone:	Phone:
FAX:	FAX:
E-mail:	E-mail:
<i>Option: attach business card</i>	<i>Option: attach business card</i>

√	Applicant Requirements
<input type="checkbox"/>	Completed application (signed & dated in ink)
<input type="checkbox"/>	Copy of two (2) items from ownership document list
<input type="checkbox"/>	Equipment usage documentation (for previous twenty four (24) months) <input type="checkbox"/> Hour meter reading records
<input type="checkbox"/>	Equipment usage documentation for the existing equipment must prove : <input type="checkbox"/> selected annual usage for previous twenty four (24) months
<input type="checkbox"/>	Inspection Form for the existing equipment signed by a participating dealership, retrofit installer, or air district
<input type="checkbox"/>	Digital photos of the existing equipment
<input type="checkbox"/>	Verification of existing engine model year from the manufacturer or dealership
<input type="checkbox"/>	Signed and dated quote and specification sheet for the replacement equipment or retrofit
<input type="checkbox"/>	ARB Executive Order for replacement equipment engine or retrofit. U.S. EPA Certificate of Conformity for federally preempted engines.
<input type="checkbox"/>	If replacing two existing equipment with one replacement equipment, submit an application and the above information for each existing equipment. Check the box on the application marked "Two-for-One Option". <input type="checkbox"/> Replacement equipment engine hp < 125% of existing equipment engine.

OFF-ROAD VOUCHER PROGRAM Application

Date Received:
(For office use only)

Applicant Information

Owner Name:		Company Name:	
Mailing address:			
City:	State:	Zip Code:	
Physical address:			
City:	State:	Zip Code:	
Owner E-mail:		Owner Phone:	

Third Party Information

This box needs to be filled out if application is completed by anyone being paid to complete the application on the owner's behalf. Dealers do not need to complete this section.

Third-Party Name:		Company Name:	
Mailing address:			
City:	State:	Zip Code:	
Physical address:			
City:	State:	Zip Code:	
Phone:	E-mail:		
Third Party Signature:		Date:	

Existing Equipment and Engine Information

Two-for-One Option

EQUIPMENT INFORMATION:			
Equipment Make:	Equipment Model:	Equipment Model Year:	
DOORS EIN (if available):	Equipment Serial Number:	Date of Manufacture:	
Fleet ID:	Equipment operational? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Engine Information:			
Engine Make:	Engine Model:	Engine Model Year:	Date of Manufacture:
Engine Serial Number:	Engine Family Number:	Engine Horsepower:	
Engine operational? <input type="checkbox"/> Yes <input type="checkbox"/> No	Fuel used? <input type="checkbox"/> Diesel <input type="checkbox"/> Other: _____		

Replacement Equipment and Engine Information (If Applicable)

EQUIPMENT INFORMATION:

Equipment Make:	Equipment Model:	Equipment Model Year:	
Equipment Serial Number:		Date of Manufacturer:	
Equipment operational? <input type="checkbox"/> Yes <input type="checkbox"/> No		Estimated Delivery Date:	
Engine Information:			
Engine Make:	Engine Model:	Engine Model Year:	Date of Manufacture:
Engine Serial Number:	Engine Family Number:	Engine Horsepower:	
Engine operational? <input type="checkbox"/> Yes <input type="checkbox"/> No	Fuel used? <input type="checkbox"/> Diesel <input type="checkbox"/> Other: _____	ARB Executive Order Number or U.S. EPA Certificate of Conformity Number:	

Retrofit Information (If Applicable)

Retrofit Make:	Retrofit Model:
Retrofit ARB Executive Order Number:	Retrofit Serial Number (if available):
ARB-verified PM reduction (%):	ARB-verified NOx reduction (%):
Retrofit Cost:	Cost of Retrofit with Installation:

Dealership/Retrofit Installer Information (or attach business card)

Contact Person:	Business Name:		
Phone:	Address:		
City:	State:	Zip Code:	

Operational Area

Using the map below, estimate the percentage of your annual usage that will occur in each area. *This information is required, but will NOT affect your eligibility or potential funding amount.*

North Coast:	Northeast Plateau:
Lake County:	Sacramento Valley:
San Francisco Bay:	Mountain Counties:
North Central Coast:	Lake Tahoe:
South Central Coast:	San Joaquin Valley:
South Coast:	Great Basin Valleys:
San Diego County:	Mojave Desert:
	Salton Sea:
<i>Note: The total of all percentages must equal 100.</i>	

California Air Basins



By submitting this application, I certify under penalty of perjury that the information on this application is accurate and true:

- I am the owner of the existing equipment;
- The company is a small fleet with total maximum power of less than or equal to 2,500 horsepower if applying for funding for a tractor/loader/backhoe subject to the Off-Road Regulation;
- The information provided in this application and all supporting documentation are true and correct and meet the minimum requirements of the Off-Road Voucher Program;
- The existing equipment(s) must have operated at least 75% of the time in California during each twelve (12) month period for the previous twenty four (24) months;
- I have not and will not apply for additional grant funds from any other entities or programs for this equipment;
- The purchase of this low-emission equipment or retrofit is NOT required by any local, state, and/or federal rule or regulation;
- I understand that I must be in compliance and remain in compliance with all applicable federal, state, and local air quality rules and regulations;
- I understand that an incomplete or illegible application, or if any required documentation is missing, this application will be immediately rejected and returned to me;
- I understand that I can reapply for project funding if this application is rejected because it was incomplete, illegible, or missing required documentation;
- I understand as an applicant that incentive programs have limited funds and shall terminate upon depletion of program funding;
- I have the legal authority to apply for incentive funding for the entity described in this application; and
- I agree to the above statements by signing below.

