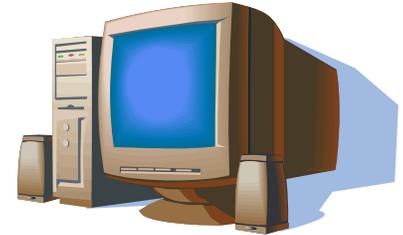




## **Reporting For the In-Use Off-Road Diesel Vehicle Regulation**

### **Save Time – Get Access to More Help – Report Online!**

This packet includes the forms necessary to complete initial reporting for the In-Use Off-Road Diesel Vehicle regulation (Off-Road regulation), however there is a faster and more convenient way to report: our online reporting tool, the Diesel Off-road Online Reporting System (DOORS). DOORS not only allows you to report without paper forms, but it also has tools which can help you plan out the best way to meet the compliance requirements of the Off-Road regulation. DOORS is available at:



[https://ssl.arb.ca.gov/ssldoors/doors\\_reporting/doors\\_login.html](https://ssl.arb.ca.gov/ssldoors/doors_reporting/doors_login.html)

### **Help us improve our reporting process:**

If there is any way the Air Resources Board can improve this process, we want to know about it. Let us know what could be improved or what information could be added to help you report and comply with the Off-Road regulation. The more specific the suggestion, the more we can do to improve the process. For all questions regarding these forms, please contact the DOORS hotline by phone at 1-877-59-DOORS (877-593-6677), or by email at [doors@arb.ca.gov](mailto:doors@arb.ca.gov)

What could be improved about these reporting forms?

What additional information would help you the most?

Additional comments:

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# **California Air Resources Board In-Use Off-Road Diesel Vehicle Regulation**

## **Reporting Forms: Initial Reporting Requirements**

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**Additional Documents Included:**

- In-Use Off-Road Diesel Vehicle Regulation Overview Fact Sheet
- Frequently Asked Questions: Labeling
- DOORS User Guide: How to Report with Missing Information

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## Reporting Overview

### Regulation Applicability

The In-Use Off-Road Diesel Vehicle Regulation (Off-Road regulation) applies to all self-propelled off-road diesel vehicles over 25 horsepower (hp) used in California and most two-engine vehicles (except on-road two-engine sweepers). This includes vehicles that are rented or leased (rental or leased fleets).

Personal use vehicles, vehicles used solely for agriculture, vehicles that are awaiting sale, and vehicles already covered by the Regulation for Mobile Cargo Handling Equipment at Ports and Intermodal Rail Yards (Cargo Handling regulation), are exempt from the Off-Road regulation.

Emergency operations vehicles, dedicated snow removal vehicles, low-use vehicles (used under 200 hours per year, as confirmed by a non-resettable hour meter), and vehicles used a majority of the time (but not solely) for agricultural operations, must be reported to Air Resources Board (ARB) and labeled, but are exempt from the performance requirements of the Off-Road regulation.

### Initial Reporting Requirements

Vehicles subject to the Off-Road regulation must be reported to ARB through the Diesel Off-Road Online Reporting System (DOORS), or through these hardcopy reporting forms. Although initial reporting was required in 2009, fleets are encouraged to report their off-road vehicle information as soon as possible to avoid penalties. All of the applicable forms in this packet must be completed in order to satisfy the reporting requirements of the Off-Road regulation.

To submit these reporting forms, please scan the completed form(s) and email them to [doors@arb.ca.gov](mailto:doors@arb.ca.gov), fax to (916) 322-3923, or mail to the following address:

ATTN: OFF-ROAD DIESEL REPORTING MSCD, Mail Stop 13A Air Resources Board 1001 I Street, P.O. Box 2815 Sacramento, California 95812
---

### Labeling Requirements

After a fleet reports their vehicles to ARB, each vehicle is assigned a unique Equipment Identification Number (EIN). The fleet must label its vehicles within 30 days of receiving EINs. Note that ARB does not issue EIN labels; it is the fleet's responsibility to follow ARB's label specifications. You may make, purchase the labels, placards, or paint the EINs on the vehicles. More information on label specifications is available at:

[www.arb.ca.gov/msprog/ordiesel/faq/faq-labeling.pdf](http://www.arb.ca.gov/msprog/ordiesel/faq/faq-labeling.pdf)

**Annual Reporting Requirements**

After the initial reporting process is completed, a fleet will have annual reporting requirements. A fleet’s first annual reporting date varies by fleet size, which is determined by the fleet’s total off-road horsepower under common ownership or control. The total horsepower of a fleet does not include low-use vehicles, emergency use vehicles, dedicated snow removal vehicles, or vehicles used a majority of the time (but not solely) for agricultural operations.

<b>Fleet Size Category</b>	<b>Annual Reporting Date</b>	<b>Years Annual Reporting is Required</b>
Large (Over 5,000 Hp)	March 1	2012-2023
Medium (2,501-5,000 Hp)	March 1	2016-2023
Small (Up to 2,500 Hp)	March 1	2018-2028

For more information on annual reporting, or to request ARB’s “Annual Reporting Forms,” please contact the DOORS hotline.

**Reporting Vehicle Additions/Removals**

After the initial reporting process is completed, all fleets are required to report vehicle additions and removals to ARB within 30 days of the vehicle addition/removal. This is required in addition to the annual reporting requirements listed above (i.e., vehicle additions/removals must be reported within 30 days even if a fleet is not yet required to do annual reporting).

For more information on reporting vehicle additions/removals, or to request ARB’s “Vehicle Addition/Removal Reporting Forms,” please contact the DOORS hotline.

**Additional Off-Road Regulation Information**

For more information on the Off-Road regulation, including fact sheets, frequently asked questions (FAQs), guidance documents, and DOORS user guides, please visit the Off-Road regulation homepage at: [www.arb.ca.gov/ordiesel](http://www.arb.ca.gov/ordiesel)

**If you have any questions regarding the Off-Road regulation or these reporting forms, please contact the DOORS hotline by phone at 1-877-59DOORS (1-877-593-6677), or by email at [doors@arb.ca.gov](mailto:doors@arb.ca.gov).**

## Summary of Initial Reporting Forms Included

### Required Initial Reporting Forms

These forms must be submitted to fulfill the initial reporting requirements of the Off-Road regulation.

Contact Information: This form must be submitted, and will be used to contact a representative of the reporting fleet, regarding any reporting issues that may arise.

Owner Information: This form must be submitted, and contain the owner's information for the reporting fleet.

Vehicle Information: This form must be submitted, and contain the vehicle information for the reporting fleet.

Engine Information: This form must be submitted, and contain the engine information for the vehicles reported.

### Other Annual Reporting Forms

**Only if applicable,** these forms must be submitted with the fleet's initial reporting forms specified above.

Adding a Vehicle by EIN: This form may be submitted in lieu of the Vehicle Information and Engine Information reporting forms (listed above), only if the vehicle being reported was previously assigned an Equipment Identification Number (EIN).

VDECS (Exhaust Retrofits): This form must be submitted if a fleet has installed Verified Diesel Emission Control Strategies (VDECS), which are exhaust retrofits verified by ARB.

Repowered Vehicles: This form must be submitted if a fleet has replaced the engine in an off-road vehicle with a cleaner engine (i.e. "repowered" the vehicle), and wants to claim compliance credit for the repower.

Non-Diesel Vehicles and Non-Standard Engine Certifications: This form must be submitted if a fleet has vehicles with on-road engines that are subject to the Off-Road regulation, vehicles with engines that were rebuilt to a more stringent emissions standard, or if a fleet wants to receive compliance credit for non-diesel vehicles that replaced diesel vehicles.

Incentive Program Vehicles/Engines/VDECS: This form must be submitted for vehicles, engines, or VDECS that were funded through an incentive program (such as the Carl Moyer, the Surplus Off-Road Opt-In for NOx (SOON), or other incentive programs) and are still under contract.

