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AGENCY: **ENVIRONMENTAL PROTECTION AGENCY (EPA)**

TITLE: **Tribal Clean Diesel Funding Assistance Program FY 2015**

ACTION: **Request for Proposals (RFP)**

RFP NUMBER: **EPA-OAR-OTAQ-15-05**

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO: 66.039

DATES:

Wednesday, May 13, 2015	RFP OPENS
Wednesday, July 15, 2015	RFP CLOSES – PROPOSALS DUE
September 2015	ANTICIPATED NOTIFICATION OF SELECTION
Fall-Winter 2015	ANTICIPATED AWARD

The closing date and time for receipt of proposal submissions is **Wednesday, July, 15, 2015 by 4:00 p.m., Eastern Time (ET)** in order to be considered for funding. Proposal packages must be submitted electronically to EPA through Grants.gov (www.grants.gov) no later than **Wednesday, July 15, 2015, 4:00 p.m. ET** in order to be considered for funding.

SUMMARY: This notice announces that EPA's Office of Transportation and Air Quality is soliciting proposals nationwide for Tribal projects that achieve significant reductions in diesel emissions in terms of tons of pollution produced by diesel engines and diesel emissions exposure, particularly from fleets operating in areas designated by the Administrator as poor air quality areas.

Eligible diesel emission reduction solutions include verified emission control technologies such as exhaust controls, cleaner fuels, and engine upgrades, verified idle reduction technologies, verified aerodynamic technologies and low rolling resistance tires, certified engine repowers, and/or certified vehicle or equipment replacement. Please refer to Page 2 for a summary of important funding limits regarding these emission reduction solutions.

Eligible diesel vehicles, engines and equipment may include buses, Class 5 – Class 8 heavy-duty highway vehicles, marine engines, locomotives and nonroad engines, equipment or vehicles used in construction, handling of cargo (including at a port or airport), agriculture, mining or energy production (including stationary generators and pumps).

Eligible entities include Tribal agencies (or intertribal consortia) with jurisdiction over transportation or air quality.

FUNDING/AWARDS:
The total estimated funding for this competitive opportunity is approximately $1 million. EPA regional offices will award the assistance agreements for projects resulting from this announcement. EPA anticipates awarding one to five assistance agreements nationwide from this announcement, subject to availability of funds, the quality of proposals received, and other applicable considerations. Funding will be in the form of cooperative agreements.

Summary of What EPA Will Fund

- **Verified Exhaust Control Technologies**: EPA will fund up to 100% of the cost (labor and equipment) of eligible verified exhaust control technologies.
- **Verified/Certified Engine Upgrades**: EPA will fund up to 75% of the cost (labor and equipment) of eligible engine upgrades.
- **Verified/Certified Cleaner Fuel Use**: EPA will not fund stand-alone cleaner fuels use. EPA will fund the cost differential between the eligible cleaner fuels and conventional diesel fuels if the cleaner fuels are used in combination, and on the same vehicles, with new eligible verified exhaust controls or eligible clean alternative fuel conversions or eligible engine upgrades or eligible certified engine repowers or eligible certified vehicle/equipment replacements funded under this RFP, as described in Section I.B.2.
- **Verified Idle Reduction Technologies**: EPA will not fund stand-alone idle reduction technologies, except for idle reduction technologies on locomotives, shore connection systems and truck stop electrification technologies, as discussed below. EPA will fund up to 100% of the cost (labor and equipment) of an eligible, verified idle reduction technology if that technology is combined on the same vehicle with a new eligible verified exhaust control funded under this RFP, as described in Section I.B.2.
    - **Verified Idle Reduction Technologies on School Buses:** Funding can cover up to 100% of the cost (labor and equipment) of verified idle reduction technologies on school buses with model year 2006 or older engines that have been previously retrofitted with a verified emission control device.
    - **Verified Locomotive Idle Reduction Technologies**: EPA will fund up to 40% of the cost (labor and equipment) of eligible idle reduction technologies on locomotives.
    - **Verified Shore Connection Systems and Truck Stop Electrification Technologies**: EPA will fund up to 25% of the cost (labor and equipment) of eligible shore connection systems and truck stop electrification technologies.
- **Verified Aerodynamic Technologies and Low Rolling Resistance Tires:** EPA will not fund stand-alone aerodynamic technologies or low rolling resistance tires. EPA will fund up to 100% of the cost (labor and equipment) of verified aerodynamic technologies or verified low rolling resistance tires if the technology is combined on the same vehicle with a new eligible verified exhaust control technology funded under this RFP, as described in Section I.B.2.a.
- **Certified Engine Repower**: EPA will fund up to 75% of the cost (labor and equipment) of an eligible engine repower.
- **Certified Vehicle/Equipment Replacement**:
    - Nonroad Diesel Vehicles and Equipment: EPA will fund the incremental cost of a newer, cleaner vehicle or piece of equipment powered by a 2014 or newer model year certified

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nonroad diesel engine, up to 50% of the cost of an eligible replacement vehicle or piece of equipment.

- Highway Diesel Vehicles: EPA will fund the incremental cost of a newer, cleaner vehicle powered by a 2014 model year or newer certified highway heavy-duty diesel engine, up to 50% of the cost of an eligible replacement vehicle or piece of equipment (except for drayage vehicles; see below).
- Drayage Truck Replacement: EPA will fund up to 50% of the cost of eligible drayage trucks with a 2011 model year or newer heavy-duty engine.
- Stationary Generator or Agricultural Pump Replacement: EPA will fund up to 75% of the cost of eligible stationary generator or agricultural pump with an engine beyond the any federal mandated measures rule.

Pursuant to 42 USC 16132(d)(2), no funds awarded under this RFP shall be used to fund the costs of emission reductions that are mandated under federal law. **Specifically, projects involving locomotives and marine engines will not be considered for funding under this RFP if the emissions reductions proposed for funding are required by EPA's locomotive and marine rule, "Control of Emissions of Air Pollution from Locomotives and Marine Compression-Ignition Engines Less than 30 liters per Cylinder." Also, projects involving stationary engines will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's RICE rule, "National Emission Standards for Hazardous Air Pollutants (NESHAP) for Stationary Reciprocating Internal Combustion Engines (40 CFR Part 63 Subpart ZZZZ).**

Proposals for emissions reductions from locomotives and/or marine engines and/or stationary engines that do not include a "Mandated Measures Justification" in Section 1 of the Project Narrative, as described in Section III.D.1 and Appendix E of this RFP, are not eligible for funding and will not be reviewed.

!! IMPORTANT – READ THIS FIRST !!

All applicants must submit their proposals electronically through www.grants.gov as explained in Appendix A. Proposals will NOT be accepted via e-mail, fax, standard 1st class mail delivery by U.S. Postal Service, express delivery service, or hand delivery.

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information on the registration requirements that must be completed in order to submit an application through Grants.gov, go to www.Grants.gov and click on "Applicants" on the top of the page and then go to the "Get Registered" link on the page. **If your organization is not currently registered with Grants.gov, please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible. Please note that the registration process also requires that your organization have a DUNS number and a current registration with**

US EPA ARCHIVE DOCUMENT

the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met in order to apply for this opportunity through Grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on Grants.gov, SAM.gov, and DUNS number assignment is FREE.

US EPA ARCHIVE DOCUMENT

TABLE OF CONTENTS PAGE

I. FUNDING OPPORTUNITY DESCRIPTION 6
A. Background 6
B. Scope of Work 6
C. EPA Strategic Plan Linkage, Anticipated Outputs/
Outcomes and Performance Measures 19
D. Supplementary Information 21
II. AWARD INFORMATION 21
A. Available Funding 21
B. Partial Funding 21
C. Project Period 21
D. Funding Type 22
E. Technology Compatibility 22
III. ELIGIBILITY INFORMATION 22
A. Eligible Entities 22
B. Cost-Share Requirement and Voluntary Cost-Share 23
C. Threshold Eligibility Criteria 25
D. Funding Restrictions 26
IV. PROPOSAL AND SUBMISSION INFORMATION 30
A. Requirement to Submit Through Grants.gov and Limited Exception Procedures 30
B. Grants.gov Application Submission Instructions 31
C. Content of Proposal Package 31
D. Submission Date and Time 34
E. Pre-Proposal Assistance and Communications 34
F. Contracts and Subawards 35
G. Additional Provisions for Applicants Incorporated Into the Solicitation 36
V. PROPOSAL REVIEW INFORMATION 36
A. Evaluation Criteria 37
B. Review and Selection Process 39
C. Other Factors 39
VI. AWARD ADMINISTRATION INFORMATION 40
A. Award Notices 40
B. Administrative and National Policy Requirements 40
C. Reporting Requirement 41
D. Disputes 41
E. Additional Provisions for Applicants Incorporated Into the Solicitation 41
VII. AGENCY CONTACTS 42

Appendix A: Grants.gov Proposal Submission Instructions 43
Appendix B: Project Narrative Instructions, Format, and Content 46
Appendix C: Quantifying Environmental Outcomes 57
Appendix D: DERA Tribal Program Priority Locations 61
Appendix E: Mandated Measures Justification 62
Appendix F: Proposal Submission Checklist 73

US EPA ARCHIVE DOCUMENT

US EPA ARCHIVE DOCUMENT

I. FUNDING OPPORTUNITY DESCRIPTION

A. Background

Reducing emissions from diesel engines is one of the most important air quality challenges facing the country. In 2009, nationwide diesel emissions from mobile sources alone accounted for approximately 300,000 tons of directly emitted fine Particulate Matter (PM 2.5) and 6.4 million tons of oxides of nitrogen (NO_x), which contribute to the formation of ozone and additional fine particles. Despite EPA's diesel engine and fuel standards for new engines, the eleven million diesel engines already in use continue to emit large amounts of NO_x and PM 2.5, which contribute to serious public health problems, including asthma, lung cancer and various other cardiac and respiratory diseases. These problems result in thousands of premature deaths, millions of lost work days, and numerous other negative health impacts every year.

To protect public health and air quality by addressing these diesel emissions, the U.S. Environmental Protection Agency (EPA) established the National Clean Diesel Campaign (NCDC). NCDC promotes clean air strategies by working with manufacturers, fleet operators, air quality professionals, environmental and community organizations and state and local officials to reduce diesel emissions and supports EPA's goal of furthering environmental justice by prioritizing emission reductions in areas receiving disproportionate impacts from diesel fleets to provide an environment where all people enjoy the same degree of protection from environmental and health hazards.

The Diesel Emissions Reduction Act (DERA), codified at 42 U.S.C. 16131 *et seq*., authorizes EPA to offer funding assistance to eligible entities on a competitive basis. Fiscal Year (FY) 2008 was the inaugural year of funding for the DERA program, and since then EPA has awarded funds to over 600 projects to reduce diesel emissions nationwide, including 14 Tribal projects. Specific information on these funded projects can be found at: www.epa.gov/cleandiesel/projects/ and www.epa.gov/cleandiesel/projects-tribal.htm.

B. Scope of Work

A single proposal may target multiple fleets, fleet types and/or diesel emission reduction solutions.

1. **Eligible Diesel Vehicles, Engines and Equipment:** Projects may include, but are not limited to, diesel emission reduction solutions from the following heavy-duty diesel emission source types:

a. Buses[1,2];
b. Class 5 – Class 8 Heavy-duty Highway Vehicles[3];
c. Marine Engines;
d. Locomotives; and
e. Nonroad engines, equipment or vehicles used in:
  1) Construction;
  2) Handling of cargo (including at a port or airport);
  3) Agriculture;
  4) Mining; or
  5) Energy production (including stationary generators and pumps).

See Section III.D of this RFP for specific eligibility criteria related to model year and hours of operation of existing vehicles and equipment.

Please note: Projects involving locomotives and marine engines will not be considered for funding under this RFP if the upgrade/remanufacture proposed for funding is required by EPA's locomotive and marine rule, "Control of Emissions of Air Pollution from Locomotives and Marine Compression-Ignition Engines Less than 30 liters per Cylinder." Projects involving stationary engines will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's RICE rule, "National Emission Standards for Hazardous Air Pollutants (NESHAP) for Stationary Reciprocating Internal Combustion Engines (40 CFR Part 63 Subpart ZZZZ). Proposals for emission reductions from locomotives and/or marine engines and/or stationary engines that do not include a "Mandated Measures Justification" in Section 1 of the Project Narrative, as described in Section III.D.1 and Appendix E of this RFP, are not eligible and will not be reviewed.