Owner Signature:

Date:

Printed Name:

Title:

Please attach all documentation listed on the application checklist

Please submit this application to the air district below. If you have any questions in completing your application, please contact:

<Air District Contact Information>

Appendix B
OFF-ROAD VOUCHER PROGRAM
District ORVP Policies and Procedures

NOTE to DISTRICT:

The program elements listed do NOT constitute District's entire Policies and Procedures. This is an addendum to the District's already existing Policies and Procedures in order to explain how to administer the Off-Road Voucher Program. The terms have been prepared to facilitate the District's preparation of their Off-Road Voucher Program Policies and Procedures. The District must ensure the intent of the ORVP Guidelines are met and include the program elements listed below into their ORVP District Policies and Procedures.

1. PROGRAM APPROVAL

How the District is obtaining approval to implement the Carl Moyer Off-Road Voucher Program.

2. a. DEALER SELECTION

The processes the District goes through to solicit and select dealers to go into agreement with.

b. RETROFIT INSTALLER SELECTION

The processes used by the District to solicit and select retrofit installers to enter into agreement with.

3. DISMANTLER SELECTION

The processes the District goes through to solicit and select dismantlers to go into agreement with.

4. PAYMENT PROCESS

The option in which the District chooses to reimburse and issue payment to the dealership or retrofit installer. There are two options:

- a.) To start the disbursement process as soon as they receive a Reimbursement Invoice, OR
- b.) To start the disbursement process and issue a check within ten (10) business days of receiving a completed Reimbursement Package.

5. DOCUMENTATION

The method in which the District chooses to document the activities and progress of the Off-Road Voucher Program.

6. AUDITS

How the District chooses to audit and inspect the projects. There are two options:

- a.) The District can choose to do all pre and post-inspections.

- b.) If the District chooses to have dealerships and retrofit installers do the inspections the District must audit 5% of each inspection (pre-inspection, post-inspection, and pre-dismantle inspection). The audits should be done randomly. The District must outline how they will conduct audits in the ORVP Policies and Procedures.

7. DEALER & RETROFIT INSTALLER TRAINING

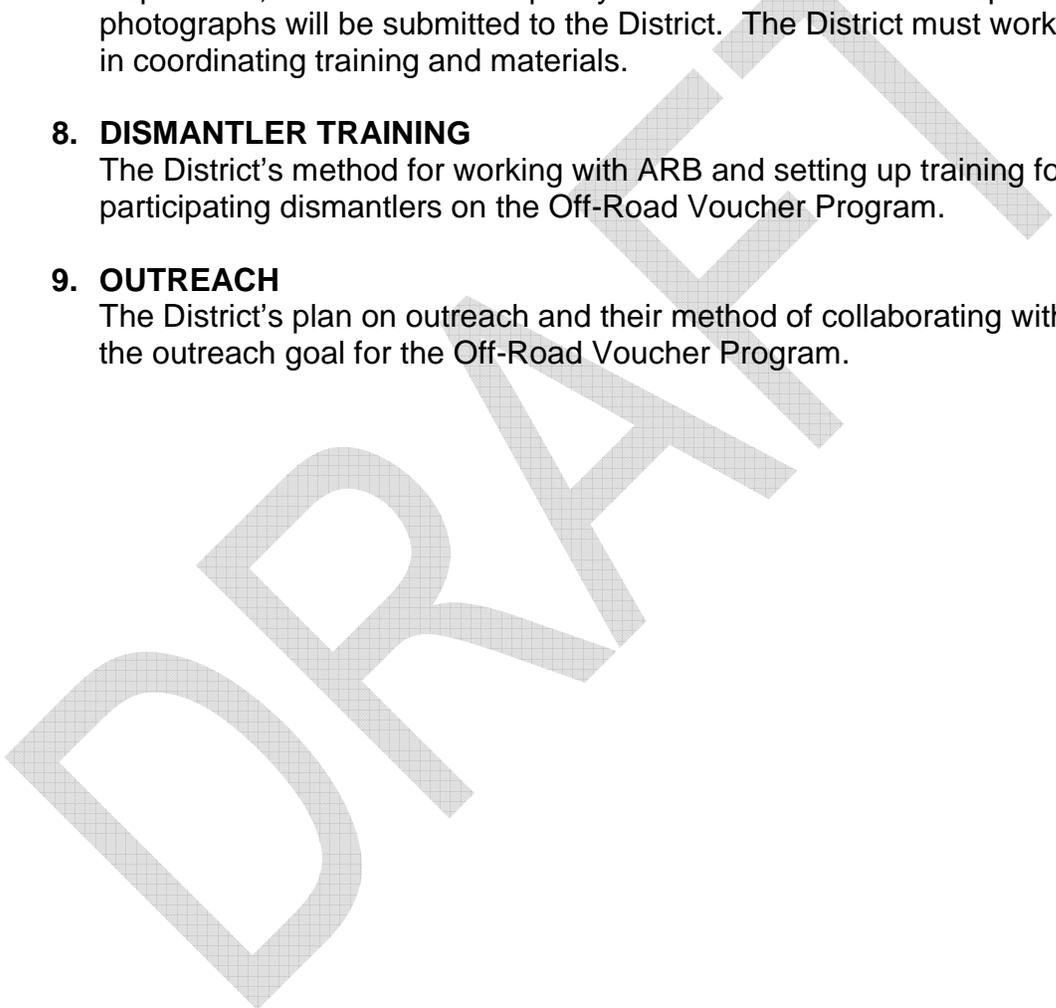
The District's method for working with ARB and setting up training for the participating dealers and retrofit installers on the Off-Road Voucher Program. If the District chooses to have dealers and retrofit installers do the inspections, the District must specify the media in which the inspection photographs will be submitted to the District. The District must work with ARB in coordinating training and materials.

8. DISMANTLER TRAINING

The District's method for working with ARB and setting up training for the participating dismantlers on the Off-Road Voucher Program.

9. OUTREACH

The District's plan on outreach and their method of collaborating with ARB in the outreach goal for the Off-Road Voucher Program.