Stationary or Portable System Used to Replace Diesel Vehicles: This form must be submitted if a fleet has a stationary or portable system that replaced mobile diesel vehicles, such as an electric conveyor system used to replace diesel haul trucks at a mine, and wants to claim compliance credit for such a system.

## Additional Instructions

The following section includes instructions on how to complete the Vehicle and Engine Information reporting forms.

The Vehicle and Engine Information reporting forms are designed to be completed in sequence. For a single vehicle, the owner will need to complete one line on the Vehicle Information form, and then a corresponding line on the Engine Information form, as shown below.

**'Vehicle Information' page**

**'Engine Information' page**

#	Your Vehicle-ID-Number	Vehicle Serial-# (VIN)/(PIN)	Vehicle-Type	Vehicle Manufacturer	Vehicle Model
1	881	3DF.3892389RFO32HL	Loader	Caterpillar	330XL
2	882	456DSOMN.SD34934AL	Backhoe	Kubota	20-MLS

#	Your Vehicle-ID-Number	Engine Serial-#	Engine Manufacturer	Engine Model
1	881	3RC32893829EN13902K	Caterpillar	12
2	882	32KSDU237283K	Kubota	4

(Red arrows in the original image point from the first two rows of the Vehicle Information table to the first two rows of the Engine Information table.)

For each line in the vehicle form which is completed, a line must be completed in the engine form. If you do not have an identifier for your vehicles, you may either create a tracking number, or use the first few numbers of the vehicle serial number as long as that provides a unique identifier for your vehicles (i.e. do not use the same vehicle ID number for multiple vehicles).

### Mistakes

If you make a mistake on one line in the Vehicle Information page that cannot be corrected, simply cross through the line, and cross through the similar line on the Engine Information page, as shown below for the mistake made on line 3 of the vehicle form.

**'Vehicle Information' page**

**'Engine Information' page**

#	Your Vehicle-ID-Number	Vehicle Serial-# (VIN)/(PIN)	Vehicle-Type	Vehicle Manufacturer
1	881	3DF.3892389RFO32HL	Loader	Caterpillar
2	882	456DSOMN.SD34934AL	Backhoe	Kubota
<del>3</del>	<del>883</del>	<del>3FNU</del>	<del></del>	<del></del>
4	883	3FNY382379DOI.38D	Excavator	Deere

#	Your Vehicle-ID-Number	Engine Serial-#	Engine Manufacturer
1	881	3RC32893829EN13902K	Caterpillar
2	882	32KSDU237283K	Kubota
<del>3</del>	<del></del>	<del></del>	<del></del>
4	883	8OSDD3838D837	Deere

(Red arrows in the original image point from the crossed-out line 3 of the Vehicle Information table to the crossed-out line 3 of the Engine Information table.)

Similarly, if you make a mistake on the Engine Information page that cannot be corrected, draw a line through the information and add the information on the line below. On the Vehicle Information page, skip a line before the next vehicle is entered, as shown below.

**'Vehicle Information' page**

#	Your Vehicle ID Number	Vehicle Serial # (VIN)/(PIN)	Vehicle Type	Vehicle Manufacturer
1	881	3DF3892389RFO32HL	Loader	Caterpillar
2	882	456DSOMN.SD34934AL	Backhoe	Kubota
3				
4	883	3FNY382379DOI.38D	Excavator	Deere

**'Engine Information' page**

#	Your Vehicle ID Number	Engine Serial #	Engine Manufacturer
1	881	3RC32893829EN3902K	Caterpillar
<del>2</del>	<del>882</del>	<del>32KDD</del>	
3	882	32KSDU237283K	Kubota
4	883	8OSDD3838D837	Deere

**Using Multiple Pages**

If you require more than a single page for your vehicle and engine information, label both the first vehicle and engine pages as "1" and both the second vehicle and engine forms as "2". If you run out of forms, you may make photocopies of Vehicle Information and Engine Information pages.

## Reporting Form: Contact Information

This information will be used to contact a representative of the reporting fleet, regarding any issues that may arise. Fill in the fleet contact information under “Fleet Contact Information” below. This information may be different from the information reported on the Owner Information reporting form which is located in this packet.

If you are a consultant or a third party preparing these reporting forms for a fleet, please check the applicable box below, and then enter in your contact information under “consultant/third party contact information.”

Select One:

- I am an owner/officer/employee in the fleet reporting off-road diesel vehicles in the following forms.
  - I am a consultant or third party preparing these forms for a fleet. Please contact me/fleet contact (choose one) with questions.
  - Other – provide a description below.
-

**Fleet Contact Information:**

<b>Contact Name:</b>	
<b>Phone Number:</b>	
<b>Email Address (optional):</b>	

**Consultant/Third Party Contact Information:**

<b>Consultant/ Third Party Company Name (if applicable):</b>	
<b>Name of Consultant/Third Party:</b>	
<b>Phone Number:</b>	
<b>Email Address (optional):</b>	
<b>Mailing Address:</b>	
<b>Suite/Apartment/Floor (if applicable):</b>	
<b>City:</b>	
<b>State Abbreviation:</b>	
<b>Zip Code:</b>	

## Reporting Form: Owner Information

### Summary

This form must be submitted to complete the initial reporting requirements of the Off-Road regulation, and contain the owner's information for the reporting fleet. Please refer to the section below for explanations of the terms and information required on this form.

### Definition of Terms

Legal Owner Name: List the individual or corporate entity with legal ownership of the fleet.

Company/Agency Name: The name of the company or agency that owns and manages the fleet. Individuals may submit their personal name if they do not have a registered company name.

Company/Agency Type (optional): Optional field to include a company description (e.g. partnership, S corporation, C corporation, franchise, municipality, state agency, etc.).

Company/Agency Tax ID: The federal tax identification for a company or agency. If the fleet is owned by an individual, the field may be filled in with 00-0000000.

Mailing Address: The mailing address for the reporting company or agency. This does not need to be the address where the vehicles are used or stored.

Suite/Apartment/Floor (if applicable): Optional space for additional mailing address information to be included (such as suite, apartment, etc.).

City: City for the mailing address.

State Abbreviation: State of the mailing address. Owners may use an out-of-state address.

Zip Code: Zip code for the mailing address.

Responsible Person: The responsible person, or responsible official, means one of the following:

(A) For a corporation: A president, secretary, treasurer, or vice president of the corporation in charge of a principal business function, or any other person who performs similar policy or decision-making functions for the corporation,

(B) For a partnership or sole proprietorship: A general partner or the proprietor, respectively.



(C) For a municipality, state, federal or other public agency: Either a principal executive officer or ranking elected official. For the purposes of this part, a principal executive officer of a federal agency includes the chief executive officer having responsibility for the overall operations of a principal geographic unit of the agency (e.g., a Regional Administrator of the U.S. EPA).

Responsible Person Title: Title of the responsible person (e.g. president, treasurer, proprietor, executive officer, owner, etc.).

Parent Company DOORS ID: The Off-Road regulation allows companies or agencies that have different divisions, subsidiaries, or other organizational structures to report all vehicles owned by the company as one fleet, or to report as individual fleet portions. If you are reporting as a fleet portion, you must list a Parent DOORS ID. The Parent DOORS ID is the ID of the “parent” company (the main company/agency DOORS ID) that will be used to link all of the individually reported fleet portions together.

For federal agency fleets, a Parent DOORS ID of 9 must be used. For State agency fleets, use a Parent DOORS ID of 10.

For more information on reporting as a fleet portion, please see the ‘How to Report Fleet Portions or Multiple Fleets’ DOORS user guide, which is available in the Off-road Knowledge center at: <http://www.arb.ca.gov/msprog/ordiesel/knowcenter.htm>.

Are you a low-population county local municipal fleet? Is your fleet a local municipal fleet that operates in a low-population county? Please circle ‘Yes’ or ‘No.’

For a list of low-population counties, please see the Municipal Fleets in Low-Population Counties website: <http://www.arb.ca.gov/msprog/ordiesel/lowpopulation.htm>.

Local municipal fleets that operate in low-population counties are treated as small fleets, regardless of their total horsepower.