Please also Note: Funds under this RFP should be used to retrofit, repower, upgrade, or replace nonroad equipment that has at least seven years of useful life remaining. A table distinguishing which nonroad engine model years EPA has determined to have at least seven years of useful life remaining based on the type of nonroad equipment and the age of the engine, can be found at www.epa.gov/cleandiesel/documents/fy15-tribal-nonroad-remaining-useful-life.pdf. However, if a Tribal applicant would like to propose an eligible diesel emissions reduction project for nonroad equipment/engines that have less than seven years of useful life remaining (as defined

[1] For the purposes of this RFP, buses include school buses of Type A, B, C and D. To be eligible as a school bus a vehicle should meet the definition of a school bus as defined by the National Highway Transportation Safety Administration. This definition includes, but is not limited to: 1) A bus that is used for purposes that included carrying students to and from school or related events on a regular basis; 2) Be identified with the words "School Bus"; and 3) Be painted National School Bus Glossy Yellow.

[2] For the purposes of this RFP, buses include and Class 5 – Class 8 transit buses (see footnote #3, below).

[3] For the purposes of this RFP, eligible heavy-duty highway vehicles are limited to Class 5 through Class 8: Class 5 (16,001 -19,500 lbs GVWR); Class 6 (19,501 - 26,000 lbs GVWR); Class 7 (26,001 - 33,000 lbs GVWR); Class 8a (33,001 - 60,000 lbs GVWR); Class 8b (60,001 lbs GVWR and over).

US EPA ARCHIVE DOCUMENT

by EPA's table), then the proposal must include a justification for targeting emission reductions from nonroad equipment/engines that have less than seven years of useful life remaining (as defined by EPA's table). The justification should address the age, operation and maintenance history, and current use of the equipment/engines. The justification should also include the projected lifetime/future use of the equipment/engines if funds are not received under this RFP. This justification must be incorporated into "Section 1: Project Summary and Overall Approach" of the Project Narrative portion of the submitted proposal (see Appendix B).

2. **Eligible Diesel Emission Reduction Solutions:** Projects must include one or more of the following diesel emission reduction solutions that utilize a certified engine configuration and/or a verified technology.

   See Section III.D of this RFP for specific eligibility criteria related to model year and hours of operation of existing vehicles and equipment.

   A "retrofit" project is defined broadly to include any technology, device, fuel or system that, when applied to an existing diesel engine, achieves emission reductions beyond what is currently required by EPA regulations at the time of the engine's certification.

   Additional information about the diesel emission reduction solutions listed below, as well as technical tips and important points to consider, is available at www.epa.gov/cleandiesel/documents/420p11001.pdf. **Technology changes may not be allowed after a proposal has been selected. If technology compatibility issues arise, EPA may elect to terminate the assistance agreement, at which time assistance funds must be returned to EPA.**

   a. **Exhaust Controls:** Exhaust Controls include pollution control devices installed in the exhaust system (such as oxidation catalysts and particulate matter filters), or systems that include crankcase emission control (like a closed crankcase filtration system). This funding can cover up to 100% of the cost (labor and equipment) for an eligible verified emission control. EPA suggests that each applicant requesting diesel particulate filters datalog the exhaust temperature of all vehicles to be considered before the application is submitted, so that there is evidence that the fleets can accommodate the technology.

      A list of eligible, EPA verified exhaust control technologies is available at: www.epa.gov/cleandiesel/verification/verif-list.htm; a list of eligible, California Air Resources Board (CARB) verified exhaust control technologies is available at: www.arb.ca.gov/diesel/verdev/vt/cvt.htm. The types (e.g., DOC, DPF, etc.) of exhaust control technologies proposed for funding under this category must exist on one of these lists for the specific vehicle/engine application specified in the proposal at the time of proposal submission to EPA. If selected for funding, the actual exhaust control technologies used by the grant recipient must be specifically named on EPA or CARB's Verified Exhaust Control Technologies lists at the time of acquisition, and used only for the vehicle/engine applications specified on the list, in order to be eligible for funding.

US EPA ARCHIVE DOCUMENT

b. **Engine Upgrades:** Generally, an engine upgrade involves the removal of parts on an engine during a rebuild and replacement with parts that cause the engine to represent an engine configuration which is cleaner than the original engine. Some nonroad and marine engines are able to be upgraded to reduce their emissions by applying manufacturer upgrades that are retrofits currently verified by EPA or CARB as a package of components demonstrated to achieve specific levels of emission reductions. Some locomotives and marine engines are able to be upgraded through the application of a certified remanufacture system that is used to rebuild the engine to represent a cleaner engine configuration. Engine upgrades may not be available for all engines, and not all upgrades may achieve an emissions benefit. Proposals for upgrades should include a discussion of the availability of engine upgrade kits/systems and indicate the pre- and post-project emission standard levels of the engines in order to demonstrate that the upgrade will result in an emissions benefit.

   Funding can cover up to 75% of the cost (labor and equipment) of an eligible nonroad, locomotive or marine engine upgrade. To be eligible for funding, the upgrade must either be a verified retrofit as described above, or a certified remanufacture system that will result in an emissions benefit by rebuilding the engine to a cleaner engine configuration. For an engine to be eligible for an upgrade, the engine must be currently operating and performing its intended function. If a certified remanufacture system for a locomotive includes a full engine replacement, the requirements below in Section f. (Repower Criteria) will apply.

   A list of eligible, EPA verified engine upgrade technologies is available at: www.epa.gov/cleandiesel/verification/verif-list.htm. Lists of certified remanufacture systems for locomotives and marine engines, and additional information on remanufacture systems, are available at: www.epa.gov/otaq/certdata.htm. Engine upgrades proposed for funding under this category must exist on one of these lists for the specific vehicle/engine application specified in the proposal at the time of proposal submission to EPA. If selected for funding, the actual engine upgrades used by the grant recipient must be specifically named on EPA's list of certified remanufacture systems or EPA or CARB's Verified Exhaust Control Technologies lists at the time of acquisition, and used only for the vehicle/engine applications specified on the lists, in order to be eligible for funding.

c. **Cleaner Fuels Use:** Cleaner fuels include, but are not limited to, biodiesel, diesel emulsions or additives verified by EPA or CARB, compressed natural gas, propane and other certified alternative fuels. EPA will not fund stand-alone cleaner fuel use. For new or expanded use of a cleaner fuel, this funding can cover the cost differential between the cleaner fuel and conventional diesel fuel if that cleaner fuel is used in combination, and on the same vehicle, with a new eligible verified exhaust control or an eligible clean alternative fuel conversion or an eligible engine upgrade or an eligible certified engine repower or an eligible certified vehicle/equipment replacement funded under this RFP, as described in Section I.B.2.

US EPA ARCHIVE DOCUMENT

d. **Verified Idle Reduction Technologies:** An idle reduction project is generally defined as the installation of a technology or device that reduces unnecessary idling of diesel vehicles or equipment and/or is designed to provide services (such as heat, air conditioning, and/or electricity) to vehicles and equipment that would otherwise require the operation of the main drive or auxiliary engine(s) while the vehicle is temporarily parked or remains stationary. The reduction in idling will conserve diesel fuel and must also lower emissions.

A list of eligible, EPA verified idle reduction technologies is available at: www.epa.gov/smartway/forpartners/technology.htm#tabs-4. The types of idle reduction technologies proposed for funding under this category must exist on this list for the vehicle/engine application specified in the proposal at the time of proposal submission to EPA. The technology categories include: Auxiliary power units and generator sets, battery air conditioning systems, thermal storage systems, electrified parking spaces (truck stop electrification), fuel operated heaters, shore connection systems and alternative maritime power, shore connection systems for locomotives, and automatic shutdown/start-up systems for locomotives. If selected for funding, the actual idle reduction technologies used by the grant recipient must be specifically named on EPA's SmartWay Verified Technologies list at the time of acquisition, and used only for the vehicle/engine applications specified on the list, in order to be eligible for funding.

1) **Verified Idle Reduction Technologies on Locomotives:** Funding can cover up to 40% of the cost (labor and equipment) of the installation of eligible verified idle reduction technologies on locomotives.

2) **Truck Stop Electrification:** Funding can cover up to 25% of the cost (labor and equipment) of eligible truck stop electrification/electrified parking space technologies.es.

3) **Marine Shore Power Connection Systems:** Shore power systems allow maritime vessels to "plug into" an electrical power source instead of using diesel main or auxiliary engines while at port. This funding can cover up to 25% of the cost (labor and equipment) of eligible marine shore power connection systems, including various components such as cables, cable management systems, shore power coupler systems, distribution control systems, transformers, grounding switches, service breakers, capacitor banks, and power distribution. Funding may support new installations, or expansions of existing shore power systems. Funding may only be used to cover the cost of shore-side connection systems and cannot be used for shipside modifications to accept shore-based electrical power. This funding may not be used for modifications or enhancements made to the shore-side electrical infrastructure needed to bring power to the terminal, and funding may not be used to subsidize the electric rate from the public utility. Due to the unique nature and custom design of marine shore power connection systems, EPA will review and approve the marine shore power connection system proposed by the applicant on a case by case basis.

US EPA ARCHIVE DOCUMENT

a) Marine Shore Power Criteria: Projects are eligible for funding on the condition that the following criteria are satisfied:

i. Applicants must attest to compliance with international shore power design standards (ISO/IEC/IEEE 80005-1-2012 High Voltage Shore Connection Systems or the IEC/PAS 80005-3:2014 Low Voltage Shore Connection Systems).

ii. Shore power connection systems must be supplied with electricity from the local utility grid.

iii. Demonstration that the proposed system has the capacity, demand, and commitment to be utilized for more than 1,000 MW-hours per year. Smaller projects will be considered if the applicant can demonstrate cost/benefits.

iv. If the project proposal is selected for funding, the final design of the marine shore power connection system will require specific EPA approval prior to purchase and installation.

v. Applicants must commit to reporting usage information to EPA for five years after the system is operational.

vi. Shore power capable vessels docked at a berth where shore power is available must be required to turn off the vessel's engines and utilize the shore power system, with limited exceptions for extreme circumstances.

b) Marine Shore Power Project Description: Applicants proposing marine shore power connection systems should provide a project description that includes, but is not limited to:

i. the annual number of ship visits to berth where the shore power system is to be installed;

ii. average hoteling (or idling) time per visit; and

iii. information about the fleet of vessels that has, or will have, the ability to use the shore-side connection system, including:

- the estimated annual number of ship visits to the shore power enabled berth that will utilize the shore power system;
- estimated annual hoteling hours using shore power system;
- fuel type and average sulfur content of fuel used in the auxiliary engines for each vessel;
- auxiliary engine and boiler information for each vessel;
- estimated annual hoteling load requirements (MW-hours);

iv. any documented commitment of visits and hours by the fleet of vessels that has, or will have, the ability to use the shore-side connection system; and

v. estimated emission reductions based on the methodology in Appendix C.

4) Verified Idle Reduction Technologies on School Buses: Funding can cover up to 100% of the cost (labor and equipment) of verified idle reduction technologies on school buses with model year 2006 or older engines that have been previously retrofitted with a verified emission control device.

US EPA ARCHIVE DOCUMENT

5) **All Other Verified Idle Reduction Technologies:** EPA will not fund stand-alone idle reduction technologies, except for use on locomotives, shore connection systems, or truck stop electrification technologies, or previously retrofitted school buses, as discussed above. This funding can cover up to 100% of the cost (labor and equipment) for all other eligible, verified idle reduction technologies, only if the technology is combined on the same vehicle with a new eligible verified exhaust control funded under this RFP, as described in Section I.B.2.a.

e. Verified Aerodynamic Technologies and Verified Low Rolling Resistance Tires: To improve fuel efficiency, long haul Class 8 trucks can be retrofitted with aerodynamic trailer fairings or the fairings can be provided as new equipment options. Certain tire models can provide a reduction in NOx emissions and fuel savings, relative to the "standard" new tires for long haul Class 8 trucks, when used on all axles.

A list of eligible, EPA verified aerodynamic technologies is available at: www.epa.gov/smartway/forpartners/technology.htm, and includes:

1) gap fairings that reduce the gap between the tractor and the trailer to reduce turbulence;
2) trailer side skirts that minimize wind under the trailer; and
3) trailer rear fairings that reduce turbulence and pressure drop at the rear of the trailer.