Appendix C
OFF-ROAD VOUCHER PROGRAM

Dealership Agreement Terms to be included in Master Agreement
Between the District and Dealer

NOTE to DISTRICT:

The terms listed do NOT constitute District's entire Agreement; standard District Agreement language (such as, confidentiality, termination, indemnification, insurance, etc.) must be included in conjunction with the items below. The terms have been prepared to facilitate the District's preparation of Agreement. The District must include the terms listed below and supersede any additional terms included by the District.

1. The District has not reviewed the Dealership's operations or reached any conclusion on the quality of the Dealership's operations. The District is permitting the Dealership to enter into this Agreement solely because Dealership has represented to the District that it is aware of the California Air Resources Board Off-Road Voucher Program Guidelines (Guidelines) goals, and agrees to abide by the Program requirements and Guidelines.
2. The District and Dealership agree that if the California Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the Program, this Agreement shall be of no further force and effect. In this event the State shall have no liability to pay any funds whatsoever to the District and Dealership or to furnish any other considerations under this Agreement.
3. Payment: The District will not pay or otherwise directly reimburse or compensate in any way the Dealership for its services rendered in keeping with this Agreement, but the benefit received by Dealership under this Agreement is the opportunity to participate in the Program, which includes the corresponding opportunity for the Dealership to profit from the sale of equipments to Program Participants.
4. Reduction in Equipment Purchase Price: The dealership should show the voucher amount on the replacement equipment invoice. This amount should not reduce the sales price of the equipment but should reduce the amount the participant will pay for the equipment. The receipt of voucher funds does not lower the base price of the equipment and does not reduce the tax basis of the equipment.
5. Voucher Payment: The Dealership will be reimbursed by the District for the voucher amount once the Dealership submits a complete Reimbursement Package to District as outlined in the Guidelines and in this Agreement.
6. Dealership Obligations: The Dealership agrees to provide general information to Program participants about the Program. The District will provide training to Dealership staff. The Dealership agrees to assist Program participants to correctly complete and submit the Application Package to the District. It is important verify

that all information is filled out correctly and that the participant understands the Program.

- a. Before the District may approve a voucher, an Application Package must be completed and submitted to the District. The Application Package must include all required documentation as outlined in the Program Guidelines.
 - b. After the District notifies the Dealership of application approval, the Dealership will order the replacement equipment with an eligible engine, as specified in the Guidelines, and have the replacement equipment delivered to the Dealership.
 - c. Within thirty (30) days after the owner delivers the existing equipment and original, signed title to the Dealership, the Dealership must ensure the existing equipment is sent to a participating dismantler for destruction. The District will provide a list of participating dismantlers to the Dealership.
7. Dealership Qualifications: Dealership warrants that it meets the following minimum qualifications for participation in the Program, and will continue to meet these qualifications throughout its participation in the Program.
- a. Dealership has had a valid business license in California for a minimum of the last two (2) years.
 - b. Dealership maintains a minimum of one (1) employee that has successfully completed the training by the District regarding the terms, conditions and requirements of the Program. If a participating dealership maintains more than one location for equipment sales, then each location must have at least one employee trained on the ORVP. Language must be included in the dealership agreement requiring each location have at least one employee is trained on the ORVP.
 - c. Dealership agrees to allow the District or Air Resources Board (ARB) to inspect equipment or audit program records covered under this Agreement during normal business hours.
8. Inspections: Inspections described below require inspection forms be completed and photographs taken to document equipment and engine. Specific requirements are outlined in the Guidelines.
- a. All inspections except for the dismantle inspection may be conducted by an authorized Dealership. If the District requests the Dealership to conduct an inspection, then the inspection must be conducted as follows:

- i. Pre-Inspection: Submit completed inspection form and photos to district with the application
 - ii. Post-Inspection: Submit completed inspection form and photos to district with Dealer Reimbursement Package (Appendix J)
 - iii. Pre-Dismantle: Submit completed inspection form and photos to district with Dealer Reimbursement Package (Appendix J)
 - a. If the District conducts inspections, then inspections must be conducted in accordance with the ORVP Guidelines.
- 9. Dealership Reimbursement: Dealership must submit a Reimbursement Package to the District. A description of documents in the Reimbursement Package is listed in the Guidelines. The Reimbursement Package must include:
 - a. Reimbursement Invoice (appendix H) should be signed and returned to the district upon receipt
 - b. Final dealership invoice signed by the applicant that shows the final purchase price less the voucher award
 - c. Receipt of Voucher signed by the participant
 - d. The original Voucher
 - e. Copy of DOORS registration (if available)
 - f. Copy of finance documentation (if applicable)
 - g. Copy of replacement equipment warranty information
 - h. Inspection forms and pictures of the existing equipment after it is turned in to the dealership as specified in appendix I.
 - i. Inspection forms and pictures of the replacement equipment as specified in appendix I.
 - j. Location of the dismantler yard where the existing equipment will be destroyed.
 - k. Date the existing equipment is delivered to or picked up by a participating dismantler.
- 10. Noncompliance: Noncompliance with this Agreement or Guidelines, includes, but is not limited to cancelling the Agreement and recapturing voucher funds. The ARB and the District may disqualify Dealership from Program participation and seek other remedies as available under the law for noncompliance with this Agreement or Program requirements.

Appendix C(1)
OFF-ROAD VOUCHER PROGRAM

Terms to be included in Master Agreement
Between the District and Retrofit Installer

NOTE to DISTRICT:

The terms listed do NOT constitute District's entire Agreement; standard District Agreement language (such as, confidentiality, termination, indemnification, insurance, etc.) must be included in conjunction with the items below. The terms have been prepared to facilitate the District's preparation of Agreement. The District must include the terms listed below and supersede any additional terms included by the District.