Have you received Executive Officer approval to be treated as a low-population county municipality fleet? Is your fleet owned by a local municipality that has applied for and received approval from the ARB Executive Officer to be treated as a low-population fleet? Please circle ‘Yes’ or ‘No.’

For a list of fleets that have been granted this status, please see the Municipal Fleets in Low-Population Counties website: <http://www.arb.ca.gov/msprog/ordiesel/lowpopulation.htm>.

Local municipal fleets that have been granted low-population county status are considered small fleets, regardless of their total horsepower.

Is your fleet a non-profit training center? Is your fleet owned by a non-profit training center? Please circle ‘Yes’ or ‘No.’

Non-profit training center means an entity that operates a program for training in the use of off-road vehicles and that (A) is a community college program that trains students in

the use of off-road vehicles or (B) qualifies as a non-profit or not for profit organization under title 26 Internal Revenue Code section 501(a), (c)(3), (c)(5), or (c)(6). Any vehicles that are not used for an off-road training program are not considered part of a non-profit training center and must be considered a separate fleet.

Non-profit training centers are considered small fleets, regardless of their total horsepower.

Do you have a documented idling policy? Do you have a documented idling policy?  
Please circle 'Yes' or 'No.'

Medium and large fleets were required to have a written idling policy by Mar. 1, 2009, and must make the policy available to vehicle operators. Guidelines for the idling policy are available on the Off-road Knowledge Center at:

<http://www.arb.ca.gov/msprog/ordiesel/knowcenter.htm>

Fuel VDECS: Is your fleet using a fuel-based strategy as an emissions control strategy? Please circle 'Yes' or 'No.'

Are you a Captive Attainment Area Fleet? Is this fleet (or fleet portion) a captive attainment area fleet? Please circle 'Yes' or 'No.'

Captive attainment area fleet means a fleet or fleet portion in which all of the vehicles in the fleet or fleet portion operate exclusively within the following counties: Alpine, Colusa, Del Norte, Glenn, Humboldt, Lake, Lassen, Mendocino, Modoc, Monterey, Plumas, San Benito, San Luis Obispo, Santa Barbara, Santa Cruz, Shasta, Sierra, Siskiyou, Trinity, Tehama, Yuba, and the portion of Sonoma County that lies within the boundaries of the North Coast Air Basin.

Captive attainment area fleets are considered small fleets, regardless of their total horsepower. State and federal fleets are considered large fleets, regardless of their total horsepower, and therefore cannot be captive attainment area fleets.

Are you a Job Corps fleet? Is this fleet a Job Corps fleet? Please circle 'Yes' or 'No.'  
Vehicles used by the Job Corps nonprofit apprenticeship training program are exempt from the performance requirements of the Off-Road regulation, but still must be labeled and reported.

## Reporting Form: Owner Information

Legal Owner Name		
Company / Agency Name		
Company / Agency Type (corporation, sole owner, partnership, state, county, city, etc.)		
Company / Agency Tax ID		
Mailing Address		
Suite/Apartment/Floor (if applicable)		
City		
State Abbreviation		
Zip Code		
Responsible Person		
Responsible Person Title		
Parent company DOORS ID (if any)		
	<b>Circle Yes or No</b>	
Is your fleet a low-population county local municipal fleet?	Yes	No
Have you received Executive Officer approval to be treated as a low-population county municipality fleet?	Yes	No
Is your fleet a non-profit training center?	Yes	No
Do you have a documented idling policy?	Yes	No
Fuel VDECS?	Yes	No
Are you a captive attainment area fleet?	Yes	No
Do you plan to use the hours in fleet average option?	Yes	No
Do you wish to claim credit for using stationary or portable equipment in place of diesel vehicles?	Yes	No
Are you a Job Corps fleet?	Yes	No

## Reporting Form: Vehicle Information

### Summary

This form must be submitting to complete the initial reporting requirements of the Off-Road regulation, and contains the vehicle information for the reporting fleet. Please refer to the section below for explanations of the terms/information required on this form.

**PLEASE NOTE: For each vehicle in your fleet, you must submit a Vehicle Information page AND an Engine Information page for reporting to be complete.**

### Definition of Terms: Vehicle Information

DOORS Fleet ID Number: The DOORS fleet ID is an identifying number that ARB assigns to a fleet, or a portion of a fleet that is reported individually.

Your Vehicle ID Number: Your vehicle ID is an identifying number that you assign to your vehicle.

Vehicle Serial Number: The vehicle serial number should be available on the vehicle label, a bill of sale, or other records. Vehicle serial numbers may not repeat.

Vehicle Type: The vehicle type is the category of the vehicle. For example, the vehicle type may be a scraper, forklift, or tractor.

Vehicle Manufacturer: The manufacturer of your vehicle should be available on your vehicle, a bill of sale, or other documents.

Vehicle Model: The vehicle model should be listed on the vehicle or the instruction manual.

Vehicle Model Year: The vehicle model year refers to the year in which the vehicle was manufactured. Use 1969 for all vehicles older than 1969, or for vehicles with an uncertain age.

Purchase Date: The purchase date should be available on the bill of sale or from your equipment dealer.

In-service Date: The in-service date is the date when the vehicle was first used in your fleet.

Additional Information: If any of your vehicles are covered by a category listed below, indicate the required information on the Vehicle Information reporting form under the field for “**Additional Information.**”

Low-Use Vehicles:

If you have a vehicle you want to claim as low-use (used less than 200 hours per year), you must have a non-resettable hour meter on the vehicle, and must report yearly hour meter readings each year that annual reporting is required for a fleet.

**To report a low-use vehicle, list it as “LOW USE” in the “Additional Information” column.**

Specialty Vehicles:

A specialty vehicle is a vehicle for which no used vehicle with a cleaner engine that can serve an equivalent function and perform equivalent work is available. A fleet must apply to ARB’s Executive Officer in order for a vehicle to be considered a specialty vehicle. Specialty vehicles must be reported, labeled, and included in a fleet’s total horsepower and fleet averages; however, specialty vehicles are exempt from the Best Available Technology Requirements (BACT).

**To report a specialty vehicle, list it as “SPECIALTY” in the “Additional Information” column.**

Emergency Use:

If a vehicle is used solely for emergency operations, it must be reported and labeled, but will have no other requirements under the Off-Road regulation. **To report a vehicle used solely for emergency operations, list it as “EMERGENCY” in the “Additional Information” column.**

Dedicated Snow Removal Vehicles:

If a vehicle is considered a dedicated snow removal vehicle it is operated exclusively to remove snow from public roads, private roads, or other paths from which snow must be cleared to allow on-road vehicle access. Dedicated snow removal vehicles must have permanently affixed snow removal equipment such as a snow blower or auger; however, a publically owned vehicle is not required to have a permanently affixed attachment. Dedicated snow removal equipment must be reported and labeled, but will have no other requirements under the Off-Road regulation. Two-engine dedicated snow removal vehicles are completely exempt from the Off-Road regulation, and have no reporting requirements. **To report a dedicated snow removal vehicle, list it as “SNOW REMOVAL” in the “Additional Information” column.**

Part-time Agricultural Vehicle:

If a vehicle is used a majority of the time, but not solely, for agricultural operations, it must be reported and labeled, but will have no other requirements under the Off-Road regulation. Vehicles used solely for agricultural operations are completely exempt from the Off-Road regulation. **To report a vehicle used a majority of the time, but not solely, for agricultural operations, list it as “AGRICULTURE” in the “Additional Information” column.**



Received Incentive Funding:

If a vehicle is participating in an incentive funding program (i.e., has received incentive funds for vehicle replacement, engine repower, or a VDECS purchase), and that vehicle is still under contract, please indicate from which program the funding was received. **To report that a vehicle has received incentive funding, list it as “MOYER”, “SOON”, “DEMO” (for demonstration project), or “OTHER” in the “Additional Information” column.**

Vehicles Awaiting Sale:

If a vehicle is in the possession of a dealer, financing company, or other entity who does not intend to operate the vehicle nor offer the vehicle for hire, and is operated only to demonstrate functionality to potential buyers or to move short distances while awaiting sale or for maintenance purposes, it is exempt from the Off-Road regulation (i.e., no reporting/labeling is required). **Although it is not required to report and label these vehicles, if you want to report an awaiting sale vehicle, list it as “AWAITING SALE” in the “Additional Information” column.**

Vehicles Used Solely on San Nicolas or San Clemente Islands:

If a vehicle is used solely on San Nicolas or San Clemente Islands, it is exempt from the Off-Road regulation (i.e., not reporting/labeling is required). **Although it is not required to report and label these vehicles, if you want to report a vehicle used on one of these islands, list it as “ISLAND” in the “Additional Information” column.**

ARB/California Capital Access Program (CalCAP) Loans:

If a vehicle is not subject to the Off-road regulation, but is required to obtain an Equipment Identification Number (EIN) through the ARB/CalCAP loan program, it can be indicated on this form. **To report a vehicle that is receiving ARB/CalCAP loan assistance, list it as “LOAN” in the “Additional Information” column.**

**In-Use Off-Road Diesel Vehicle Regulation**  
**Initial Reporting Forms**

DOORS Fleet ID # \_\_\_\_\_

Vehicle Page # \_\_\_\_\_

**Reporting Form: Vehicle Information**

#	Your Vehicle ID Number	Vehicle Serial Number (VIN)/(PIN)	Vehicle Type	Vehicle Manufacturer	Vehicle Model	Vehicle Model Year	Purchase Date (MM/DD/YYYY)	In-service Date (MM/DD/YYYY)	Additional Information
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									

## Reporting Form: Engine Information

### Summary

This form must be submitted to complete the initial reporting requirements of the Off-Road regulation, and contains the engine information for the reporting fleet. Please refer to the section below for explanations of the terms/information required on this form.

**PLEASE NOTE: For each vehicle in your fleet, you must submit a Vehicle Information page AND an Engine Information page for reporting to be complete.**

### Definition of Terms: Engine Information

Engine Serial Number: The engine serial number is different from the vehicle serial number, and should be available on the engine label, a bill of sale, or other records. Engine serial numbers may not repeat.

Engine Manufacturer: The engine manufacturer should be available on the engine label.

Engine Model: The engine model should be listed on the engine label.

Engine Family: Engines produced after the Tier 1 emission standards took effect (approximately in 1996 for most horsepower groups) were given an engine family name. Engine family names are generally 11-12 characters long and usually list displacement as the sixth through ninth characters. The engine family should be available on the engine label, or from your equipment dealer.

Engine Model Year: The engine model year is determined by the annual new model production period during which the engine was produced. For engines older than 1969, or for an engine with an uncertain age, use 1969.

Max HP: The max hp refers to the net horsepower or the net flywheel power. If the net horsepower is not available, an alternate horsepower listed in manuals, sales literature, or listed on the engine label, may be used.

Displacement: List the displacement of the engine cylinders in liters. If the displacement is below .5 liters, use .5 liters.

Engine Purchase Date: The engine purchase date is available on the engine's bill of sale. If the engine came with the vehicle from the manufacturer, enter the purchase date of the vehicle.

Additional Information: If any of your engines are covered by a category listed below, indicate the required information on the Engine Information form under the field for "**Additional Information.**"

Vehicles That Have Been Repowered:

Vehicles that have been repowered with a Tier 1 or higher engine prior to March 1, 2009, or Tier 0/Tier 1 vehicles that have been repowered with a Tier 2 or higher engine after March 1, 2009, can earn compliance credit towards the Off-Road regulation. **To report a repowered vehicle, list the engine as “REPOWERED” in the “Additional Information” column.**

Non-Diesel:

If a vehicle is an electric or alternative fuel vehicle that replaced a diesel vehicle, you may count it towards the compliance requirements of the Off-Road regulation. **To report an electric or alternative fuel vehicle, list the engine as “NON-DIESEL” in the “Additional Information” column.**

Non-Standard Engine Certifications:

If a vehicle has an on-road engine, an engine that was rebuilt to a stricter emissions standard, or a consent decree engine, the emission factors of those engines may be used towards compliance with the Off-Road regulation. **To report an on-road, rebuilt, or consent decree engine, list the engine as “ON-ROAD,” “REBUILT,” or “CONSENT DECREE,” in the “Additional Information” column.**

If a vehicle contains a flexibility engine, it must be reported as a flexibility engine, but no further action is needed (i.e., an emission factor does not need to be reported for this engine). **To report a flexibility engine, list the engine as “FLEX” in the “Additional Information” column.**

**In-Use Off-Road Diesel Vehicle Regulation  
Initial Reporting Forms**

DOORS Fleet ID # \_\_\_\_\_

Engine Page # \_\_\_\_\_

**Reporting Form: Engine Information**

#	Your Vehicle ID Number	Engine Serial Number	Engine Manufacturer	Engine Model	Engine Family	Engine Model Year	Max HP	Displ. (Liters)	Engine Purchase Date (MM/DD/YYYY)	Additional Information
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										

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## Reporting Form: Adding a Vehicle by EIN

### Summary

If you are reporting a vehicle that was previously issued an Equipment Identification Number (EIN) by ARB (i.e., the vehicle has a red label on it with a six digit letter/number combination in white, see picture below), you may complete the table below in lieu of filling out the Vehicle Information and Engine Information reporting forms.



**Vehicle with EIN label**

If the vehicle does not already have an EIN, you must fill out the Vehicle Information and Engine Information reporting forms to report your vehicles.

### Definition of Terms

Equipment Identification Number (EIN): An EIN is an individual vehicle number assigned by ARB after reporting.

Purchase Date: The purchase date should be available on the bill of sale or from your equipment dealer.

In-service Date: The in-service date is the date when the vehicle was first used in your fleet.



## **Reporting Form: VDECS (Exhaust Retrofits)**

### **Summary**

If a fleet has installed Verified Diesel Emission Control Strategies (VDECS), which are exhaust retrofits verified by ARB, this form must be submitted. Please refer to the section below for explanations of the terms and information required on this form.

### **Definition of Terms**

Equipment Identification Number (EIN), if applicable: An EIN is an individual vehicle number assigned by ARB after reporting. If the VDECS is on a vehicle that was previously assigned an EIN, list the EIN in this column.

Your Vehicle ID Number: Your vehicle ID is an identifying number that you assign to your vehicle.

VDECS Serial Number: The VDECS serial number should be listed on the VDECS label or the information provided by the VDECS manufacturer or installer. VDECS serial numbers may not repeat.

Date VDECS Purchased: The date the VDECS was purchased.

Date VDECS Installed: The date the VDECS was installed.

VDECS Family Name: The VDECS family name should be listed on the VDECS label or the information provided by the VDECS manufacturer or installer.

Date VDECS Removed, if applicable: If there was a VDECS installed in the past, but it was later removed, list the date the VDECS was removed.

Reason for VDECS Removal: If there was a VDECS installed in the past, but it was later removed, please list the reason for removing the device.



## Reporting Form: Repowered Vehicles

### Summary

If a fleet has replaced the engine in an off-road vehicle with a cleaner engine (i.e. “repowered” the vehicle), and wants to claim compliance credit for the repower, this form must be submitted. Please refer to the section below for explanations of the terms and information required on this form.

### Definition of Terms

Equipment Identification Number (EIN), if applicable: An EIN is an individual vehicle number assigned by ARB after reporting. If the repowered vehicle was previously assigned an EIN, list the EIN in this column.

Your Vehicle ID Number: Your vehicle ID is an identifying number that you assign to your vehicle.

New (Installed) Engine Serial Number: The serial number of the newly installed engine should be available on the engine label, a bill of sale, or other records. Engine serial numbers may not repeat.

Engine Manufacturer: The engine manufacturer should be available on the engine label.

Engine Model: The engine model should be listed on the engine label.