A list of EPA verified low rolling resistance tires is available at: www.epa.gov/smartway/forpartners/technology.htm, and includes both dual tires and single wide tires (single wide tires replace the double tire on each end of a drive or trailer axle, in effect turning an "18" wheeler into a "10" wheeler). Low rolling resistance tires can be used with lower-weight aluminum wheels to further improve fuel savings, however aluminum wheels are not eligible for funding under this RFP.

The types of aerodynamic technologies and low rolling resistance tires proposed for funding under this category must exist on EPA's SmartWay Verified Technologies list for the vehicle/engine application specified in the proposal at the time of proposal submission to EPA. If selected for funding, the actual technologies/tires used by the grant recipient must be specifically named on EPA's SmartWay Verified Technologies list at the time of acquisition, and used only for the vehicle/engine applications specified on the list, in order to be eligible for funding.

EPA will not fund stand-alone aerodynamic technologies or low rolling resistance tires. This funding, however, can cover up to 100% of the cost (labor and equipment) for verified aerodynamic technologies or verified low rolling resistance tires installed on long haul Class 8 trucks, if combined on the same vehicle with the new installation of one or more of the Verified Exhaust Controls funded under this RFP, as described in Section I.B.2.a.

US EPA ARCHIVE DOCUMENT

Note: Low rolling resistance tires are not eligible for funding where these types of tires have already been installed on the truck.

f. Certified Engine Repowers: "Repower" refers to replacing an existing engine with a newer, cleaner engine that is certified to a more stringent set of engine emission standards. Repower includes, but is not limited to, diesel engine replacement with an engine certified for use with a clean alternative fuel, diesel engine replacement with an electric power source (battery or fuel cell[4]), and/or the replacement of a nonroad engine with a highway engine. Proposals for repowers should include the pre- and post- project standard emission levels of the engines to be repowered, in order to ensure that the repower will result in a net emissions reduction. This funding can cover up to75% of the cost (labor and equipment) of an eligible engine repower. All-electric (i.e., zero emission) repowers do not require EPA or CARB certification.

1) Repower Criteria: Repower projects are eligible for funding on the condition that the following criteria are satisfied:

a) The repowered vehicle, engine or equipment must continue to perform the same function as before the repower.

b) The replacement engine must be of similar horsepower as the engine being replaced. Horsepower increases of more than 25 percent will require specific approval by EPA prior to purchase, and the applicant may be required to pay the additional costs associated with the higher horsepower equipment.

c) Repower Scrappage: The purchase of new engines to expand a fleet is not covered by this program. The engine being replaced must be scrapped or rendered permanently disabled within 90 days of being replaced.

i. Cutting a three inch by three inch hole in the engine block is the preferred scrapping method. Other methods may be considered and will require prior EPA approval.

ii. Evidence of appropriate disposal is required in a final assistance agreement report submitted to EPA and includes a certificate of destruction and digital photos of the engine tag (showing serial number, engine family number, and engine model year) and the destroyed engine block.

iii. If scrapped or salvaged engines are to be sold, program income requirements may apply.

d) Early Attrition: Repowers that would have occurred through normal attrition are considered to be the result of normal fleet turnover and are not eligible for funding under this program. Normal attrition is generally defined as a repower that is scheduled to take place within 3 years of the project start date. Normal attrition is typically defined by the vehicle or fleet owner's budget plan, operating plan, standard procedures, or retirement schedule. For example, if a nonroad fleet typically repowers its equipment after 20 years, a piece of equipment that is currently in its 18th or 19th year of service is not eligible for repower. A piece of

[4] Hydrogen fuel cells are only eligible for repowers for eligible urban transit buses as defined in the RFP and eligible drayage trucks as defined in this RFP.

US EPA ARCHIVE DOCUMENT

equipment that is currently in its 17th year of service and has three years of useful life remaining (as defined by the fleet's repower schedule) is eligible for repower. Normal attrition does not include repowers that must occur due to a State or Local mandate. **Proposals which include repowers must include a detailed discussion of the fleet owner's normal attrition/engine repower schedule and must explain how the proposed emission reductions are not a result of vehicle/equipment repowers that would have occurred through normal attrition/engine repower within three years of the project start date.**

g. Vehicle and Equipment Replacements: Nonroad and highway diesel vehicles and equipment can be replaced under this program with newer, cleaner vehicles and equipment that operate on diesel or alternative fuels and use engines certified by EPA and, if applicable, CARB to meet a more stringent set of engine emission standards. Replacement projects can include the replacement of diesel vehicles/equipment with newer, cleaner diesel, electric (battery or fuel cell[5]), hybrid or alternative fuel vehicles/equipment. All-electric (i.e. zero emission) vehicles and equipment do not require EPA or CARB certification. Marine vessels and locomotives are not eligible for full replacement.

1) Nonroad Diesel Vehicles and Equipment: This funding can cover the incremental cost of a newer, cleaner vehicle or piece of equipment powered by a 2014 model year or newer certified nonroad engine, up to 50% of the cost of an eligible replacement vehicle/equipment. Nonroad engine emission standards are on EPA's website at: www.epa.gov/otaq/standards/nonroad/index.htm. Please see Section III.B for additional information on cost-share requirements.

2) Electric Generator Replacement:

a) For Stationary Electric Generators and engines, a replacement includes involves the replacement of an existing diesel propulsion engine with a stationary or auxiliary diesel powered electric generator (genset), the electric generator and the newer, cleaner engine and on board components including, control system, cooling system and emissions reduction devices and enclosures, comprising the genset are eligible costs of the replacement, subject to the cost-share requirement of no less than 25% by the grantee.

b) Please note that stationary engine projects involving stationary engines will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's RICE rule, "National Emission Standards for Hazardous Air Pollutants (NESHAP) for Stationary Reciprocating Internal Combustion Engines (40 CFR Part 63 Subpart ZZZZ). Proposals for emission reductions from locomotives and/or marine engines and/or stationary engines that do not include a "Mandated Measures Justification" in Section 1 of the Project

[5] Hydrogen fuel cell vehicles and equipment are only eligible as replacements for medium and heavy-duty urban transit buses as defined in the RFP, drayage trucks as defined in this RFP, and forklifts.

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Narrative, as described in Section III.D.1 and Appendix E of this RFP, are not eligible and will not be reviewed.

3) Highway Diesel Vehicles (other than Drayage): This funding can cover the incremental cost of a newer, cleaner medium or heavy-duty vehicle, powered by an engine certified to the 2014 model year or newer standards for highway heavy-duty engines, up to 50% of the cost of an eligible replacement vehicle/equipment.

4) Drayage Vehicles: EPA will fund up to 50% of the cost of eligible drayage trucks.

- **a)** Definition of Drayage Truck: A "Drayage Truck" means any Class 8b in-use on-road vehicle with a gross vehicle weight rating (GVWR) of greater than 33,000 pounds operating on or transgressing through port or intermodal rail yard property for the purpose of loading, unloading or transporting cargo, such as containerized, bulk or break-bulk goods.
- **b)** Vehicle Eligibility Requirements: EPA will fund up to 50% of the cost of eligible drayage trucks with a 2011 model year or newer heavy-duty engine equipped with a diesel particulate filter (or catalyst equipped in the case of a CNG engine).
- **c)** Scrappage Requirements for Drayage Vehicles: The purchaser of the eligible drayage truck must scrap an existing drayage truck, following the Replacement Criteria described in Section I.B.2.g., below. If the proposal is selected for funding, the grant recipient will be required to establish guidelines to ensure that the scrapped vehicle has a history of operating on a frequent basis over the prior year as a drayage truck. For an example of sample guidelines, see www.epa.gov/cleandiesel/documents/fy15-sample-drayage-operating-guidelines.pdf.
- **d)** Drayage Operating Guidelines: If a proposal for the replacement of drayage trucks is selected for funding, the grant recipient will be required to establish guidelines to ensure that all drayage trucks purchased with grant funds are operated in a manner consistent with the definition of a drayage truck, as defined above. For an example of sample guidelines, see www.epa.gov/cleandiesel/documents/fy15-sample-drayage-operating-guidelines.pdf.
- **e)** Required/Scheduled Maintenance: EPA will fund the required/scheduled vehicle maintenance, as specified in the owner's manual, which is necessary to meet the warranty requirements for diesel particulate filters installed on drayage trucks. Funding for required maintenance is available for the duration of the project period.

5) Replacement Criteria: Replacement projects are eligible for funding on the condition that the following criteria are satisfied:

- **a)** The replacement vehicle/equipment must perform the same function as the vehicle/equipment being replaced. (e.g., an excavator used to dig pipelines would be replaced by an excavator that continues to dig pipelines.)

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b) The replacement vehicle/equipment must be of the same type and similar gross vehicle weight rating or horsepower as the vehicle/equipment being replaced.

i. Nonroad: Horsepower increases of more than 25 percent will require specific approval by EPA prior to purchase, and the applicant may be required to pay the additional costs associated with the higher horsepower equipment.

ii. Highway: The replacement vehicle must not be in a larger weight class than the existing vehicle (Class 5, 6, 7, or 8). The engine's primary intended service class must match the replacement vehicle's weight class (i.e. a LHD diesel engine is used in a vehicle with GVWR 16,001 – 19,500 pounds, a MHD diesel engine is used in a vehicle with a GVWR of 19,501 – 33,000 pounds, and an HHD diesel engine is used in a vehicle with a GVWR greater than 33,000 pounds.) Exceptions may be granted for vocational purposes, however the GVWR must stay within 10 percent of the engine's intended service class and any exceptions will require specific EPA approval prior to purchase.

c) Replacement Scrappage: The purchase of new vehicles or equipment to expand a fleet is not covered by this program. The vehicle or equipment being replaced must be scrapped or rendered permanently disabled within 90 days of being replaced.

i. Disabling the chassis by cutting the vehicles frame rails completely in half and cutting a three inch by three inch hole in the engine block is the preferred scrapping method. Other methods may be considered and will require prior EPA approval.

ii. Evidence of appropriate disposal is required in a final assistance agreement report submitted to EPA and includes a certificate of destruction and digital photos of the engine tag (showing serial number, engine family number, and engine model year), the destroyed engine block, and cut frame rails or other cut structural components as applicable

iii. Equipment and vehicle components that are not part of the engine or chassis may be salvaged from the unit being replaced (e.g. plow blades, shovels, seats, tires, etc.). If scrapped or salvaged vehicles/parts are to be sold, program income requirements apply.

d) Early Attrition: Replacements that would have occurred through normal attrition are considered to be the result of normal fleet turnover and are not eligible for funding under this program. Normal attrition is generally defined as a replacement that is scheduled to take place within 3 years of the project start date. Normal attrition is typically defined by the vehicle or fleet owner's budget plan, operating plan, standard procedures, or retirement schedule. For example, if a school bus fleet typically retires vehicles after 20 years, a bus that is currently in its 18th or 19th year of service is not eligible for replacement. A bus that is currently in its 17th year of service and has three years of useful life remaining (as defined by the fleet's retirement schedule) is eligible for replacement. Normal attrition does not include replacements that must occur due to a State or Local mandate. **Proposals which include replacements must include a detailed discussion of the fleet**

US EPA ARCHIVE DOCUMENT

owner's normal attrition schedule and must explain how the proposed emission reductions are not a result of vehicle/equipment replacements that would have occurred through normal attrition/fleet turnover within three years of the project start date.

e) Additional funding restrictions for replacement projects are described in Section III.D.

3. **DERA Programmatic Priorities:** The principal objective of the assistance to be awarded under this program is to achieve significant reductions in diesel emissions in terms of tons of pollution produced and reductions in diesel emissions exposure from vehicles, engines and equipment operating in areas designated as poor air quality areas. All proposals will be evaluated to determine the extent and quality to which they meet the DERA national priorities through the specific evaluation criteria described below and in Section V.

   a. **Location**: Under Section V, Criterion #3, proposals will be evaluated based on the location of the project, with priority going to those projects operating in specified counties or areas. The term "project location" as used in this RFP refers to the primary area where the affected vehicles/engines operate, or the primary area where the emissions benefits of the project will be realized. A list of priority counties and areas can be found at: www.epa.gov/cleandiesel/documents/fy15-tribal-county-area-list.pdf. These counties and areas were identified as priority locations for the DERA program because they are in nonattainment or maintenance of national ambient air quality standards for certain criteria pollutants (see **Appendix C** for additional information).