1. The District has not reviewed the Retrofit Installer's operations or reached any conclusion on the quality of their products, service, or operations. The District is permitting the Retrofit Installer to enter into this Agreement solely because Retrofit Installer has represented to the District that it is aware of the California Air Resources Board Off-Road Voucher Program Guidelines (Guidelines) goals, and agrees to abide by the Program requirements and Guidelines.
2. The District and Retrofit Installer agree that if the California Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the Program, this Agreement shall be of no further force and effect. In this event the State shall have no liability to pay any funds whatsoever to the District and Retrofit Installer or to furnish any other considerations under this Agreement.
3. Payment: The District will not pay or otherwise directly reimburse or compensate in any way the Retrofit Installer for its services (other than actual and necessary professional installation services as authorized by the retrofit manufacturer) rendered in keeping with this Agreement, but the benefit received by Retrofit Installer under this Agreement is the opportunity to participate in the Program, which includes the corresponding opportunity to profit from the sale of ARB verified retrofits to Program Participants.
4. Reduction in Retrofit Purchase Price: The Retrofit Installer should show the voucher amount on the retrofit invoice. This amount should not reduce the sales price of the retrofit but should reduce the amount the participant will pay for the retrofit. The receipt of voucher funds does not lower the base price of the retrofit nor does not reduce the tax basis of the retrofit.
5. Voucher Payment: The Retrofit Installer will be reimbursed by the District for the voucher amount once the Retrofit Installer submits a complete Reimbursement Package to District as outlined in the Guidelines and in this Agreement.

6. Retrofit Installer Obligations: The Retrofit Installer agrees to provide general information to Program participants about the Program. The District will provide training to Retrofit Installer staff. The Retrofit Installer agrees to assist Program participants to correctly complete and submit the Application Package to the District. Retrofit Installer agrees that it is important to verify that all information is filled out correctly and that the participant understands the Program.
 - a. Before the District may approve a voucher, an Application Package must be completed and submitted to the District. The Application Package must include all required documentation as outlined in the Program Guidelines.
 - b. After the District notifies the Retrofit Installer of application approval, the Retrofit Installer will order the ARB verified retrofit (if not already in stock), and install the device according to manufacturer specifications and all conditions described in the ARB verification executive order.
7. Retrofit Installer Qualifications: Retrofit Installer warrants that it meets the following minimum qualifications for participation in the Program, and will continue to meet these qualifications throughout its participation in the Program.
 - a. Retrofit Installer maintains a valid business license issued in California for a minimum of the last two (2) years.
 - b. Retrofit Installer maintains a minimum of one (1) employee that has successfully completed the training by the District regarding the terms, conditions and requirements of the Program. If a participating retrofit installer maintains more than one location, then each location must have at least one employee trained on the ORVP.
 - c. Retrofit Installer agrees to allow the District or Air Resources Board (ARB) to inspect equipments and retrofits, or audit program records covered under this Agreement during normal business hours.
8. Inspections: Inspections described below require inspection forms be completed and photographs taken to document equipment and engine. Specific requirements are outlined in the Guidelines.
 - a. All retrofit project inspections may be conducted by an authorized Retrofit Installer. If the District requests that the Retrofit Installer conduct an inspection, then the inspection must be conducted as follows:
 - i. Pre-Inspection: Submit completed inspection form and photos to district with the application

- ii. Post-Inspection: Submit completed inspection form and photos to district with Reimbursement Package (Appendix J)
 - b. If the District conducts inspections, then inspections must be conducted in accordance with the ORVP Guidelines.
- 9. Retrofit Installer Reimbursement: Retrofit Installer must submit a Reimbursement Package to the District. A description of documents in the Reimbursement Package is listed in the Guidelines. The Reimbursement Package must include:
 - a. Reimbursement Invoice (appendix H) should be signed and returned to the district upon receipt
 - b. Final invoice signed by the applicant that shows the final purchase price less the voucher award
 - c. Receipt of Voucher signed by the participant
 - d. The original Voucher
 - e. Copy of DOORS registration (if available)
 - f. Copy of finance documentation (if available)
 - g. Copy of retrofit warranty information
 - h. Inspection forms and pictures of the equipment after it is turned in to the Retrofit Installer prior to retrofit installation as specified in Appendix I.
 - i. Inspection forms and pictures of the equipment after retrofit installation is complete, as specified in Appendix I.
- 10. Noncompliance: Noncompliance with this Agreement or Guidelines, includes, but is not limited to cancelling the Agreement and recapturing voucher funds. The ARB and the District may disqualify Retrofit Installer from Program participation and seek other remedies as available under the law for noncompliance with this Agreement or Program requirements.

Appendix D
OFF-ROAD VOUCHER PROGRAM

Dismantler Agreement Terms to be Included in Master Agreement
Between the District and Dismantler Owner

NOTE to DISTRICT:

The terms listed do NOT constitute District's entire Agreement; standard District Agreement language (such as, confidentiality, termination, indemnification, insurance, etc.) must be included in conjunction with the items below. The terms have been prepared to facilitate the District's preparation of Agreement. The District must include the terms listed below that would supersede any additional terms included by the District.

1. The District has not reviewed the Owner's operations or reached any conclusion on the quality of the operations. The District is allowing the Owner to enter into this Agreement solely because the Owner has represented to the District that it is aware of the Air Resources Board Off-Road Voucher Program Guidelines (Guidelines) goals, and agrees to abide by the Program requirements and Guidelines.
2. The District and Dismantler agree that if the California Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the Program, this Agreement shall be of no further force and effect. In this event the State shall have no liability to pay any funds whatsoever to the District and Dismantler or to furnish any other considerations under this Agreement.
3. Payment: Owner will not be paid or otherwise reimbursed directly by the District or ARB. Rather, the benefit received by Owner under this Agreement is the opportunity to participate in the Program, which carries the corresponding opportunity to profit through the receipt – for cash or free – of materials that Owner will dismantle with the intent to make a profit. Funding is not available from the District through this Agreement for any dismantler or material costs, including hazardous waste abatement fees, labor costs, fines, permits, or other charges resulting from destruction or disposal.
4. Owner Obligation: The Owner must comply with the following requirements in accordance with the Guidelines, and submit certification to the District verifying that the requirements have been met. Within sixty (60) days of receiving equipments under this Agreement, Owner will:
 - a. Destroy equipment and render it physically useless; and
 - b. Notify the District when the equipment (chassis and engine) has been properly destroyed and schedule a destruction-inspection with District; and