Engine Family: Engines produced after the Tier 1 emission standards took effect (approximately in 1996 for most horsepower groups) were given an engine family name. Engine family names are generally 11-12 characters long and usually list displacement as the sixth through ninth characters. The engine family should be available on the engine label, or from your equipment dealer.

Engine Model Year: The engine model year is determined by the annual new model production period during which the engine was produced. For engines older than 1969, or for an engine with an uncertain age, use 1969.

Max HP: The max hp refers to the net horsepower or the net flywheel power. If the net horsepower is not available, an alternate horsepower listed in manuals, sales literature, or listed on the engine label, may be used.

Displacement: List the displacement of the engine cylinders in liters. If the displacement is below .5 liters, use .5 liters.

Purchase and Repower Date: Include both the date of purchase for the engine which the vehicle was repowered with (the ‘new’ engine) and the date the installation took place.

**In-Use Off-Road Diesel Vehicle Regulation  
Initial Reporting Forms**

**Reporting Form: Repowered Vehicles**

EIN, if applicable	Your Vehicle ID Number	New (Installed) Engine Serial Number	Engine Manufacturer	Engine Model	Engine Family	Engine Model Year	Max HP	Displ. (Liters)	Purchase Date & Repower Date (mm-dd-yyyy) (mm-dd-yyyy)

## **Reporting Form: Non-Diesel Vehicles and Non-Standard Engine Certifications**

### **Summary**

If a fleet has vehicles with on-road engines that are subject to the Off-Road regulation, vehicles with engines that were rebuilt to a more stringent emissions standard, or if a fleet wants to receive compliance credit for non-diesel vehicles that replaced diesel vehicles, this form must be submitted. Please refer to the section below for explanations of the terms and information required on this form.

### **Definition of Terms**

Equipment Identification Number (EIN), if applicable: An EIN is an individual vehicle number assigned by ARB after reporting. If the non-diesel vehicle or non-standard engine you are reporting was previously assigned an EIN, list the EIN in this column.

Your Vehicle ID Number: Your vehicle ID is an identifying number that you assign to your vehicle.

Vehicle Serial Number: The vehicle serial number should be available on the vehicle label, a bill of sale, or other records. Vehicle serial numbers may not repeat.

Non-Diesel Vehicle Type: Non-diesel vehicles may be reported and used to meet the compliance requirements of the Off-Road regulation. The non-diesel vehicles must be used predominantly outdoors, not included in the fleet average calculation in the Large Spark Ignition regulation, and must be used for a purpose for which diesel vehicles are predominantly used. Diesel vehicles converted to an alternate fuel may also be reported. **To report a non-diesel vehicle, list the vehicle according to one of the following fuel or power type: “Diesel Converted to Alt-Fuel”, “Electric”, “Electric (Replaced Diesel)”, “Ethanol”, “Fuel Cell”, “Gasoline”, “Hydrogen”, “Methanol”, “Natural Gas”, “Other”, or “Propane.”**

Non-Standard Engine Certification Type: For engines certified to different standards, such as on-road engines, flexibility engines, consent decree engines, or engines rebuilt to more stringent emissions standards, the type of engine should be reported using this form. For engines rebuilt to different standards, attach copies of the reporting documents required in section 2449(h)(3) to these reporting forms. Note that these rebuilt-engine reporting requirements only apply to engines rebuilt to a more stringent emissions standard in accordance with Title 40, CFR, Parts 89.130 and 1068.120. **To report a non-standard engine, list the engine as one of the following types: “Consent Decree”, “Flexibility Engine”, “On-road”, “Other”, or “Rebuild.”**

Diesel HP Replaced: If the non-diesel vehicle replaced a diesel vehicle, list the horsepower of the replaced diesel vehicle.

Date of Replacement: List the date the diesel vehicle was replaced with the non-diesel vehicle.

EO Number: The certification executive order (EO) or certificate number of the non-standard engine.

Date of Rebuild (if any): If your engine was rebuilt to meet a different emissions standard, list the date the engine was rebuilt.

**Reporting Form: Non-Diesel Vehicles**

EIN, if applicable	Your Vehicle ID Number	Vehicle Serial Number (VIN)/(PIN)	Non-Diesel Vehicle Type	Diesel HP Replaced (if applicable)	Date of Replacement (mm-dd-yyyy)

**Reporting Form: Non-Standard Engine Certification**

EIN, if applicable	Your Vehicle ID Number	Vehicle Serial Number (VIN)/(PIN)	Non-Standard Engine Certification Type	EO Number	Date of Rebuild (if any) (mm-dd-yyyy)

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## **Reporting Form: Incentive Program Vehicles/Engines/VDECS**

### **Summary**

If a fleet has vehicles, engines, or VDECS that were funded through an incentive program (such as the Carl Moyer, SOON, or other incentive program) and are still under contract, this form must be submitted. Please refer to the section below for explanations of the terms and information required on this form.

### **Definition of Terms**

Equipment Identification Number (EIN): An EIN is an individual vehicle number assigned by ARB after reporting. If the vehicle you are reporting was previously assigned an EIN, list the EIN in this column.

Your Vehicle ID Number: Your vehicle ID is an identifying number that you assign to your vehicle.

Vehicle Serial Number: The vehicle serial number should be available on the vehicle label, a bill of sale, or other records. Vehicle serial numbers may not repeat.

What was Funded?: Indicate what actions were funded. **To report that the funding received was for vehicle replacement, list “Vehicle”, for a repower, list “Engine”, and for a VDECS, list “VDECS.” If funding was received for multiple actions, such as a repower and a VDECS, list all the applicable actions funded for each vehicle.**

Funding Source: Indicate the incentive funding program that funded the vehicle replacement, repower, and/or VDECS. **To report the funding source, list one of the following options: “Carl Moyer”, “SOON”, “Demo” (for participation in a demonstration program), or “Other.”**

Funding Sponsor: Indicate the name of the agency sponsoring the project.

Contract Start Date: The contract start date refers to the project start date, generally corresponding to the date that the actions funded took place (e.g. the date the engine repower was actually performed).

Contract End Date: The contract end date refers to end date listed on the contact that specifies when the vehicle is no longer subject to the requirements of the funding program.

Can be used for compliance?: Most funding programs have conditions listed in the contract that will prevent a fleet from using the funded equipment towards compliance with all applicable regulations while the equipment is still under contract. To determine if funded equipment can count toward fleet compliance, check project contract for a statement similar to “Throughout the contract term, projects funded by the Carl Moyer

Program must not be used to generate credits or compliance extensions, and must be excluded when determining regulatory compliance.” Alternatively, check with the air district that executed the contract. **If the funded vehicle/engine/VDECS cannot be used towards compliance (i.e., the contract contains a statement similar to the one above), put “No” in this column. Otherwise, put “Yes.”**

**Reporting Form: Vehicles/Engines/VDECS Funded by Incentive Programs**

EIN	Your Vehicle ID Number	Vehicle Serial Number (VIN)/(PIN)	What was Funded? (Vehicle, Engine, VDECS)	Funding Source	Funding Sponsor	Contract Start Date (mm-dd-yyyy)	Contract End Date (mm-dd-yyyy)	Can be used for compliance?*

\* To determine if funded equipment can count toward fleet compliance, check project contract for a statement similar to “Throughout the contract term, projects funded by the Carl Moyer Program must not be used to generate credits or compliance extensions, and must be excluded when determining regulatory compliance.” Alternatively, check with the air district that executed the contract.

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## **Reporting Form: Stationary or Portable System Used to Replace Diesel Vehicles**

### **Summary**

If a fleet is using a stationary or portable system in place of off-road diesel vehicles, it may receive credit for the system if the fleet can demonstrate that the system is performing work predominantly accomplished by off-road diesel vehicles, and is used outdoors, and is not included in a fleet average calculation for Large Spark-Ignition equipment in title 13, Section 2775.1.

Complete this form as a preliminary description of the system. To receive credit, the fleet will need to apply to the ARB Executive Officer. For more information regarding this application and what information should be included, please contact the DOORS Hotline by phone at: 1-877-59-DOORS (1-877-593-6677), or by email at [doors@arb.ca.gov](mailto:doors@arb.ca.gov).