   In addition, priority may be given to projects located in areas that receive a disproportionate quantity of air pollution from diesel fleets, including:

   - truckstops (e.g. places especially for truckers that are usually by a highway or interstate and that include a parking area, fueling services, and other facilities)
   - ports (e.g. a cities, towns, or other places alongside navigable water with facilities for the loading and unloading of cargo from ships; places from which aircraft operate that have paved runways and passenger and cargo terminals which include baggage-movement and passenger-transit operations; places where foreign goods are inspected by customs officers and allowed to pass into and out of a country)
   - rail yards (e.g. places at which trains originate or terminate, or at which they are distributed or combined)
   - terminals (e.g. freight or passenger stations at the end of carrier lines, or that serve as junctions at any point with other lines, that have facilities for the handling of freight and passengers)
   - construction sites (e.g. sites of ongoing large scale commercial, industrial, or heavy civil construction)
   - school bus depots/yards (e.g. parking areas and/or garages where school buses are stored and maintained, or where school buses queue)

US EPA ARCHIVE DOCUMENT

- distribution centers (e.g. facilities that perform consolidation, warehousing, packaging, decomposition and other functions linked with handling freight, often in proximity to major transport routes or terminals, and which generate large amounts of truck traffic)

b. Other Programmatic Priorities: Under Section V, Criterion #4, proposals will be evaluated on the extent and quality to which the project:

- Maximizes public health benefits
- Utilizes the most cost-effective strategies
- Serves areas:
  - with the highest population density;
  - with toxic air pollutant concerns; or
  - in, or affecting Federal Class I areas.
- Uses a community-based multi-stakeholder collaborative process to reduce toxic emissions
- Conserves diesel fuel

The extent that a project will maximize public health benefits depends on both the population that will experience improvements in air quality due to the project, and the amount of emission reductions that will take place. Proposals should therefore describe both the population that will be affected by the project and how they will directly benefit from emission reductions that will result from the project.

4. **Partnerships for Renewable Energy and Energy Efficiency:** An objective of the assistance to be awarded under this program is to leverage additional resources and expertise to further an applicant's diesel emission reduction goals, and to gain additional diesel emission reductions from the vehicles and engines targeted under this program. All proposals will be evaluated on the extent and quality to which the proposed project supports this objective.

   Under Section V, Criterion #6, proposals will be evaluated on the extent and quality to which the applicant has established a partnership with a non-EPA Federal Agency to advance tribal renewable energy and energy efficiency efforts that reduce diesel emissions. Partnerships may include, but are not limited to: technical assistance; strategic energy planning; and/or project feasibility, development and/or deployment. The partnership must result in strategic plans or projects that use renewable energy and energy efficiency strategies to achieve additional diesel emission reductions from the same engines/equipment that the applicant is targeting for diesel emission reductions under this RFP.

5. **Number of Applications Permissible**: Applicants can submit more than one proposal as long as they are for different projects and submitted separately. A single proposal may target multiple fleets, fleet types and/or diesel emission reduction solutions.

US EPA ARCHIVE DOCUMENT

C. EPA Strategic Plan Linkage & Anticipated Outcomes, Outputs & Performance Measures

Pursuant to Section 6a of EPA Order 5700.7, "Environmental Results under EPA Assistance Agreements," EPA must link proposed assistance agreements to the Agency's Strategic Plan. EPA also requires that grant applicants and recipients adequately describe environmental outputs and outcomes to be achieved under assistance agreements (see EPA Order 5700.7, Environmental Results under Assistance Agreements, www.epa.gov/ogd/grants/award/5700.7.pdf).

1. Linkage to EPA Strategic Plan. Linkage to EPA Strategic Plan. All proposals must support progress towards EPA's 2014-2018 Strategic Plan Goal 1 "Addressing Climate Change and Improving Air Quality"; Objective 1.2: "Improve Air Quality", which states "achieve and maintain health- and welfare-based air pollution standards and reduce risk from toxic air pollutants and indoor air contaminants."

Please read EPA's FY 2014-2018 Strategic Plan for more information.

2. Outputs. The term "output" means an environmental activity, effort, and/or associated work product related to an environmental goal and objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.

Expected outputs from the project(s) to be funded under this announcement may include the following:

- number of replaced or retrofitted engines/vehicles/equipment; and/or
- hours of idling reduced.

Other potential outputs may include, but are not limited to:

- adoption of an idle reduction policy;
- number of subawards; and/or
- dissemination of project/technology information via list serves, websites, journals and outreach events.

Progress reports and a final report will also be a required output, as specified in Section VI(C) of this announcement, "Reporting Requirement."

3. Outcomes. The term "outcome" means the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be qualitative and environmental, behavioral, health-related, or programmatic in nature, but must also be quantitative. They may not necessarily be achievable within an assistance agreement funding period.

Projects to be funded under this announcement are expected to produce at least one, and

US EPA ARCHIVE DOCUMENT

preferably all, of the following environmental outcomes:

Intermediate Outcomes:

- net reduction in annual pounds or tons of fine particulate matter (PM 2.5), nitrogen oxides (NO_x), greenhouse gases (GHG) such as carbon dioxide (CO_2) and black carbon, and/or volatile organic compounds (VOCs); and/or
- net reduction in gallons of diesel fuel used.
- benefits to the communities affected by the project, including improvements to human health and the environment, the local economy, social conditions, and the welfare of residents in such communities.

End Outcomes:

- improved ambient air quality; and/or
- health benefits achieved

Other potential outcomes may include, but are not limited to:

- changes in driver behavior regarding idling practices;
- an increased understanding of the environmental or economic effectiveness of the implemented technology;
- increased public awareness of project and results; and/or
- widespread adoption of the implemented technology.

4. Performance Measures. The applicant should also develop performance measures they expect to achieve through the proposed activities and describe them in their proposal. These performance measures will help gather insights and will be the mechanism to track progress concerning successful process and output and outcome strategies and will provide the basis for developing lessons to inform future recipients. It is expected that the description of performance measures will include the following:

- oversight of project partners, subgrantees, and/or contractors and vendors;
- tracking and reporting project progress on expenditures, purchases, and other fiscal activities;
- tracking and reporting actual accomplishments versus proposed outputs/outcomes and proposed timelines/milestones;
- tracking and reporting project progress on installations/replacements by maintaining an accurate Project Fleet Description; and
- measuring and reporting on outcomes by maintaining an accurate Project Fleet Description and using EPA's Diesel Emission Quantifier. Efforts should be made to track, measure and report the actual vehicle miles traveled, hours of use/operation, and fuel use for all vehicles and equipment involved in the project.

The following are questions to consider when developing output and outcome measures of quantitative and qualitative results:

US EPA ARCHIVE DOCUMENT

- What are the measurable short term and longer term results the project will achieve?
- How does the plan measure progress in achieving the expected results (including outputs and outcomes) and how will the approach use resources effectively and efficiently?

D. Supplementary Information.

The Diesel Emissions Reduction National Program (DERA) is authorized by Title VII, Subtitle G of the Energy Policy Act of 2005 (Public Law 109-58), as amended and reauthorized by the Diesel Emissions Reduction Act of 2010 (Public Law 111-364) and codified at 42 USC 16131 *et seq*.

II. AWARD INFORMATION

A. What is the amount of funding available?

EPA anticipates awarding a total of approximately $1 million under this announcement, subject to the availability of funds, the quality of proposals received, and other applicable considerations.

EPA reserves the right to make additional awards under this announcement, consistent with Agency policy and other applicable considerations, if additional funding becomes available after the original selections. Any additional selections for awards will be made no later than six months from the date of the original selections.

In addition, EPA reserves the right to reject all proposals and make no awards under this announcement or to make fewer awards than anticipated.

B. Partial Funding.

In appropriate circumstances, EPA reserves the right to partially fund proposals by funding discrete portions or phases of proposed projects. If EPA decides to partially fund a proposal, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal was evaluated and selected for award, and therefore maintains the integrity of the competition and selection process.

C. Project Period

How many agreements will EPA award in this competition?

EPA anticipates award of up to approximately one to five cooperative agreements under this announcement ranging in value from $30,000 to $800,000, subject to the availability of funds, quality of evaluated proposals, and other applicable considerations.

What is the project period for awards resulting from this solicitation?

US EPA ARCHIVE DOCUMENT

The estimated project period for awards resulting from this solicitation will begin in January 1, 2016. Proposed project periods may be up to two years.

D. Funding Type

The funding for selected projects will be in the form of a cooperative agreement. Cooperative agreements permit substantial involvement between the EPA Project Officer and the selected applicants in the performance of the work supported. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial Federal involvement for this project will be:

- close monitoring of the successful applicant's performance to verify the results proposed by the applicant;
- collaboration during performance of the scope of work;
- in accordance with 2 CFR 317 and 2 CFR 318, review of proposed procurement;
- approving qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
- review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient).

E. Technology Compatibility

Technology changes may not be allowed after a proposal has been selected for funding. If technology compatibility issues arise during the course of the project, EPA may elect to terminate the assistance agreement, at which time assistance funds must be returned to EPA.

III. ELIGIBILITY INFORMATION

A. Eligible Entities

Under this solicitation, the following entities are eligible to apply for funding consistent with 42 U.S.C. 16131 and CFDA 66.039:

- A tribal agency or intertribal consortium with jurisdiction over transportation or air quality.

Tribal agencies are defined as Federally recognized Indian tribal governments, which are any Indian tribe, band, nation, or other organized group or community (including Native villages) certified by the Secretary of the Interior as eligible for the special programs and services provided by him through the Bureau of Indian Affairs as well as any organization or intertribal consortium that represents Federally recognized tribes.

For the purposes of this RFP, "intertribal consortium" is defined as a partnership between two or more tribes that is authorized by the governing bodies of those tribes to apply for and receive assistance under this program. Intertribal consortia are eligible to receive assistance under this

US EPA ARCHIVE DOCUMENT

program only if the consortium demonstrates that all members of the consortium meet the eligibility requirements for the program and authorize the consortium to apply for and receive assistance by submitting to EPA documentation of (1) the existence of the partnership between Indian tribal governments, and (2) authorization of the consortium by all its members to apply for and receive the assistance.

B. Cost Sharing or Matching

Any form of cost-share, mandatory or voluntary, must be included in the Budget Detail portion of the Work Plan, and the proposal must describe how and when the applicant will obtain the cost-share and how the cost-share funding will be used. Applicants may use their own funds or other sources for cost-share if the standards of 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. If the proposed cost-share is to be provided by a project partner, a letter of commitment is required. Only eligible and allowable costs may be used for cost-share. Other federal grants may not be used as cost-share under this RFP unless the statute authorizing the other federal funding provides that the federal funds may be used to meet a cost-share requirement on a federal grant.

1. **Mandatory Cost-Share Requirement:** Projects involving engine upgrades, certain idle reduction technologies, shore connection systems, truck stop electrification technologies, certified engine repowers, clean alternative fuel conversions, or certified vehicle/equipment replacements, as defined in Sections I.B.2.b, d, f, g and i of this RFP, are subject to the following funding limitations and mandatory cost-share requirements:
   - **a.** Engine Upgrades: EPA will fund up to 75% of the cost (labor and equipment) of an eligible engine upgrade (i.e. applicants are responsible for cost-sharing at least 25% of the cost of an eligible engine upgrade).
   - **b.** Idle Reduction Technologies on Locomotives: EPA will fund up to 40% of the cost (labor and equipment) of an eligible idle reduction technology on a locomotive (i.e. applicants are responsible for cost-sharing at least 60% of the cost of an eligible idle reduction technology on a locomotive).
   - **c.** Shore Connection Systems and Truck Stop Electrification Technologies: EPA will fund up to 25% of the cost (labor and equipment) of an eligible shore connection system or truck stop electrification technology (i.e. applicants are responsible for cost-sharing at least 75% of the cost of an eligible shore connection system or truck stop electrification technology).
   - **d.** Certified Engine Repower: EPA will fund up to75% of the cost (labor and equipment) of an eligible engine repower (i.e. applicants are responsible for cost-sharing at least 25% of the cost of an eligible engine repower).
   - **e.** Certified Vehicle/Equipment Replacement:
     - **1)** Nonroad Diesel Vehicles and Equipment: EPA will fund the incremental cost of a newer, cleaner vehicle or piece of equipment powered by a 2014 model year or newer certified nonroad diesel engine, up to 50% of the cost of an eligible replacement vehicle or piece of equipment (i.e. applicants are responsible for cost-sharing at least 50% of the cost of an eligible replacement vehicle or piece of equipment).