- c. The dismantler must provide verification that the equipment no longer operational. Documentation must include clear photographs of the destroyed engine block and cut frame rails. In addition, the following picture views must be taken:
 1. Equipment serial number
 2. Engine side view.
 3. Engine serial number either stamped on the block or on the tag.
 4. Destroyed engine block either in-frame or out of frame as specified in the program criteria.
 5. Cut structural components
 6. Destroyed attachments, if scrapped
 7. Other views dependent on the method of equipment destruction
5. Owner Qualifications: Owner warrants that it meets the following minimum qualifications for participating in the Program, and will continue to meet these qualifications throughout its participation in the Program. Owner must provide written proof that it meets the following qualifications within forty-eight (48) hours if requested by District staff.
 - a. Owner must have a current, valid Dismantler's license issued by the California Department of Motor Vehicles.
 - b. Owner has a current, valid California Environmental Protection Agency Hazardous Material Generator and Storage Permit.
 - c. Owner must be in compliance with all local, State, and federal regulations, permits and requirements.
 - d. Owner must have a minimum of one (1) active employee who received training by the District on the requirements of the Program. If a dismantler has more than one location, then the dismantler must have at least one (1) active employee trained by the District at each location that will be accepting ORVP equipment.
 - e. Dismantler has had a valid business license issued in California for a minimum of the last two years.
6. Dismantler Inspection: Once the District is notified, a dismantler-inspection will be scheduled and photos documenting the destruction of the engine will be taken in accordance with the Guidelines. Owner shall not move the equipment off of their property or part out an equipment until a dismantler inspection by the District has been performed and given approval by the District.
7. Use of Engine or Equipment Pending Destruction: Owner may not use or permit the use of, the engines or equipments, except use necessary to move it for destruction or storage.

8. Compliance: Because the prompt destruction of equipment and engines is one of the critical components of the Program, and the parties agree that it will be difficult to determine the monetary damages arising from Owner's breach of the requirement to destroy the existing equipment within sixty (60) days, Owner agrees that if it fails to destroy the engine and equipment within the 60-day period, it will pay the District up to \$500 per day until the engine and equipment is destroyed and provide verification that the equipment is no longer operational. Owner may request that the District extend the 60-day period, and the District will not unreasonably withhold its approval of the extension request. Only written extensions are effective. Owner will not generally be eligible for an extension if the cause of the delay was within its control.
9. Noncompliance: Noncompliance with this Agreement or Guidelines, includes, but is not limited to cancelling the Agreement and recapturing voucher funds. The ARB and the District may disqualify Dismantler from Program participation and seek other remedies as available under the law for noncompliance with this Agreement or Program requirements.

Appendix E

OFF-ROAD VOUCHER PROGRAM District Review Checklist: Initial Review

Owner: _____	<input type="checkbox"/> Approved <input type="checkbox"/> Rejected
Company: _____	Voucher # _____
Dealership/Installer: _____	Voucher Amount: \$ _____
Submittal Date: _____	Expiration date: _____

Verify that the following information/documents are included in the application. Use back side of checklist for additional comments if necessary.

Existing Equipment Requirements

- Replacement Projects: Verification that engine that meets the current model year California emission standards or the current model year U.S. EPA emission standards if it is a federally preempted engine
- Equipment is diesel fueled
- Existing equipment has an uncontrolled engine
- DOORS EIN or ESN– cross check to ensure applicant hasn't applied for or already received funding in the Off-Road Voucher Program for the existing equipment
- If the applicant chose the two-for-one option, both existing equipment meet all requirements of the Program (replacement projects only)

Replacement Equipment Requirements (if applicable)

- Replacement equipment has an engine that meets the current model year California emission standards or the current model year U.S. EPA emission standards if it is a federally preempted engine
- Used replacement equipment has an engine that meets the current model year California emission standards or the current model year U.S. EPA emission standards if it is a federally preempted engine

Retrofit Requirements (if applicable)

- Retrofit is highest level (PM + NOx) verified by ARB for the specific engine family

Documentation Requirements

- Application complete, signed and dated – original application (with wet signature)
- Copy of two (2) items from ownership document list
- Documentation of a minimum of twenty four (24) months of existing equipment usage. Specific equipment identified in documentation
 - meets the selected annual usage in Appendix O for previous twenty four (24) months
- Signed quote and specifications sheet for the replacement equipment or retrofit (with date and price)

- Delivery or installation date is listed and included on the voucher
 - Voucher amount is reduced from quote
 - Owner is listed as buyer
- Replacement Projects: ARB Executive Order for the replacement engine, which demonstrates the engine is meeting current model year California emission standards or current model year U.S. EPA emission standards if it is a federally preempted engine.

Existing Equipment Inspection Requirements

- Signed inspection form of the existing equipment from either the dealer or the District
 - Existing equipment is operational – clear evidence has been provided
- Digital photos taken at the inspection of the existing equipment are legible
- Digital photo information for existing equipment/engine make, MY, DOORS EIN (if available), serial number matches application information. The photos of the engine should help verify application information. If no engine tag is available, a print out of the engine specifications will suffice.

District Requirements

- Issue voucher for
 - Funding year: _____
 - Existing engine model year: _____
 - Annual usage: _____
 - Replacements - new or used: _____
 - VOUCHER AMOUNT: _____
- The following application form fields are mandatory and must be filled in completely before the application may be approved.