**Reporting Form: Stationary or Portable System Used to Replace Diesel Vehicles**

#	System Description	System Purchase Date (mm-dd-yyyy)	System In-service Date (mm-dd-yyyy)	Type of Vehicles Replaced by System	Number of Vehicles Replaced by System	Total Hp of Vehicles Replaced by System
1						
2						
3						

# In-Use Off-Road Diesel Vehicle Regulation

Overview, Revised May 2012



## **The Off-Road Regulation Applies To:**

All self-propelled off-road diesel vehicles over 25 horsepower (hp) used in California and most two-engine vehicles (except on-road two-engine sweepers) are subject to the Regulation for In-Use Off-Road Diesel Fueled Fleets (Off-Road regulation). This includes vehicles that are rented or leased (rental or leased fleets).

Personal use vehicles, vehicles used solely for agriculture, vehicles that are awaiting sale, and vehicles already covered by the Regulation for Mobile Cargo Handling Equipment at Ports and Intermodal Rail Yards (Cargo Handling regulation), are exempt from the Off-Road regulation.

Emergency operations vehicles, dedicated snow removal vehicles, low-use vehicles (used under 200 hours per year, as confirmed by a non-resettable hour meter), and vehicles used a majority of the time (but not solely) for agricultural operations, must be reported to ARB and labeled, but are exempt from the performance requirements of the Off-Road regulation.

## **Summary:**

The overall purpose of the Off-Road regulation is to reduce emissions of oxides of nitrogen (NO<sub>x</sub>) and particulate matter (PM) from off-road diesel vehicles operating within California. The Off-Road regulation:

- Imposes limits on idling, requires a written idling policy, and requires a disclosure when selling vehicles;
- Requires all vehicles to be reported to ARB (using the Diesel Off-Road Online Reporting System, DOORS) and labeled;
- Restricts the adding of older vehicles into fleets; and
- Requires fleets to reduce their emissions by retiring, replacing, or repowering older engines, or installing Verified Diesel Emission Control Strategies, VDECS (i.e., exhaust retrofits).

The requirements and compliance dates of the Off-Road regulation vary by fleet size. For a fleet to determine their size, it must add up all of the off-road horsepower under common ownership or control in the fleet.

Fleet Size Category	Description
Small	Fleet or municipality <= 2,500 hp, or Municipality fleet in low population county, captive attainment area fleet, or non-profit training center, regardless of total hp
Medium	Fleet with 2,501 to 5,000 hp
Large	Fleet with more than 5,000 hp, or All state and federal government fleets, regardless of total hp

**Requirements Currently in Effect:**

**Effective June, 2008  
for All Fleets:  
Idling and Disclosure**

The following requirements are in effect and being enforced:

**Idling Limited to 5 Minutes** – Fleets must limit their unnecessary idling to 5 minutes; there are exceptions for vehicles that need to idle to perform work (such as a crane providing hydraulic power to the boom), vehicles being serviced, or in a queue waiting for work.

More information – [www.arb.ca.gov/enf/advs/advs377.pdf](http://www.arb.ca.gov/enf/advs/advs377.pdf)

**Written Idling Policy** – Medium and large fleets must have a written idling policy.

More information - [www.arb.ca.gov/enf/advs/advs391.pdf](http://www.arb.ca.gov/enf/advs/advs391.pdf)

Suggested language - [www.arb.ca.gov/msprog/ordiesel/faq/idlepolicyfaq.pdf](http://www.arb.ca.gov/msprog/ordiesel/faq/idlepolicyfaq.pdf)

**Disclosure for Selling Vehicles** – The seller (whether a dealer or a contractor with just one vehicle) must provide disclosure of the Off-Road regulation (exact language provided in the regulation) on the bill of sale or invoice, and must keep records that the disclosure was provided for three years after the sale. The seller must also report the vehicle sale to ARB via DOORS within 30 days of the sale.

More information and necessary language - [www.arb.ca.gov/enf/advs/advs378.pdf](http://www.arb.ca.gov/enf/advs/advs378.pdf)

**Effective 2009  
for All Fleets:  
Reporting and Labeling**

The following requirements are in effect and being enforced:

**Reporting** – Reporting can be completed using DOORS, which is ARB's free online reporting tool for the Off-Road regulation. Additionally, hard copy reporting forms are also available.

Off-Road regulation homepage: [www.arb.ca.gov/ordiesel](http://www.arb.ca.gov/ordiesel)

More information on how to report and what information is required is available on the DOORS website at:

[https://ssl.arb.ca.gov/ssldoors/doors\\_reporting/doors\\_login.html](https://ssl.arb.ca.gov/ssldoors/doors_reporting/doors_login.html)

**Labeling** – After a fleet reports their vehicles to ARB, each vehicle is assigned a unique Equipment Identification Number (EIN). The fleet must label its vehicles within 30 days of receiving EINs. Note that ARB does not issue EIN labels; it is the fleet’s responsibility to follow ARB’s label specifications and to make or purchase the labels or placards, or paint the EINs on its vehicles. More information on label specifications is available at:

[www.arb.ca.gov/msprog/ordiesel/faq/faq-labeling.pdf](http://www.arb.ca.gov/msprog/ordiesel/faq/faq-labeling.pdf)

A list of label vendors is available at:

[www.arb.ca.gov/msprog/ordiesel/labelvendors.htm](http://www.arb.ca.gov/msprog/ordiesel/labelvendors.htm)

Previously, fleets were only required to label the right (starboard) side of the vehicle. However, the labeling provisions of the Off-Road regulation were amended in December 2010 to require labels on both sides of each vehicle. Additionally, fleets reported as ‘captive attainment area fleets’ must have labels with a green background instead of red. Fleets have until January 1, 2013, to implement both of these changes.



More information on these labeling amendments is available at:

<http://www.arb.ca.gov/msprog/mailouts/msc1208/msc1208.pdf>

**Annual Reporting** – All fleet owners must review and update their information by March 1<sup>st</sup> each year that annual reporting is required. Large fleets must report annually from 2012 to 2023, medium fleets from 2016 to 2023, and small fleets from 2018 to 2028. For each annual reporting date, a fleet must report any changes to the fleet, hour meter readings (for low-use vehicles and vehicles used a majority of the time, but not solely, for agricultural operations), and also must submit the Responsible Official Affirmation of Reporting (ROAR) form. All of these items should be submitted using DOORS.

### **Future Requirements:**

**Future Requirements  
for All Fleets:  
Restrictions on Adding  
Vehicles**

**In the future, there will be restrictions on adding older vehicles to a fleet. However, at this time, a fleet may purchase a vehicle with any tier engine.**

Off-Road regulation homepage: [www.arb.ca.gov/ordiesel](http://www.arb.ca.gov/ordiesel)

ARB is not currently enforcing the Off-Road regulation's restrictions on fleets adding vehicles with older tier engines, but will enforce this provision once authorization is received from the United States Environmental Protection Agency (U.S. EPA).

**Ban on adding Tier 0s** – Effective upon the U.S. EPA issuing authorization for the Off-Road regulation, a fleet may not add a vehicle with a Tier 0 engine to its fleet. The engine tier must be Tier 1 or higher.

**Ban on adding Tier 1s** – Also effective upon U.S. EPA authorization, large and medium fleets may add a vehicle with a Tier 1 engine if and only if the vehicle has an EIN that ARB assigned to the vehicle prior to January 1, 2012, and both the fleet selling and the fleet purchasing the vehicle have reported to ARB by January 1, 2012, or have entered the State of California for the first time after January 1, 2012. Beginning on January 1, 2013, for large and medium fleets, and January 1, 2016, for small fleets, a fleet may not add any vehicle with a Tier 1 engine. The engine tier must be Tier 2 or higher.

**Ban on adding Tier 2s** – Beginning January 1, 2018, for large and medium fleets, and January 1, 2023, for small fleets, a fleet may not add a vehicle with a Tier 2 engine to its fleet. The engine tier must be Tier 3 or higher.