US EPA ARCHIVE DOCUMENT

2) Highway Diesel Vehicles: EPA will fund the incremental cost of a newer, cleaner medium or heavy-duty vehicle powered by an engine certified to the 2014 model year or newer standards for highway heavy-duty diesel engines, up to50% of the cost of an eligible replacement vehicle/equipment (i.e. applicants are responsible for cost-sharing at least 50% of an eligible replacement vehicle or piece of equipment).
3) Drayage Vehicle Replacement: EPA will fund up to 50% of the cost of eligible drayage trucks with a 2011 model year or newer heavy-duty engine equipped with a diesel particulate filter (or diesel oxidation catalyst in the case of a CNG engine). (i.e., applicants are responsible for cost-sharing at least 50% of an eligible drayage replacement vehicle).

Proposals that include projects to which these mandatory cost-share requirements apply must demonstrate, by the proposal submission date, on the SF-424 Application for Federal Assistance, on the SF-424A Budget Information, and in the project narrative how the applicant will be able to meet these minimum mandatory cost-share requirements if they are selected for an award, **or the proposal may be disqualified during the threshold eligibility review.** Specifically, the mandatory cost-share funds must be indicated in at least one of the following blocks in Section 18, Estimated Funding, on the SF-424: b. Applicant; c. State; d. Local; or e. Other. The mandatory cost-shared funds must also be indicated in Section A, Section B line 6.d, and Section C of the SF-424A.

There is no requirement for a cost-share contribution from applicants for projects involving Verified Emission Control Technologies as defined in Section I.B.2.a. There is no requirement for a cost-share contribution from applicants for projects involving certain idle reduction technologies as defined in Section I.B.2.d.

2. **Voluntary Cost-Share:** Voluntary cost share is a form of leveraging. Leveraging is generally when an applicant proposes to provide its own additional funds/resources or those from third party sources to support or complement the project they are awarded under the competition which are above and beyond the EPA grant funds awarded.

While it is not required that an applicant provide a voluntary cost-share (or overmatch if a mandatory cost share applies) beyond EPA's funding and/or any mandatory cost-share as described above, applicants may provide a voluntary cost-share or overmatch to improve the environmental outputs and outcomes of the project.

If proposed, the voluntary cost-share or overmatch funds must be indicated in at least one of the following blocks in Section 18, Estimated Funding, on the SF-424: b. Applicant; c. State; d. Local; or e. Other. The voluntary cost-shared or overmatch funds must also be indicated in Sections A-C of the SF-424A. **If EPA accepts an offer for a voluntary cost-share or overmatch, applicants must meet this funding commitment as a legal condition of receiving EPA funding.** The recipient is legally obligated to meet any proposed voluntary cost-share or overmatch that is included in the approved project budget because the grant agreement includes the voluntary cost-share or overmatch. If it does not materialize during

US EPA ARCHIVE DOCUMENT

grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 2 CFR Part 200 as applicable.

C. Threshold Eligibility Criteria

These are requirements that if not met by the time of proposal submission will result in elimination of the proposal from consideration for funding. Only proposals from eligible entities (see above) that meet all of these criteria will be evaluated against the ranking factors in Section V of this announcement. Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination.

1. Proposal Content and Submissions

- Proposals must substantially comply with the proposal submission instructions and requirements set forth in Section IV and Appendix B of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the project narrative, pages in excess of the page limitation will not be reviewed.

- Proposals must be submitted through Grants.gov as stated in Section IV of this announcement (except in the limited circumstances where another mode of submission is specifically allowed for as explained in Section IV) on or before the proposal submission deadline published in Section IV of this announcement. Applicants are responsible for following the submission instructions in Section IV of this announcement to ensure that their proposal is timely submitted.

- Proposals submitted after the submission deadline will be considered late and deemed ineligible without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with Grants.gov or relevant SAM.gov system issues. An applicant's failure to timely submit their proposal through Grants.gov because they did not timely or properly register in SAM.gov or Grants.gov will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their proposal with Rosalva Tapia (tapia.rosalva@epa.gov) as soon as possible after the submission deadline—failure to do so may result in your proposal not being reviewed.

2. Proposals that do not include one or more of the eligible diesel emissions reduction solutions set forth in Section I.B.2 of this RFP are not eligible and will not be reviewed.

3. Applicants can submit more than one proposal as long as they are for different projects and submitted separately. A single proposal may target multiple fleets, fleet types and/or diesel emission reduction solutions.

4. Proposals must support Goal 1 of EPA's 2014-2018 Strategic Plan, Take Action on Climate Change and Improving Air Quality; Objective 1.2: Improve Air Quality. (See Section I. C.)

US EPA ARCHIVE DOCUMENT

5. Proposals for emission reductions from locomotives and/or marine engines that do not include a "Mandated Measures Justification and Substantiation Letter(s)" as an attachment to the proposal, as described in Section III.D.1 and Appendix E of this RFP, are not eligible and will not be reviewed.

D. Funding Restrictions

If a submitted proposal includes the following ineligible activities, that portion of the proposal will be ineligible for funding and may render the entire proposal ineligible for funding.

1. **Restriction for Mandated Measures:** Pursuant to 42 U.S.C. 16132(d)(2), no funds awarded under this RFP shall be used to fund the costs of emission reductions that are mandated under federal law. The restriction applies when the mandate takes effect (the effective date) for any affected vehicles, engines or equipment. This restriction does not apply to a mandate in a State Implementation Plan approved by the Administrator under the Clean Air Act. Voluntary or elective emission reduction measures shall not be considered "mandated," regardless of whether the reductions are included in the State Implementation Plan.

   Specifically, projects involving locomotives and marine engines will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's locomotive and marine rule, "Control of Emissions of Air Pollution from Locomotives and Marine Compression-Ignition Engines Less than 30 liters per Cylinder." Also, projects involving stationary engines will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's RICE rule, "National Emission Standards for Hazardous Air Pollutants (NESHAP) for Stationary Reciprocating Internal Combustion Engines (40 CFR Part 63 Subpart ZZZZ). Proposals which include locomotives and/or marine engines and/or stationary engines must include a clear and concise justification for why/how the proposed emission reduction are not subject to the Restriction for Mandated Measures under this RFP. The justification must clearly demonstrate that:

   a. the target engines are exempt from the requirements of EPA's rule; or
   b. emission reductions funded with EPA funds will be implemented prior to the effective date of any applicable requirements under the rule; and/or
   c. emission reductions funded with EPA funds will not be used to satisfy any applicable requirements under the rule, but instead are in excess of (above and beyond) those required by the applicable mandate.

   Applicants must provide sufficient information to support the justification, including maintenance records, if applicable. Supporting information should be included as an attachment to the proposal, and does not count towards the 11-page limit. Please see **Appendix B and E** for additional information.

US EPA ARCHIVE DOCUMENT

If applicable, emission reduction benefits shall only be calculated for the period preceding the effective date or compliance deadline. Please see **Appendix C** for instructions on calculating emission reductions.

2. No funds awarded under this RFP shall be used for matching funds for other federal grants, lobbying, or intervention in federal regulatory or adjudicatory proceedings, and cannot be used to sue the Federal Government or any other government entity.

3. No funds awarded under this RFP shall be used to cover expenses incurred prior to the project period set forth in any assistance agreement resulting from this RFP. Additionally, expenses incurred prior to the project period set forth in any assistance agreement resulting from this RFP are not eligible as a cost-share for proposed projects.
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4. Technology changes may not be allowed after a proposal has been selected for funding. If technology compatibility issues arise during the course of the project, EPA may elect to terminate the assistance agreement, at which time assistance funds must be returned to EPA.

5. No funds awarded under this RFP shall be used for retrofit technologies on EPA's or CARB's, "Formerly Verified Technologies" lists. EPA's formerly verified list can be found at: www.epa.gov/cleandiesel/verification/deleted-list.htm, and CARB's formerly verified lists can be found at: www.arb.ca.gov/diesel/verdev/vt/fv1.htm, www.arb.ca.gov/diesel/verdev/vt/fv2.htm, and www.arb.ca.gov/diesel/verdev/vt/fv3.htm. No funds awarded under this RFP shall be used for technologies on EPA's De-listed Emerging Technologies list which can be found at: www.epa.gov/cleandiesel/verification/emerg-list.htm**.**

6. No funds awarded under this RFP shall be used for emissions testing and/or air monitoring activities (including the acquisition cost of emissions testing equipment), or research and development.

7. No funds awarded under this RFP shall be used for fueling infrastructure, such as that used for the production and/or distribution of biodiesel, compressed natural gas, liquefied natural gas, and or other fuels.

8. Low rolling resistance tires may be used with lower-weight aluminum wheels to further improve fuel savings; however, no funds awarded under this RFP shall be used for the purchase of aluminum wheels except where a fleet is retrofitting from standard dual tires to SmartWay-verified single-wide low rolling resistance tires. In this case, the cost of aluminum single-wide wheels would be acceptable as additional equipment necessary to use the SmartWay verified technology, as would the cost of steel or light weight steel single-wide wheels.

US EPA ARCHIVE DOCUMENT

9. No funds awarded under this RFP shall be used for the purchase of exhaust controls, low rolling resistance tires or advanced aerodynamic technologies if similar technologies have previously been installed on the truck or trailer.

10. No funds awarded under this RFP shall be used for the purchase of APUs or generators for vehicles with 2007 or newer certified engine configurations on long haul Class 8 vehicles.

11. No funds awarded under this RFP shall be used to retrofit, repower, upgrade, or replace a bus or Class 5 – Class 8 heavy-duty highway vehicle that is a model year 1992 vehicle or older.

12. With regard to Class 5 – Class 8 heavy-duty highway vehicles and transit buses, no funds awarded under this RFP shall be used to retrofit engine model year 2007 or newer with DOCs or DPFs, or retrofit engine model year 2011 or newer with SCR, or replace or repower engine model year 2007 or newer. Refer to Table 1 for further explanation.

Table 1: Buses and Class 5 – Class 8 Heavy-Duty Highway Vehicles Funding Restrictions

Current Engine Model Year	DOC +/- CCV	DPF	SCR	Replace with 2011 or Newer (Dray Only)	Replace with 2014 or Newer	Repower with 2014 or Newer	Repower or Replacement with All-Electric
	+/- idle reduction						
1993-2006	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2007 to 2010	No	No	Yes	No	No	No	No

13. No funds awarded under this RFP shall be used to retrofit, repower, upgrade or replace a nonroad engine or equipment that has less than seven years of useful life remaining. A table distinguishing which nonroad engine model years EPA has determined to have at least seven years of useful life remaining, based on the type and age of vehicle, can be found at www.epa.gov/cleandiesel/documents/fy15-nonroad-remaining-useful-life.pdf.

14. No funds awarded under this RFP shall be used to retrofit, repower, replace or upgrade nonroad engines and equipment that operate less than 500 hours per year.

15. No funds awarded under this RFP shall be used to repower or replace nonroad Tier 0 (unregulated), Tier 1, Tier 2, or Tier 3 engines to a nonroad Tier 3 or lower nonroad engine standard. Exceptions may be made for eligible stationary engines in the "remote Alaska" area to allow repower or replacement with eligible Tier 3 marine engines with appropriate PM controls, as defined in the EPA's RICE Rule. Refer to Table 2 and Appendix E for further explanation.

Table 2: Nonroad Engine Funding Restrictions

Current Engine Tier	Repowered or Replaced New Engine, Model Year 2014 or Newer	Verified Exhaust	Verified Engine

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	Tier 0 / 1 / 2 / 3	Tier 4	All-Electric	**Control**	**Upgrade**
Tier 0/ 1/ 2	No	Yes	Yes	Yes	Yes
Tier 3	No	Yes	Yes	Yes	Yes
Tier 4	No	No	Yes	No	No

16. No funds awarded under this RFP shall be used to retrofit, repower, replace, upgrade or install idle reduction technologies on eligible locomotives or marine engines that operate less than 1000 hours per year.