<p>Applicant Information:</p> <ul style="list-style-type: none"> • Owner Name • Mailing Address (including City, State, Zip) • Physical Address (if different from mailing) • Owner Phone 	<p>Third Party Information:</p> <ul style="list-style-type: none"> • Third-Party Name • Mailing address (including City, State, Zip) • Physical Address (if different from mailing) • Phone • Third Party Signature & Date <p>Only required if a paid party other than the dealership completes the application</p>
<p>Existing Equipment and Engine Information:</p> <ul style="list-style-type: none"> • Equipment Make • Equipment Model • Equipment Model Year • DOORS EIN (if available) • Equipment Serial Number • Equipment Operational • Engine Make • Engine Model • Engine Model Year • Engine Serial Number • Engine Family Number 	<p>Replacement Equipment and Engine Information: <i>(Replacement Projects Only)</i></p> <ul style="list-style-type: none"> • Equipment Make • Equipment Model • Equipment Model Year • Engine Make • Engine Model • Engine Model Year • Engine Family Number • Engine operational • Fuel used

<ul style="list-style-type: none"> • Engine Operational • Fuel Used 	<ul style="list-style-type: none"> • ARB Executive Order Number or U.S. EPA Certificate of Conformity Number
<p>Dealership/Retrofit Installer Information: All fields must be filled out or a business card must be attached</p>	<p>Retrofit Information: (Retrofit Projects Only)</p> <ul style="list-style-type: none"> • Retrofit Make • Retrofit Model • Retrofit ARB Executive Order # • ARB-verified PM reduction % • ARB-verified NOx reduction % • Retrofit Cost • Cost of Retrofit with Installation
<p>Inspection Forms: all applicable forms must be filled in based on the information required above for the existing and replacement equipments.</p>	<p>Applicant Recitals Owner must sign and date application</p>

If rejected, letter sent to applicant and the dealer or installer was cc'd

Reason(s) for rejection:

- _____
- _____

If approved, voucher package sent to dealer or installer on (date): _____

District Staff (print name): _____ Date Reviewed: _____

Appendix F

<p>OFF-ROAD VOUCHER PROGRAM Replacement Voucher</p>
--

Congratulations! You have been approved to receive funding through the Off-Road Voucher Program. This voucher is redeemable for the purchase of the replacement equipment listed below. Redemption of this voucher must be completed at the dealership listed below.

Owner: please confirm the following information and sign in the first section.

Air District: _____
Voucher Number: _____
Voucher Amount: \$ _____

Recipient Information	Dealership Information
Owner:	Dealership Name:
Address:	Address:
City, State, Zip:	City, State, Zip:
Phone:	Phone:
Accept: <input type="checkbox"/> Decline: <input type="checkbox"/>	
Owner Signature	Date:

Replacement Equipment Information	Engine Information
Make:	Make:
Model:	Model:
Model Year:	Model Year:
DOORS EIN:	Engine Family Number:
Serial Number:	Serial Number:

- To be eligible to redeem this voucher, the participant must purchase and take delivery of the replacement equipment within thirty days of <Date> or by the delivery date of <Date>, whichever is later. The participant must also deliver the existing equipment in similar condition to the pre-inspection to the dealership prior to taking ownership of the replacement equipment.

By signing, I validate the issuance of this voucher in accordance with the Off-Road Voucher Program.

Signature of Air District Representative: _____ Date: _____
 Printed Name: _____
 Address: _____
 City, State, Zip: _____
 Phone Number: _____

Appendix F(1)

<p>OFF-ROAD VOUCHER PROGRAM Retrofit Voucher</p>
--

Congratulations! You have been approved to receive funding through the Off-Road Voucher Program. This voucher is redeemable for the purchase of the ARB verified retrofit shown below. Redemption of this voucher must be completed at the retrofit installer listed below.

Equipment Owner: please confirm the following information and sign in the first section.

Air District: _____
Voucher Number: _____
Voucher Amount: \$ _____

Recipient Information	Retrofit Installer Information
Owner:	Business Name:
Address:	Address:
City, State, Zip:	City, State, Zip:
Phone:	Phone:
Accept: <input type="checkbox"/> Decline: <input type="checkbox"/>	
Equipment Owner Signature	Date:

Retrofit Information	Engine Information
Make:	Make:
Model:	Model:
ARB Executive Order #:	Model Year:
Serial # (if available):	Engine Family #:

To be eligible to redeem this voucher, the participant must purchase and take delivery of the retrofitted equipment within thirty days of <Date>

By signing, I validate the issuance of this voucher in accordance with the Off-Road Voucher Program.

Signature of Air District Representative: _____ Date: _____
 Printed Name: _____
 Address: _____
 City, State, Zip: _____
 Phone Number: _____

Appendix G

OFF-ROAD VOUCHER PROGRAM Receipt of Replacement Voucher

Air District: _____
Address: _____
Phone Number: _____
Voucher Number: _____
Voucher Amount: \$ _____

Recipient Information
Owner: _____
Address: _____
City, State, Zip: _____
Phone: _____

Replacement Equipment	Dealership Information
Make: _____	Dealership Name: _____
Model: _____	Address: _____
Model Year: _____	City, State, Zip: _____
VIN: _____	Phone: _____

As an applicant of the Carl Moyer Off-Road Voucher Program, I agree to:

- For participants that applied for and received funding on an equipment subject to the Off-Road Regulation, register the replacement equipment in DOORS database.
- Maintain insurance as required by law.
- Own and operate this equipment at least 75% of the time within California for a minimum of sixty (60) months for agricultural tractors or thirty-six (36) for construction tractors/loaders/backhoes from the date of purchase.
- Notify the District if there is a change in ownership over the next sixty (60) months for agricultural tractors or thirty six (36) months for construction tractors/loaders/backhoes.
- Return annual usage surveys, as requested by the district.
- Never modify the emission control system or the engine.
- Be available for a follow up inspection by the air district or Air Resources Board, if requested.
- Pay back all incentive funds if one or more of the above terms are not met.