Please refer to the Off-Road regulation website for updates regarding ARB's authorization request ([www.arb.ca.gov/ordiesel](http://www.arb.ca.gov/ordiesel)).

More information on the adding vehicles requirements is available at: <http://www.arb.ca.gov/msprog/ordiesel/faq/addingvehicles.pdf>

**Future Requirements  
for all Fleets:  
Performance  
Requirements**

**The performance requirements begin:  
January 1, 2014, for large fleets  
January 1, 2017, for medium fleets  
January 1, 2019, for small fleets**

**Compliance Options** – By each compliance deadline, a fleet must demonstrate that it has either met the fleet average target for that year, or has completed the Best Available Control Technology requirements (BACT). Large fleets have compliance deadlines each year from 2014 through 2023, medium fleets each year from 2017 through 2023, and small fleets each year from 2019 through 2028. These requirements are described further below.

**Meeting the fleet average targets** – The fleet average index is an indicator of a fleet’s overall emissions rate, and is based on the fleet’s average NOx emissions which is determined by the horsepower and model year of each engine in the fleet. If the fleet average index is equal to or less than the fleet average target for a given year, the fleet is not required to take further action to reduce emissions from its vehicles.

OR

**Complying with BACT requirements** – If a fleet cannot, or does not want to meet the fleet average target in a given year, it may instead choose to comply with the BACT requirements. A fleet may meet the BACT requirements each year by turning over or installing VDECS on a certain percentage (referred to as the BACT rate) of its total fleet horsepower. ‘Turnover’ means retiring a vehicle, designating a vehicle as permanent low-use (a vehicle used less than 200 hours per year), repowering a vehicle with a higher tier engine, or rebuilding the engine to a more stringent emission standard. ‘Installing VDECS’ means installing the highest level VDECS verified by ARB to reduce PM, or installing a VDECS verified to reduce NOx. In order to fulfill the BACT requirements for large and medium fleets, if a VDECS cannot be installed on a vehicle, then that vehicle must be turned over. However, for small fleets, if a VDECS cannot be installed, that vehicle is exempt from the BACT requirements. The BACT rates for each fleet size are shown the below.

<p><b>Large fleets:</b> 2014: 4.8 percent 2015 to 2017: 8 percent 2018 to 2023: 10 percent</p> <p><b>Medium fleets:</b> 2017: 8 percent 2018 to 2023: 10 percent</p> <p><b>Small fleets:</b> 2019 to 2028: 10 percent</p>
---

**Additional Compliance Option for Fleets with 500 Hp or Less** – Small fleets with 500 hp or less may comply with the small fleet requirements listed above, or may comply with an optional compliance path which requires the fleet to phase out Tier 0 and Tier 1 vehicles by 2029. This optional compliance schedule is shown in the table below.

**Optional Compliance Schedule for Fleets with 500 HP or Less**

<b>Compliance Date: January 1 of Year</b>	<b>Percent of Fleet (by horsepower) Which Must Have a Tier 2 or Higher Engine</b>
<b>2019</b>	25
<b>2022</b>	50
<b>2026</b>	75
<b>2029</b>	100

By 2029, all of the fleet's vehicles must have Tier 2 or higher engines. If small fleets with 500 hp or less choose not to pursue this compliance path, they must meet the small fleet requirements above.

**Additional Information:**

**For more information on the Off-Road regulation, including Fact Sheets, Frequently Asked Questions (FAQs), and DOORS User Guides, please visit the Off-Road Knowledge Center at:**

**[www.arb.ca.gov/msprog/ordiesel/knowcenter.htm](http://www.arb.ca.gov/msprog/ordiesel/knowcenter.htm)**

**For assistance with Off-Road reporting or using ARB's Diesel Off-Road Online Reporting system (DOORS), please contact the DOORS hotline by phone at (877) 59DOORS (877-593-6677), or by email at [doors@arb.ca.gov](mailto:doors@arb.ca.gov)**

**For general questions regarding the Off-Road regulation, please contact the Diesel hotline by phone at (866) 6DIESEL (866-634-3735), or by email at [8666diesel@arb.ca.gov](mailto:8666diesel@arb.ca.gov)**

## **Frequently Asked Questions In-Use Off-Road Diesel Vehicle Regulation**

### **Labeling FAQ Revised May 2011**

**Q – When will I receive my Equipment Identification Numbers (EINs) after initially reporting my fleet?**

**A –** Fleets that have reported online through DOORS will receive their EINs immediately upon approval of their fleet. EINs are viewable by logging into your DOORS account and selecting “View EINs” from the drop-down menu.

Fleets that have reported via hardcopy forms will have their EINs mailed directly to them.

**Q – Once I receive the ARB issued EINs, what are the requirements for labeling vehicles?**

**A –** After receiving the EINs, fleets must label their vehicles within 30 days.

Fleet owners have a choice of how they want to label the vehicle itself. For example, some fleets may choose to label their vehicles with stickers, while others may paint the EIN on the vehicle.

The color of the EIN label is dependent on the type of fleet. Most EIN labels must be white on a red background. However, for captive attainment area fleets, the EIN labels must be white on a green background. Captive attainment area fleets are fleets or subfleets in which all of the vehicles operate exclusively within the following counties: Alpine, Colusa, Del Norte, Glenn, Humboldt, Lake, Lassen, Mendocino, Modoc, Monterey, Northern Sonoma, Plumas, San Benito, San Luis Obispo, Santa Barbara, Santa Cruz, Shasta, Sierra, Siskiyou, Trinity, Tehama, and Yuba

The EIN label must be located in clear view on both sides of the outside of the vehicle, approximately 5 feet above ground. If the vehicle is not 5 feet tall, the label may be placed lower on the vehicle. Each character of the EIN needs to be at least 3 inches tall and 1.5 inches wide. Furthermore, the EIN must be maintained in a manner that retains its legibility for the entire life of the vehicle.

The photographs below show real vehicles labeled with EINs.

*While this document is intended to assist fleets with their compliance efforts, it is the sole responsibility of fleets to ensure compliance with the In-Use Off-Road Diesel Vehicle Regulation.*



**Q – Due to the previous labeling requirements, I only labeled the right (starboard) side of my vehicles. How long do I have to get both sides of my vehicles labeled?**

A – Fleets have until January 1, 2013, to place an identical EIN label on the left (port) side of the vehicle.

**Q – I am a captive attainment area fleet and my vehicles are labeled with EINs on a red background instead of green. How long do I have to change the EIN labels on my vehicles?**

A – Captive attainment area fleets have until January 1, 2013, to change their EINs to green backgrounds and to label both sides of their vehicles.

**Q – What if I do not have room on my vehicle to place the EIN? Should I place my EIN vertically?**

A – Fleets are responsible to make every effort to find a place for the label of the appropriate size. However, if it is not possible – for example if there is physically not a surface that will hold the label horizontally on the right side of the vehicle - a fleet may use a smaller or vertical label. The fleet must make the label as close to the required size as possible in order for it to be legible to enforcement

*While this document is intended to assist fleets with their compliance efforts, it is the sole responsibility of fleets to ensure compliance with the In-Use Off-Road Diesel Vehicle Regulation.*

personnel. If ARB's enforcement staff finds labels that are smaller than required or placed vertically without a valid reason, the fleet will be subject to enforcement action. The use of smaller or vertical labels must be for a valid reason, for example, fleets cannot use smaller or vertical labels if there is no room because of existing optional stickers and/or placards on the vehicle. Furthermore, labels should not be placed on a portion of the vehicle that can be detached (for example, the backhoe attachment on a tractor). If you have any questions about labeling, you can contact ARB about your specific situation.

**Q – What is the process for labeling added vehicles?**

**A –** Once a vehicle has been added to a fleet that has been previously approved in DOORS, an EIN will automatically be assigned. The owner or responsible person has 30 days from then to appropriately label their equipment.