17. No funds awarded under this RFP shall be used to repower, replace or upgrade Tier 3 or Tier 4 marine engines, or to repower or replace marine engines to a Tier 2 or lower marine engine standard. Refer to Table 3 for further explanation.

Table 3: Marine Engines Funding Restrictions

Current Engine Tier	**Repowered or Replaced New Certified Engine**				**Certified Engine Upgrade (Remanufacture System)**	**Verified Engine Upgrade**
	Tier 1	Tier 2	Tier 3	Tier 4		
Unregulated	No	No	Yes	Yes	Yes	Yes
Tier 1	No	No	Yes	Yes	Yes	Yes
Tier 2	No	No	Yes	Yes	Yes	Yes
Tier 3 and Tier 4	No	No	No	No	No	No

18. No funds awarded under this RFP shall be used to retrofit unregulated or Tier 0 locomotives with SCR, or to upgrade, repower or replace locomotives from: Tier 0+/1 to Tier 0+ or lower; Tier 1+/2 to Tier 1+ or lower; Tier 2 to Tier 1+ or lower; or, from Tier 2+ to Tier 2+ or lower. Additionally, no funds awarded under this RFP shall be used upgrade, repower or replace line-haul locomotives from Tier 2 to Tier 4, or to upgrade, repower or replace line-haul locomotives from Tier 2+ to Tiers 3 and 4. Refer to Table 4 for further explanation.

Table 4: Locomotive Engines Funding Restrictions

Current Locomotive Tier	**New Locomotive Tier**					**Verified Exhaust Controls**
	Tier 0+	Tier 1+	Tier 2+	Tier 3	Tier 4	SCR
Unregulated and Tier 0	No	No	No	Yes	Yes	No
Tier 0+ , Tier 1, and Tier 1+	No	No	No	Yes	Yes	Yes
Tier 2	No	No	No	Yes	Yes*	Yes
Tier 2+	No	No	No	Yes*	Yes*	Yes

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*Applies to switcher locomotives only.

Note: Tier 0+, Tier 1+, and Tier 2+. Tier 3, and Tier 4 represent locomotives manufactured or remanufactured under the more stringent Tier standards promulgated under the 2008 (current) locomotive and marine rule. Tier 0, Tier 1, and Tier 2 represent locomotives originally manufactured or remanufactured under the less stringent Tier standards promulgated in 1997.

19. No funds awarded under this RFP shall be used to install Automatic Engine Start-Stop technologies on locomotives currently certified to Tier 0+ or higher.

20. No funds awarded under this RFP shall be used for locomotive shore connection system projects that are expected to be utilized less than 1,000 hours/year.

IV. PROPOSAL AND SUBMISSION INFORMATION

A. Requirement to Submit Through Grants.gov and Limited Exception Procedures

Applicants, except as noted below, must apply electronically through Grants.gov under this funding opportunity based on the Grants.gov instructions in this announcement and Appendix A. If an applicant does not have the technical capability to apply electronically through Grants.gov because of limited or no internet access which prevents them from being able to upload the required proposal materials to Grants.gov, the applicant must contact OGDWaivers@epa.gov or the address listed below in writing (e.g., by hard copy, email) *at least 15 calendar days prior to the submission deadline under this announcement* to request approval to submit their proposal materials through an alternate method.

Mailing Address:
OGD Waivers
c/o Barbara Perkins
USEPA Headquarters
William Jefferson Clinton Building
1200 Pennsylvania Ave., N. W.
Mail Code: 3903R
Washington, DC 20460

Courier Address:
OGD Waivers
c/o Barbara Perkins
Ronald Reagan Building
1300 Pennsylvania Ave., N.W.
Rm # 51267
Washington, DC 20004

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In the request, the applicant must include the following information:

- Funding Opportunity Number (FON)
- Organization Name and DUNS
- Organization's Contact Information (email address and phone number)
- Explanation of how they lack the technical capability to apply electronically through Grants.gov because of 1) limited internet access or 2) no internet access which prevents them from being able to upload the required application materials through Grants.gov.

EPA will only consider alternate submission exception requests based on the two reasons stated above and will timely respond to the request -- all other requests will be denied. If an alternate submission method is approved, the applicant will receive documentation of this approval and further instructions on how to apply under this announcement. Applicants will be required to submit the documentation of approval with any initial application submitted under the alternative method. In addition, any submittal through an alternative method must comply with all applicable requirements and deadlines in the announcement including the submission deadline and requirements regarding proposal content and page limits (although the documentation of approval of an alternate submission method will not count against any page limits).

If an exception is granted, it is valid for submissions to EPA for the remainder of the entire calendar year in which the exception was approved and can be used to justify alternative submission methods for proposal submissions made through December 31 of the calendar year in which the exception was approved (e.g., if the exception was approved on March 1, 2015, it is valid for any competitive or non-competitive proposal submission to EPA through December 31, 2015). Applicants need only request an exception once in a calendar year and all exceptions will expire on December 31 of that calendar year. Applicants must request a new exception from required electronic submission through Grants.gov for submissions for any succeeding calendar year. For example, if there is a competitive opportunity issued on December 1, 2015 with a submission deadline of January 15, 2016, the applicant would need a new exception to submit through alternative methods beginning January 1, 2016.

Please note that the process described in this section is only for requesting alternate submission methods. All other inquiries about this announcement must be directed to the Agency Contact listed in Section VII of the announcement. Queries or requests submitted to the email address identified above for any reason other than to request an alternate submission method will not be acknowledged or answered.

B. Grants.gov Application Submission Instructions (see Appendix A.)

Your organization's authorized official representative (AOR) must submit your complete proposal electronically to EPA through Grants.gov (www.grants.gov) no later than **Wednesday, July 15, 2015 at 4:00 PM Eastern Daylight Time (EDT).**

C. Content of Proposal Submission

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The proposal package *must* include all of the following materials:

1. Grant Application Forms:

a. Standard Form (SF) 424, Application for Federal Assistance. Complete the form (available at: www.epa.gov/ogd/forms/forms.htm). Please be sure to include the Applicant organization fax number and email address in Block 5 of the Standard Form 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

b. Standard Form (SF) 424A, Budget Information. Complete the form (available at: www.epa.gov/ogd/forms/forms.htm). There are no attachments. The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

2. Project Narrative: The Project Narrative must substantially comply with the specific instructions, format and content as defined in **Appendix B** and address the evaluation factors in Section V. The Project Narrative includes the following components:

a. Cover Page (as defined in Appendix B)
b. Work Plan (Sections 1-9 as defined in Appendix B)

The Project Narrative, including the Cover Page (which is recommended not to exceed one page), shall not exceed eleven (11) single-spaced pages in length. Pages refer to one-side of a single-spaced typed page. Font size should be no smaller than 10 and the proposal must be submitted on 8 ½" x 11" paper. Pages in excess of the 11-page limit will not be considered. Supporting materials, such as resumes, letters of support and/or commitment, and fleet description information can be submitted as attachments and are not included in the 11-page limit. A sample format for the Project Narrative may be downloaded at: www.epa.gov/cleandiesel/documents/fy15-tribal-narrative-sample.doc.

3. Applicant Fleet Description: This information does not count toward the 11-page limit. The purpose of the Applicant Fleet Description is to describe in detail the specific vehicles and engines targeted for emission reductions as well as the diesel emission reduction solution(s) to be implemented under the proposed project. **Information provided in the Applicant Fleet Description will be used to help determine project eligibility based on the funding restrictions identified in Section III.D of this RFP and for evaluation purposes as described below.** Applicants must describe, to the extent possible, the fleet(s) targeted for

US EPA ARCHIVE DOCUMENT

the proposed project, including: target fleet type (e.g., school bus, ports and airports, construction, delivery truck, transit bus, locomotive, refuse hauler, utility vehicle, long haul truck, agriculture, mining, marine, stationary, city/county vehicle, emergency vehicle, other), number of vehicles, vehicle class or equipment type, serial/VIN# of engine/vehicle, engine make, engine model, engine model year, engine family name, horsepower, displacement, current tier level or emission standards, fuel type, amount of fuel used, annual miles travelled or annual usage rate, and annual idling hours. Applicants must describe, to the extent possible, the diesel emission reduction solution(s) applied to each targeted vehicle/engine, including (where applicable): year of retrofit action, new technology type, new technology make, new technology model, new engine family name, new engine model year, new horsepower, new displacement, new tier level or emission standards, new fuel type, annual idling hours reduced, and technology unit and installation costs. This information may be presented in a table format. A sample format for the Applicant Fleet Description may be downloaded at: www.epa.gov/cleandiesel/documents/fy15-tribal-afd-sample.xls.

Applicants will be scored under Section V, Criterion #9, Applicant Fleet Description, on the degree to which detailed information is provided within the Applicant Fleet Description. The information provided within the Applicant Fleet Description should be used to estimate the anticipated emission reductions from the project and should be consistent with the information presented in the Project Narrative (see Appendix B for additional information).

4. **Cost-Share Commitment Letters**: If applicable, project partners who are providing in-kind or monetary assistance must demonstrate their specific commitment to meet the proposed cost-share. This information does not count towards the 11-page limit.

5. **Letters of Support/Partnership**: If applicable, letters of support that demonstrate strong, long-term involvement throughout the project from a variety of project partners are encouraged. Letters should specifically indicate how project partners and supporting organizations will participate in or directly assist in the design and performance of the project, or how obtaining support from project partners will allow the applicant to more effectively perform the project. This information does not count towards the 11-page limit.

6. **Mandated Measures Justification Supporting Information:** If applicable, the proposal must include a clear and concise justification in Section 1 of the Project Narrative, for why/how the emission reductions proposed for funding are not subject to the Restriction for Mandated Measures under this RFP. **Applicants must provide sufficient detail and information to support the justification, including maintenance schedules and history, if applicable.** Please see **Section III.D.1** and **Appendix E** for more information. This supporting information should be provided as an attachment and does not count towards the 11-page limit.

7. **Optional Attachments:** These are not included in the 11-page limit.

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a. Resumes: Provide resumes or curriculum vitae for all principal investigators and any other key personnel.

D. Submission Dates and Times

The closing date and time for submission of proposals is **Wednesday, July 15, 2015 at 4:00 p.m., Eastern Daylight Time (EDT)**. Proposals submitted after the closing date and time will not be considered for funding.

E. Pre-Proposal Assistance and Communications

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria during the RFP open period. Applicants are responsible for the contents of their applications/proposals. However, consistent with the provisions in the announcement, EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about any of the language or provisions in the announcement.

All applicants are encouraged to review the Frequently Asked Questions (FAQ) document posted at www.epa.gov/cleandiesel/documents/fy15-tribal-dera-faq.pdf for further clarification of this Request for Proposals.

Applicants may email written questions to: cleandiesel@epa.gov. Please type "TRIBAL RFP Question" in the subject line of your email. All questions and answers will be posted in the FAQ document at www.epa.gov/cleandiesel/documents/fy15-tribal-dera-faq.pdf.

All questions submitted via email by 5:00 pm eastern daylight time (EDT) each Friday during the RFP open period will be answered and posted in the FAQ document the following week. The deadline for submitting questions via email is, Thursday, July 2 at 5:00 pm EDT. The estimated final posting of the FAQ document will be Wednesday, July 8, 2015 at 5:00 pm EDT.

In addition, EPA will host two Information Sessions regarding this Request for Proposals via teleconference/webinar, based on the schedule below. EPA will attempt to answer any appropriate questions in these public forums. Information for all four webinars can be found at: www.epa.gov/cleandiesel/prgtribal.htm.

Sessions
Wednesday, May 27, 2015 at 3:00 p.m. (EDT)
Wednesday, June 3, 2015 at 3:00 p.m. (EDT)

Questions and answers from these webinars will also be posted in the FAQ document at: www.epa.gov/cleandiesel/documents/fy15-dera-tribal-faq.pdf.

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If necessary, EPA may clarify threshold eligibility issues with applicants prior to making an eligibility determination.

F. Contracts and Subawards:

1. Can funding be used for the applicant to make subawards, acquire contract services, or fund partnerships?

EPA awards funds to one eligible applicant as the recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to EPA for the proper expenditure of funds.

Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 2 CFR Part 200. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 2 CFR Part 200. Applicants are not required to identify subrecipients and/or contractors (including consultants) in their proposal. However, if they do, the fact that an applicant selected for award has named a specific subrecipient, contractor, or consultant in the proposal EPA selects for funding does not relieve the applicant of its obligations to comply with subaward and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal.