I certify under penalty of perjury that the information provided is accurate

Signature of Participant: _____ Date: _____
Name of Participant: _____

Original to District, Copy to Participant

Appendix G(1)

**OFF-ROAD VOUCHER PROGRAM
Receipt of Retrofit Voucher**

Air District: _____
Address: _____
Phone Number: _____
Voucher Number: _____
Voucher Amount: \$ _____

Recipient Information
Owner: _____
Address: _____
City, State, Zip: _____
Phone: _____

Retrofit Information	Retrofit Installer Information
Make: _____	Business Name: _____
Model: _____	Address: _____
ARB Executive Order #: _____	City, State, Zip: _____
Serial # (if available): _____	Phone: _____

As an applicant of the Carl Moyer On-Road Voucher Program, I agree to:

- For participants that applied for and received funding on an equipment subject to the Off-Road Regulation, register the replacement equipment in DOORS database.
- Maintain insurance as required by law.
- Own and operate this equipment at least 75% of the time within California for a minimum of sixty (60) months for agricultural tractors or thirty-six (36) for construction tractors/loaders/backhoes from the date of purchase.
- Notify the District if there is a change in ownership over the next sixty (60) months for agricultural tractors or thirty six (36) months for construction tractors/loaders/backhoes.
- Return annual usage surveys, as requested by the district.
- Never modify the emission control system or the engine.
- Be available for a follow up inspection by the air district or Air Resources Board, if requested.
- Pay back all incentive funds if one or more of the above terms are not met.

I certify under penalty of perjury that the information provided is accurate

Signature of Participant: _____ Date: _____
Name of Participant: _____

Original to District, Copy to Participant

Appendix H

**OFF-ROAD VOUCHER PROGRAM
Reimbursement Invoice**

Date:

Dealership/Retrofit Installer Information
Business Name:
Address:
City, State, Zip:
Phone:
Federal Tax ID Number:

Please reimburse Dealer/Installer Name for \$0.00 for the voucher number _____.

A complete reimbursement package will be turned in at the time of payment.

Thank you.

Name: _____

Signature: _____

Date: _____

Appendix I

OFF-ROAD VOUCHER PROGRAM

Inspection Form

Type of Inspection:

Existing Equipment: <input type="checkbox"/> Pre-Inspection <input type="checkbox"/> Pre-Dismantle <input type="checkbox"/> Dismantle
Post-Inspection: <input type="checkbox"/> Replacement Equipment Post-Inspection <input type="checkbox"/> Retrofit Post-Inspection
Legible Pictures: <input type="checkbox"/> Yes <input type="checkbox"/> No

Applicant Information

COMPANY NAME:	INSPECTION LOCATION:
Owner Name:	
Address:	
City, State, Zip:	
Phone No:	

Equipment and Engine Information

EXISTING EQUIPMENT **REPLACEMENT EQUIPMENT** **RETROFIT**

EQUIPMENT INFORMATION:			
Equipment Make:	Equipment Model:	Equipment Model Year:	
DOORS EIN (if available):	Equipment Serial Number:	Date of Manufacture:	
Fleet ID:	Hour Meter Reading:	Equipment operational? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Engine Information:			
Engine Make:	Engine Model:	Engine Model Year:	Date of Manufacture:
Engine Serial Number:	Engine Family Number:	Engine Horsepower:	
Engine operational? <input type="checkbox"/> Yes <input type="checkbox"/> No	Fuel used? <input type="checkbox"/> Diesel <input type="checkbox"/> Other:		
Retrofit Information (retrofit projects only):			
Retrofit Make:	Retrofit Model:	Retrofit Serial Number:	

For Pre-Dismantler Inspection ONLY, Specify

DISMANTLER:	CONTACT NAME:	PHONE:
		Engine operational? <input type="checkbox"/> Yes <input type="checkbox"/> No

For Dismantler Inspection ONLY, Specify

DISMANTLER:	CONTACT NAME:	PHONE:
Frame Rails Cut? <input type="checkbox"/> Yes <input type="checkbox"/> No		Engine Destroyed? <input type="checkbox"/> Yes <input type="checkbox"/> No

Comments:

I certify under penalty of perjury that: (1) the information provided above is accurate, (2) the pictures are of the inspected equipment (3) the pictures clearly depict the inspected equipment, and (4) that I understand that this inspection form is incorporated in the agreement with the <air district>.

Signature:	Date:
Authorized Name:	
Air District / Dealership / Installer:	
Address:	
City, State, Zip:	
Phone No:	

Required Photographs

- Digital photos should be clear images with a minimum of 640x480 capture resolution. The district will specify the digital media required to save the pictures on.

(check the boxes/circles of pictures taken)

Pre-inspection of existing equipment	Post inspection of replacement equipment
<ul style="list-style-type: none"> <input type="checkbox"/> Equipment from left side <input type="checkbox"/> Equipment from right side <input type="checkbox"/> Equipment from front <input type="checkbox"/> Equipment from back <input type="checkbox"/> DOORS EIN (if available) <input type="checkbox"/> Equipment serial number <input type="checkbox"/> Engine from drivers side <input type="checkbox"/> Engine tag (if available)* <ul style="list-style-type: none"> ○ Engine make ○ Engine model ○ Engine serial number ○ Engine family number 	<ul style="list-style-type: none"> <input type="checkbox"/> Equipment from left side <input type="checkbox"/> Equipment from right side <input type="checkbox"/> Equipment from front <input type="checkbox"/> Equipment from back <input type="checkbox"/> DOORS EIN (if available) <input type="checkbox"/> Equipment serial number <input type="checkbox"/> Engine from drivers side <input type="checkbox"/> Engine tag <ul style="list-style-type: none"> ○ Engine make ○ Engine model ○ Engine serial number ○ Engine family number
Pre-Dismantler inspection of existing equipment	Dismantler inspection of existing equipment
<ul style="list-style-type: none"> <input type="checkbox"/> Equipment from left side <input type="checkbox"/> Equipment from right side <input type="checkbox"/> Equipment from front <input type="checkbox"/> Equipment from back <input type="checkbox"/> DOORS EIN (if available) <input type="checkbox"/> Equipment serial number <input type="checkbox"/> Engine from drivers side <input type="checkbox"/> Engine tag (if available)* <ul style="list-style-type: none"> ○ Engine make ○ Engine model ○ Engine serial number ○ Engine family number 	<ul style="list-style-type: none"> <input type="checkbox"/> Equipment from left side <input type="checkbox"/> Equipment from right side <input type="checkbox"/> Equipment from front <input type="checkbox"/> Equipment from back <input type="checkbox"/> DOORS EIN (if available) <input type="checkbox"/> Equipment serial number <input type="checkbox"/> Engine from drivers side <input type="checkbox"/> Engine tag (if available)* <ul style="list-style-type: none"> ○ Engine make ○ Engine model ○ Engine serial number ○ Engine family number <input type="checkbox"/> Cut in frame rails <input type="checkbox"/> Hole in engine block (at least 3 inches wide)
Post inspection of retrofit (retrofit projects only)	
<ul style="list-style-type: none"> <input type="checkbox"/> Retrofit <input type="checkbox"/> Retrofit tag <ul style="list-style-type: none"> ○ Retrofit make ○ Retrofit model ○ Retrofit serial number 	