**Q – Where can I buy labels?**

**A –** For a list of label vendors who have demonstrated that they can meet the label specifications, please see our website at:  
[www.arb.ca.gov/msprog/ordiesel/labelvendors.htm](http://www.arb.ca.gov/msprog/ordiesel/labelvendors.htm)

The listed vendors have provided a label to ARB meeting the specifications. However, please note that the listing of these companies does not constitute endorsement by the Air Resources Board.

*While this document is intended to assist fleets with their compliance efforts, it is the sole responsibility of fleets to ensure compliance with the In-Use Off-Road Diesel Vehicle Regulation.*

## How to Report with Missing Information

When reporting to DOORS, some fleets may find that gathering all the data required is not possible. For example, the engine label may be worn off due to the vehicle age, or may have been damaged and become unreadable. In such cases, ARB will allow a fleet to report without all of the information required by the regulation if a fleet verifies that it has:

- Checked equipment labels, equipment logs, and equipment manuals;
- Reviewed any equipment records they have on file;
- Contacted the vehicle and/ or engine manufacturer; and
- Searched any other source of information that could feasibly be checked, and reasonably be expected to provide the information needed.

If these steps are completed and the information is still not available, the fleet may leave the information blank (with the exception of horsepower) in the reporting forms, and DOORS will insert placeholder data for those fields when the fleet reports. Using online reporting, the fields will be highlighted in red as shown below.

Edit	Line #	Veh serial num	Your veh num	Eng serial num	Eng Manufacturer	Eng Model	Eng Family	Eng MY	Max HP	Displacement (liters)
<a href="#">Edit</a>	3	YBN3829389		HUC3982938	DAEWOO MOTOR CO.	67 R	225NA003	2002	230	45
<a href="#">Edit</a>	2	225NA002	395	YTJ2348923893	MACK TRUCKS, INC.	225NA002	F83EK3.4U0	1999	240	200
<a href="#">Edit</a>	1	FHI3829389	393	225NA001	KUBOTA CORPORATION	HN 75G	J3727H4.5J	2003	300	200

The placeholder will be in the format of [ DOORS ID + NA + 00X] where the last three digits will be a unique number in each column (starting with 001, 002, 003, etc.), as shown above for the fleet with DOORS ID 225.

For displacement, blank fields will result in a value of 200. Blank model years will result in a default model year of 1969. It is important to note that a model year of 1969 represents the 'dirtiest' engines in service and may substantially increase your fleet average emissions.

The vehicle type and the engine manufacturer must be listed, even if "OTHER" is selected, for DOORS to be able to upload the file.

### Unable to Determine Horsepower

Unlike other missing information, fleets cannot report a vehicle without listing a horsepower. Fleets should first check the engine labels, the engine manual, and any engine records.

If, after having checked those sources, a fleet is still unable to find a listed horsepower, a fleet should estimate the horsepower of the vehicle and record the basis for that estimate. For example, a fleet could find the engine or a similar engine described in manufacturer literature, or the fleet may search an auction site such as <http://www.machinerytrader.com> and report the horsepower for a vehicle with the same engine. Or a fleet could record an estimate of the horsepower from a knowledgeable party such as a representative of the engine manufacturer.

Fleets that estimate a vehicle's horsepower should keep records of the basis for that estimate in case ARB enforcement personnel ever question the estimate. For example; a photocopy of page where the horsepower is listed in the manufacturer's literature, a screenshot of the horsepower of the same engine listed on an auction site, or a copy of the contact information from an engine manufacturer representative and a written summary of the information provided by the representative.

Once the fleet owner has completed data entry, they will be asked to verify that they have performed a search and cannot find the information, as shown on the next page:

The screenshot shows the DOORS web application interface. At the top, there is a navigation bar with the California Environmental Protection Agency (CA.gov) logo, the Air Resources Board logo, and the text "Go to Off-Road Diesel Vehicle". On the right side of the navigation bar, there are links for "A | A | A" and "Calendars | A-Z Index". Below the navigation bar, there is a row of buttons: "Home", "Edit Owner", "Enter Vehicle", "Enter Engine", "Enter VDECS", "Request Review", and "Exit".

The main content area displays the following information:

**DOORS ID: 3352      Name: Tester1234 Company**

After you have uploaded your information and viewed and confirmed that it is correct, you can request that ARB review your information by clicking on the confirm request review button below.

DOORS will not accept the information if engine horsepower information has been left blank. If you leave other data fields blank, however, DOORS will fill in the missing information with placeholder data. When you view your fleet data, the cells completed with placeholder data will be shown in red. Please ensure that you did not leave any fields empty by mistake. If you are missing information for your vehicles or engines, and are unable to obtain the missing information after a thorough search, you may submit your fleet data to ARB without the missing information.

By selecting "Confirm Request Review" below, you are stating under penalty of perjury that you completed a thorough search for the information by checking, at a minimum, the following sources: labels on the vehicle and engine, equipment logs, fleet records, equipment manuals, and (where applicable) your equipment dealer or sales representative. You will also be giving ARB legal notification that you are not purposefully withholding or excluding information on your vehicles or engines.

Reporting fleet data to ARB with a substantial amount of missing information on vehicle or engines may trigger an inspection to ensure your reporting information was as complete as possible given the circumstances.

Once the ARB reviews your information, the ARB will submit it for permanent storage in the database. At that time, each vehicle will be issued an Equipment Identification Number (EIN). Then, the next time you login, the system will allow you to display your EINs and automatically generate a compliance plan.

\* Please note that once you submit your information for permanent storage, you will not be able to upload any changes to your fleet data until after the ARB reviews your fleet data, you will then be able to modify your data using on-line screens. \*

**You have left fields blank which DOORS has automatically filled in. These fields are shown in red when you view your fleet. Your data will not be reviewed unless you check the box below. By checking the box below, you are stating the following under penalty of perjury:**

- I made a good faith effort to find the missing data but was unable to do so.
- I completed a thorough search for the information by checking, at a minimum, the following sources: labels on the vehicle and engine, equipment logs, fleet records, equipment manuals, and (if applicable) my equipment dealer or sales representative.
- I am not purposefully withholding or excluding information on my vehicles or engines.

By checking this box you acknowledge the forgoing.

Once a fleet confirms that they did perform a search and are not able to find the required information, DOORS will accept the fleet data with the placeholder information where fields were left blank.

Leaving large amounts of information blank when reporting may draw the attention of ARB enforcement personnel, so it will benefit fleets to perform as thorough a search as possible for the information.

If the fleet is able to find the information at a later date, they will be able to log in to DOORS and insert the correct information.

Once you have confirmed your request for review, you should see the following screen:

The screenshot displays the DOORS web application interface. At the top, there is a navigation bar with the California Environmental Protection Agency logo, the Air Resources Board logo, and the text "Go to Off-Road Diesel Vehicle". To the right of the navigation bar are links for "A|A|A", "Calendars", and "A-Z Index". Below the navigation bar is a row of buttons: "Home", "Edit Owner", "Enter Vehicle", "Enter Engine", "Enter VDECS", "Request Review", and "Exit". The main content area has a yellow background and displays "DOORS ID: 3352" and "Name: Tester1234 Company". Below this, there is a section titled "Confirm Request Review" with the following text: "DOORS ID: 3352", "Company/agency name: Tester1234 Company", and "ARB staff will review your data and send you an email notifying you of our review within a few days, after which you will be able to go online to retrieve your EINs." At the bottom of the main content area, there are two buttons: "Reporting Home" and "Exit". Below the main content area is a dark blue footer bar with the text "Back to Top | All ARB Contacts | A-Z Index".

After you have successfully requested a review on your account, you will receive an e-mail from us ([doors@arb.ca.gov](mailto:doors@arb.ca.gov)) stating that we have received your request and that we will notify you when we are finished reviewing your fleet.

Once we have reviewed your fleet, we will send you another e-mail letting you know that your fleet has been successfully reviewed. It takes approximately 2-3 business days for your fleet to be reviewed.

After your fleet has been reviewed, you may make additional changes to your fleet as necessary.