Successful applicants cannot use subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance found at 2 CFR 200.330, and the definitions of subaward at 2 CFR 200.92 and subrecipient at 2 CFR 200.93. EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 2 CFR 200.317-326 and cannot use a subaward as the funding mechanism.

2. How will an applicant's proposed subawardees/subgrantees and contractors be considered during the evaluation process described in Section V of the announcement?

Section V of this RFP describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this RFP. During this evaluation, except for those criteria that relate to the applicant's own qualifications, past performance, and reporting history, the review panel will consider, as appropriate and relevant, the qualifications, expertise, and experience of:

US EPA ARCHIVE DOCUMENT

a. an applicant's named subrecipients identified in the proposal if the applicant demonstrates in the proposal that if it receives an award that the subaward will be properly awarded consistent with the applicable regulations in 2 CFR Part 200. For example, applicants must not use subawards to obtain commercial services or products from for profit firms or individual consultants.

b. an applicant's named contractor(s), including consultants, identified in the proposal if the applicant demonstrates in its proposal that the contractor(s) was selected in compliance with the competitive Procurement Standards in 2 CFR 00.317-326. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

EPA will not consider the qualifications, experience, and expertise of named subrecipients and/or named contractor(s) during the proposal evaluation process unless the applicant complies with these requirements.

G. Additional Provisions for Applicants Incorporated Into the Solicitation

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to confidential business information, contracts and subawards under grants, and proposal assistance and communications, can be found at www.epa.gov/ogd/competition/solicitation_provisions.htm. These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

V. PROPOSAL REVIEW INFORMATION

Only eligible entities whose proposals meet the threshold criteria in Section III of this announcement will be reviewed according to the evaluation criterion set forth below. Applicants should explicitly address these criteria as part of their proposal package submittal. Each proposal will be rated under a points system, with a total of 120 points possible.

US EPA ARCHIVE DOCUMENT

A. Evaluation Criteria

Criteria	Points
Project Narrative	
1. <u>Project Summary and Approach:</u> Under this criterion, proposals will be evaluated based on the extent and quality to which the applicant addresses the requirements in Appendix B, Section 1: "Project Summary." Specifically: **a. (5 points)** Vehicles and Technologies; **b. (5 points)** Roles and Responsibilities; **c. (5 points)** Timeline and Milestones; **d. (5 points)** whether the proposal includes a well-conceived strategy for achieving the anticipated results associated with the project**;** and **e. (5 points)** whether the proposal sets forth a reasonable time schedule for the execution of the tasks associated with the project and for achieving the project goals and objectives by project end.	**25**
2. <u>Results – Outcomes and Outputs</u>: Under this criterion, applicants will be evaluated based on: **a. (10 points)** the extent and quality to which the applicant identifies and quantifies the expected project outputs and outcomes, including those identified in Section I.C and Appendix C of the RFP. **b. (5 points)** the effectiveness of the applicant's plan for tracking and measuring its progress toward achieving the expected project outputs and outcomes, including those identified in Section I.C and Appendix C of the RFP.	**15**
3. <u>Programmatic Priority - Location</u>: Under this criterion, applicants will be evaluated based on the location of the project. **a. (5 points)** Projects located in a priority county or area as described in Appendix D. **b. (10 points)** Projects located in the following areas of highly concentrated diesel pollution including but not limited to: truckstops, ports, rail yards, terminals, construction sites, school bus depots/yards, or distribution centers. The term "project location" as used in this RFP refers to the primary area where the affected vehicles/engines operate, or the primary area where the emissions benefits of the project will be realized.	**15**
4. <u>Other Programmatic Priorities</u> Under this criterion, applicants will be evaluated on the extent and quality to which the project addresses the following Programmatic Priorities identified in Section I.B.3 of the RFP:	**20**

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a. (5 points) Maximizes public health benefits. **b. (5 points)** Utilizes the most cost-effective strategies. **c. (3 points)** Serves areas: i. with the highest population density; ii. with toxic air pollutant concerns; or iii. in, or affecting Federal Class I areas. **d. (2 points)** Uses a community-based multi-stakeholder collaborative process to reduce toxic emissions. Community representatives participating in collaborative processes should be identified and contact information provided. **e. (5 points)** Conserves diesel fuel.	
5. <u>Partnerships for Renewable Energy and Energy Efficiency</u>: Under this criterion, proposals will be evaluated based on whether the applicant has established a partnership with a non-EPA Federal Agency to advance tribal renewable energy and energy efficiency efforts that directly reduce diesel emissions from the same engines/equipment that the applicant is targeting for diesel emission reductions under this RFP. This includes evaluating the quality and extent to which the partnership efforts have resulted in strategic plans or projects that use renewable energy and energy efficiency strategies to achieve additional diesel emission reductions and the extent to which the applicant has provided information (such as the federal contract/grant number, federal project officer contact information, funding amount and project schedule) to demonstrate these efforts.	**5**
6. <u>Programmatic Capability and Past Performance:</u> Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project, taking into account their: **a. (5 points)** past performance in successfully completing and managing the assistance agreements identified in the work plan as described in Appendix B, Section 6; **b. (5 points)** history of meeting the reporting requirements under the assistance agreements identified in the work plan as described in Appendix B, Section 6; **c. (5 points)** organizational experience and plan for timely and successfully achieving the objectives of the proposed project; and **d. (5 points)** staff expertise and qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. Note: In evaluating applicants under items a and b of this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current	**20**

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grantors (e.g., to verify and/or supplement the information supplied by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these sub-factors (items a and b above-a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of zero (0) for these factors.	
7. <u>Budget/Resources</u>: Under this criterion, applicants will be evaluated based on: **a.** (5 points) the extent and quality to which the applicant addresses the requirements in Appendix B for Section 7 "Budget Detail" of the Work Plan**;** **b.** (5 points) whether the project budget is appropriate to accomplish the proposed goals, objectives, and measurable environmental outcomes.	**10**
8. <u>Expenditure of Awarded Grant Funds</u>: Under this criterion, applicants will be evaluated based on their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.	**5**
9. <u>Applicant Fleet Description</u>: Under this criterion, applicants will be evaluated based on the degree to which detailed information on the target fleet (vessel(s), vehicle(s), engine(s) and/or equipment) is provided.	**5**

B. Review and Selection Process

Assistance agreements funded under this announcement will be awarded and managed by EPA's regional offices, depending of the location of the project.

Applicants must submit their proposals electronically through Grants.gov. Proposals will first be evaluated against the threshold factors listed in Section III.C of this RFP. Eligible proposals will then be reviewed by a review panel comprised of OTAQ and EPA Regional staff. Only those proposals which meet all of the threshold factors will be evaluated against the evaluation criteria listed above. Each proposal will be given a numerical score and will be rank-ordered according to the numerical score by the review panel.

Preliminary funding recommendations will be provided to the OTAQ Approving Official based on these reviews and rankings.

C. Other Factors

Funding decisions will be made by the OTAQ Approving Official based on the rankings and preliminary recommendation of the EPA review panel. In making the final funding decisions, the Approving Official may also consider sector (fleet type) diversity, technology diversity, geographic diversity and funding availability.

US EPA ARCHIVE DOCUMENT

Once final decisions have been made, a funding recommendation will be developed and forwarded to the appropriate EPA Award Official for approval.

VI. AWARD ADMINISTRATION INFORMATION

A. Award Notices

Following evaluation of proposals, all applicants will be notified regarding their status.

1. **Successful Applicants:** EPA anticipates notification to successful applicants will be made via electronic or postal mail by Wednesday, August 12, 2015. The notification will be sent to the original signer of the proposal or the project contact listed in the proposal. This notification, which informs the applicant that its proposal has been selected and is being recommended for award is not an authorization to begin work. The official notification of an award will be made by the Regional Grants Management Office.

   Applicants are cautioned that only a grants officer is authorized to bind the Government to the expenditure of funds; selection does not guarantee an award will be made. For example, statutory authorization, funding or other issues discovered during the award process may affect the ability of EPA to make an award to the applicant. The award notice, signed by the EPA grants officer, is the authorizing document and will be provided through electronic or postal mail. The successful applicant may need to prepare and submit additional documents and forms (e.g. work plan), which must be approved by EPA, before the grant can officially be awarded. The time between notification of selection and award of a grant can take up to 90 days or longer.

   Unsuccessful Applicants: EPA anticipates notification to unsuccessful applicant(s) will be made via electronic or postal mail by Wednesday, August 12, 2015. The notification will be sent to the original signer of the Standard Form 424, Application for Federal Assistance.

B. Administrative and National Policy Requirement

A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at: www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm.

Executive Order 12372, Intergovernmental Review of Federal Programs, may be applicable to awards resulting from this announcement. Applicants selected for funding may be required to provide a copy of their application to their State Point of Contact (SPOC) for review, pursuant to Executive Order 12372, Intergovernmental Review of Federal Programs. This review is not required with the Initial Application and not all states require such a review. A listing of State Point of Contacts (SPOC) may be viewed at: www.whitehouse.gov/omb/grants_spoc

For the purpose of responding to this RFP, applicants may choose to not respond to question #19

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on the SF 424 form; EPA will provide additional guidance on the intergovernmental review process to those applicants selected for funding.

C. Reporting Requirement

Quarterly progress reports and a detailed final technical report will be required. Quarterly reports summarizing technical progress, planned activities for the next quarter and a summary of expenditures are required. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, advances achieved, and costs of the project or activity. In addition, the final technical report should discuss the problems, successes, and lessons learned from the project or activity that could help overcome structural, organizational or technical obstacles to implementing a similar project elsewhere. The schedule for submission of quarterly reports will be established by EPA, after award.

D. Disputes

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) located on the web at: www.epa.gov/ogd/competition/resolution.htm. Copies of these procedures may also be requested by contacting Rosalva Tapia at tapia.rosalva@epa.gov.

E. Additional Provisions for Applicants Incorporated Into the Solicitation

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to DUNS, SAM, copyrights, disputes, and administrative capability, can be found at www.epa.gov/ogd/competition/solicitation_provisions .These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

VII. AGENCY CONTACTS

For further information, contact:

Rosalva Tapia
DERA Tribal and State Program Lead
USEPA, Office of Transportation and Air Quality
1200 Pennsylvania Ave., NW (6406A)
Washington, DC 20460
Phone: (202) 343-9534
Email: tapia.rosalva@epa.gov

US EPA ARCHIVE DOCUMENT

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria.

EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about any of the language or provisions in the announcement through a "Frequently Asked Questions" document. Applicants may email written questions to: cleandiesel@epa.gov. Please type "TRIBAL RFP Question" in the subject line of your email. All questions and answers will be posted in the FAQ document at www.epa.gov/cleandiesel/documents/fy15-tribal-dera-faq.pdf.

Please see Section IV.F for additional information on pre-proposal assistance and communications.

VIII. Other Information (Appendices)

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APPENDIX A

Grants.gov Proposal Submission Instructions

A. Grants.gov Proposal/Application Instructions

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information on the registration requirements that must be completed in order to submit an application through Grants.gov, go to www.grants.gov and click on "Applicants" on the top of the page and then go to the "Get Registered" link on the page. If your organization is not currently registered with Grants.gov, please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible. Please note that the registration process also requires that your organization have a DUNS number and a current registration with the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met in order to apply for this opportunity through Grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on Grants.gov, SAM.gov, and DUNS number assignment is FREE.

To begin the application process under this grant announcement, go to www.grants.gov and click on "Applicants" on the top of the page and then "Apply for Grants" from the dropdown menu and then follow the instructions accordingly. Please note: To apply through Grants.gov, you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html

You may also be able to access the application package for this announcement by searching for the opportunity on www.grants.gov. Go to www.grants.gov and then click on "Search Grants" at the top of the page and enter the **Funding Opportunity Number, EPA-OAR-OTAQ-15-05, or CFDA 66.039**, in the appropriate field and click the Search button. Alternatively, you may be able to access the application package by clicking on the Application Package button at the top right of the synopsis page for the announcement on www.grants.gov. To find the synopsis page, go to www.grants.gov and click "Browse Agencies" in the middle of the page and then go to "Environmental Protection Agency" to find the EPA funding opportunities.