**If engine tag is missing, a picture of the engine serial number stamped on the engine block must be submitted*

DRAFT

Appendix J

OFF-ROAD VOUCHER PROGRAM Reimbursement Package Checklist

Participant Name: _____ Date: _____
Voucher Number: _____ Voucher Amount: _____

Checklist for Replacement Projects

<input checked="" type="checkbox"/>	Documents included in Dealer Reimbursement Package
<input type="checkbox"/>	Dealer Reimbursement Invoice (original) – signed by dealership
<input type="checkbox"/>	Final replacement equipment purchase invoice
<input type="checkbox"/>	Receipt of Voucher (original) – signed by the participant
<input type="checkbox"/>	Voucher (original)
<input type="checkbox"/>	Copy of replacement equipment financing documentation (if applicable)
<input type="checkbox"/>	Copy of the replacement equipment warranty
<input type="checkbox"/>	Inspection forms and digital photos for existing equipment ready for dismantler
<input type="checkbox"/>	Inspection forms and digital photos for replacement equipment
<input type="checkbox"/>	Location of dismantler yard where the existing equipment will be destroyed
<input type="checkbox"/>	Date the existing equipment is delivered to or picked up by a dismantler

Checklist for Retrofit Projects

<input checked="" type="checkbox"/>	Documents included in Retrofit Reimbursement Package
<input type="checkbox"/>	Retrofit Reimbursement Invoice (original) – signed by retrofit installer
<input type="checkbox"/>	Final retrofit purchase and installation invoice
<input type="checkbox"/>	Receipt of Voucher (original) – signed by the participant
<input type="checkbox"/>	Voucher (original)
<input type="checkbox"/>	Copy of retrofit financing documentation (if applicable)
<input type="checkbox"/>	Copy of the retrofit manufacturer warranty
<input type="checkbox"/>	Inspection forms and digital photos for equipment and retrofit

Dealership/Installer Business Name: _____
Contact Person: _____
Phone Number: _____

Appendix K

Date

Name

Company

Address

City, State, Zip

RE: Application Rejected: Off-Road Voucher Program

Dear Name:

Thank you for submitting an application to the <Air District's> Off-Road Voucher Program. Your application was reviewed and found to be incomplete and/or not meeting the requirements of the program. The application was rejected because:

The applicant did not meet the following Off-Road Voucher Program criteria listed in the guidelines

-

The application package was incomplete. The following information was not included in the application:

-

If your application was incomplete, you can re-apply to the Off-Road Voucher Program. If you wish to do so, you should re-apply by submitting a completed application.

If you have any questions, please contact <insert contact> at <insert phone> or <insert email>.

Sincerely,

<Name>

<Title>

cc: Dealership/Retrofit Installer

Attachment: Application Package

Appendix L

OFF-ROAD VOUCHER PROGRAM District Payment Review Checklist

Applicant:	Company (if any):	Dealer / Retrofit Installer:
Voucher Number:	Voucher Amount:	Submittal Date:

Verify the following information in the reimbursement package:

- Applicant information matches application
- Voucher number is correct
- Voucher amount is correct
- Replacement equipment or retrofit information matches application, quote information, and ORVP requirements.
- Invoice correctly shows the final price less the voucher amount

Verify that the following documents are included in the reimbursement package:

- Reimbursement invoice
- Receipt of voucher signed by the applicant
- Original voucher
- Financing information, if equipment or retrofit was financed
- Warranty information
- Completed final invoice, signed and dated by the applicant
- Copy of two (2) items from ownership document list
- Inspection forms and photos of the replacement equipment or retrofitted equipment

Replacement Projects Only:

- Inspection forms and photos of the replaced equipment in dealership custody
- Copy of two (2) items from ownership document list

Reimbursement approved? Yes No

Comments (Use back side of checklist for additional comments if necessary):

Funding Date: _____
Copy of check in project folder

Check Number: _____

District Staff (print name): _____ Date Reviewed: _____

Appendix M

September 22, 2010

Salesperson
Dealership
Address
City, State, Zip

RE: Reimbursement Package Rejection Letter: Voucher Number #_____

Dear Salesperson:

Thank you for your participation in the Off-Road Voucher Program. Unfortunately, the reimbursement package submitted for Voucher Number #_____ was reviewed and found to be incomplete and/or not meeting the requirements of the program. The package was rejected because:

The reimbursement package did not meet the following Off-Road Voucher Program criteria listed in the guidelines

-

The reimbursement package was incomplete. The following information was not included in the package:

-

If your reimbursement package was incomplete, please re-submit the entire reimbursement package including the missing documentation. If your reimbursement package did not meet the criteria of the program, please contact district staff immediately for further explanation.

If you have any questions, please contact <insert contact> at <insert phone> or <insert email>.

Sincerely,

Name
Title
Air District
Phone Number

Attachment: Reimbursement Package

Appendix O

WILL INCLUDE FUNDING TABLES LATER

DRAFT