Application Submission Deadline: Your organization's AOR must submit your complete application package electronically to EPA through Grants.gov (www.grants.gov) no later than **Wednesday, July 15, 2015 at 4:00 PM Eastern Daylight Time (EDT)**. Please allow for enough time to successfully submit your application process and allow for unexpected errors that may require you to resubmit.

Please submit all of the application materials described below using the Grants.gov application package that you downloaded using the instructions above. For additional instructions on completing and submitting the electronic application package, click on the "Show Instructions" tab that is accessible within the application package itself.

Proposal/Application Materials

The following forms and documents are required under this announcement:

Mandatory Documents:

- Application for Federal Assistance (SF-424)
- Budget Information for Non-Construction Programs (SF-424A)
- Project Narrative (Project Narrative Attachment Form)-prepared as described in Section IV of the announcement

Optional Documents-See Section IV.C of announcement: Use 'other attachments' form.

Applications submitted through Grants.gov will be time and date stamped electronically.

If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the application deadline, please contact Rosalva Tapia at (202) 343-9534. Failure to do so may result in your application not being reviewed.

B. Technical Issues With Submission

1. Once the application package has been completed, the "Submit" button should be enabled. If the "Submit" button is not active, please call Grants.gov for assistance at 1-800-518-4726. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Applicants should save the completed application package with two different file names before providing it to the AOR to avoid having to re-create the package should submission problems be experienced or a revised application needs to be submitted.

2. Submitting the application. The application package must be transferred to Grants.gov by an AOR. The AOR should close all other software before attempting to submit the application package. Click the "submit" button of the application package. Your Internet browser will launch and a sign-in page will appear. Note: Minor problems are not uncommon with transfers to Grants.gov. It is essential to allow sufficient time to ensure that your application is submitted to Grants.gov BEFORE the due date identified in Section IV of the solicitation. The Grants.gov support desk operates 24 hours a day, seven days a week, except Federal Holidays.
A successful transfer will end with an on-screen acknowledgement. For documentation purposes, print or screen capture this acknowledgement. If a submission problem occurs, reboot the computer – turning the power off may be necessary – and re-attempt the submission. Note: Grants.gov issues a "case number" upon a request for assistance.

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3. Transmission Difficulties. If transmission difficulties that result in a late transmission, no transmission, or rejection of the transmitted application are experienced, and following the above instructions do not resolve the problem so that the application is submitted to www.Grants.gov by the deadline date and time, follow the guidance below. The Agency will make a decision concerning acceptance of each late submission on a case-by-case basis. All emails, as described below, are to be sent to tapia.rosalva@epa.gov with the FON in the subject line. If you are unable to email, contact Rosalva Tapia at (202) 343-9534. Be aware that EPA will only consider accepting applications that were unable to transmit due to Grants.gov or relevant SAM.gov system issues or for unforeseen exigent circumstances, such as extreme weather interfering with internet access. Failure of an applicant to submit timely because they did not properly or timely register in SAM.gov or Grants.gov is not an acceptable reason to justify acceptance of a late submittal.

a. If you are experiencing problems resulting in an inability to upload the application to Grants.gov, it is essential to call Grants.gov for assistance at 1-800-518-4726 before the application deadline. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Be sure to obtain a case number from Grants.gov. If the problems stem from unforeseen exigent circumstances unrelated to Grants.gov, such as extreme weather interfering with internet access, contact Rosalva Tapia at (202) 343-9434.
b. Unsuccessful transfer of the application package: If a successful transfer of the application cannot be accomplished even with assistance from Grants.gov due to electronic submission system issues or unforeseen exigent circumstances, send an email message to tapia.rosalva@epa.gov prior to the application deadline. The email message must document the problem and include the Grants.gov case number as well as the entire application in PDF format as an attachment.
c. Grants.gov rejection of the application package: If a notification is received from Grants.gov stating that the application has been rejected for reasons other than late submittal promptly send an email to Rosalva Tapia at tapia.rosalva@epa.gov with the FON in the subject line within one business day of the closing date of this solicitation. The email should include any materials provided by Grants.gov and attach the entire application in PDF format.

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APPENDIX B

Project Narrative Instructions, Format, and Content

Instructions: The Project Narrative must substantially comply with the specific instructions, format and content defined below. It must also address the evaluation criteria in Section V of the RFP.

The Project Narrative must not exceed a maximum of 11 single-spaced typewritten pages, including the Cover Page. Pages in excess of the 11-page limit will not be considered. Supporting materials, such as resumes, letters of support and/or commitment, and the Applicant Fleet Description information can be submitted as attachments and are not included in the 11-page limit.

A template is available for use at: www.epa.gov/cleandiesel/prgtribal.htm. Applicants are not required to use the template.

Cover Page: The cover page must include the following information:

- Project Title
- Applicant Information
  - Applicant (Organization) Name
  - Address (Street, City, State, Zip)
  - Office Phone and Fax Numbers
  - Contact Name, Email address and Website (if applicable)
  - DUNS number
- Eligible Entity
  - Using the criteria outlined under Section III.A of this RFP, explain how you are an eligible entity.
- Total Project Cost
  - Specify total cost of the project
  - Identify amount of funding requested from EPA
  - Identify amount of mandatory match if applicable (including in-kind resources). See Sections I.B.2 and III.B.1.
  - Identify amount of voluntary cost-share (including in-kind resources), if any. Please refer to Section III.B.2.
- Target Fleet
  - Specify target fleet type(s) from the following list
    - Agriculture
    - City/County vehicle
    - Construction
    - Delivery Truck
    - Emergency vehicle
    - Long haul
    - Marine
    - Refuse hauler
    - School bus
    - Short haul
    - Stationary
    - Transit bus
    - Utility vehicle
    - Mining

    - Ports and airports
    - Rail
    - Other
  - Additionally, specify the total number of engines, vehicles, and/or pieces of equipment affected by the project.
- Technology
  - Specify the technologies that will be used in the grant proposal from the following list, as referenced in Section I.B.2.
    - Diesel Oxidation Catalyst (includes all oxidation catalyst combinations with closed crankcase ventilation and/or biodiesel blends)
    - Diesel Particulate Filter (includes all particulate matter filter combinations with closed crankcase ventilation and/or biodiesel blends)
    - Selective Catalytic Reduction
    - Other Verified Exhaust Control or After-treatment Device
    - Engine Upgrade
    - Clean Fuel Use
    - Fuel Operated Heater
    - Auxiliary Power Unit
    - Truck Stop Electrification
    - Shore Power
    - Other Verified Idle Reduction Technology
    - Aerodynamic Technology
    - Low Rolling Resistance Tires
    - Engine Repower/Replacement
    - Vehicle Replacement
    - Hybrid Replacement
    - Clean Alternative Fuel Conversion
- Short Project Description
  - Briefly describe your project (1-2 sentences), especially noting the number of vehicles for each type of fleet, and the technology used. Example description: Retrofit 40 school buses with DPFs. In addition, repower 10 nonroad construction vehicles, and install DPFs and APUs on 20 Class 8 long-haul trucks.

Work Plan: Applicants must ensure that the Work Plan addresses evaluation criteria 1-9 in Section V.A of this announcement by using the section headings 1-9 below which correspond with the evaluation criteria in Section V.A of this RFP.

Section 1. Project Summary and Overall Approach

This section of the work plan should contain a detailed project description, including the following information:

A. VEHICLES AND TECHNOLOGIES

- The means by which the project will achieve a significant reduction in diesel emissions.

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- All verified and/or certified technologies to be used or funded by the applicant and a detailed description of the work to be performed.
- The number, types and typical use, and ownership of vehicles, engines and/or equipment targeted for emission reductions.
- A discussion of how the applicant has weighed the available/eligible technology options for the target fleet and has arrived at the chosen diesel emission reduction solution(s).
- A detailed timeline for the project, including milestones for specific tasks, such as bidding, procurement, installation and reports. Applicants should schedule time for Final Report preparation into the project timeline.
- The roles and responsibilities of the applicant organization and any other project partners, contractors, or subgrantees.
- Information on the sustainability of the project beyond the assistance agreement period, including a discussion of whom or what organization(s) will retain ownership of any vehicles, engines and/or equipment purchased with funding from this project.
- Proposals which include repowers and replacements must include:
  - a detailed discussion of the fleet owner's normal attrition schedule and must demonstrate that the proposed emission reductions are not a result of vehicle/equipment replacements or repowers that would have occurred through normal attrition/fleet turnover within three years of the project start date.
  - the applicant's plans for engine/vehicle/equipment scrappage.
- Proposals which include an eligible diesel emissions reduction project for nonroad equipment/engines that have less than seven years of useful life remaining (as defined by EPA's table, www.epa.gov/cleandiesel/documents/fy15-tribal-nonroad-remaining-useful-life.pdf.) must include a justification for targeting emission reductions from nonroad equipment/engines that have less than seven years of useful life remaining (as defined by EPA's table). The justification should address the age, operation and maintenance history, and current use of the equipment/engines. The justification should also include the projected lifetime/future use of the equipment/engines if funds are not received under this RFP.
- Proposals which include locomotives and/or marine engines and/or stationary engines must include a clear and concise justification for why/how the proposed emission reductions are not subject to the Restriction for Mandated Measures under this RFP, as described in Section III.D.1 and Appendix E.

B. ROLES AND RESPONSIBILITIES: A discussion of the roles and responsibilities of the Applicant organization and any other project partners, contractors, or subgrantees.

C. TIMELINE AND MILESTONES: A detailed timeline for the project including milestones for specific tasks, such as bidding, procurement, installation and reports. Applicants should schedule time for Final Report preparation into the project timeline.

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Section 2. Environmental Results—Outputs, Outcomes and Performance Measures

A. OUTPUTS AND OUTCOMES: This section of the work plan should include a discussion of the outputs and outcomes of the project as defined in Section I.C.2 and 3 of the RFP. Specific outputs and outcomes should be included.

Applicants should follow the instructions in **Appendix C** of this announcement for calculating emission reductions. In addition to a narrative discussion of the outputs and outcomes, it is suggested that the applicant fill out and include the following table, or something similar, in this section of the work plan.

Anticipated Outputs and Outcomes		
Activities	Outputs	Outcomes

Example Outputs and Outcome Table

Anticipated Outputs and Outcomes		
Activities	*Outputs*	*Outcomes*
Retrofit 100 school buses	*# of technology installed = 100 DPFs*	*Lifetime Emission Reductions = 11.9 tons PM*

B. PERFORMANCE MEASURES: In this section of the workplan applicants should describe what performance measurements, timeline of milestones, and/or other means will be used to track, measure and report progress towards achieving the expected outputs and outcomes and how the results of the project will be evaluated, as described in Section I.C.4 of the RFP.

The following are questions to consider when developing output and outcome measures of quantitative and qualitative results:

- What are the measurable short term and longer term results the project will achieve?
- How does the plan measure progress in achieving the expected results (including outputs and outcomes) and how will the approach use resources effectively and efficiently?

Section 3. Programmatic Priority - Location

This section of the work plan should address the primary area where the affected vehicles/engines operate, or the primary area where the emissions benefits of the project will be realized. Applicants should identify if the project location is within one or more of the priority areas, as described in **Appendix D** of this announcement. Applicants should also identify if the

vehicles are located in the following areas of highly concentrated diesel pollution – truckstops, ports, rail yards, terminals, construction sites, school bus depots/yards, or distribution centers. If a single proposal includes vehicles operating in more than one county or area, this section of the work plan should indicate where each vehicle will be operating and the amount of time spent in each area.

Section 4. Other Programmatic Priorities

This section of the work plan should address how the project will achieve each of the following programmatic priorities:

- Maximizes public health benefits
- Utilizes the most cost-effective strategies
- Serves areas:
  - with the highest population density;
  - with toxic air pollutant concerns; or
  - in, or affecting Federal Class I areas.
- Uses a community-based multi-stakeholder collaborative process to reduce toxic emissions
- Conserves diesel fuel

The extent that a project will maximize public health benefits depends on both the population that will experience improvements in air quality due to the project, and the amount of emission reductions that will take place. Proposals should therefore describe both the population that will be affected by the project and how they will directly benefit from emission reductions that will result from the project.

Section 5. Partnerships for Renewable Energy and Energy Efficiency

This section of the work plan should address the extent and quality to which the applicant has established a partnership with a non-EPA Federal Agency to advance tribal renewable energy and energy efficiency efforts that directly reduce diesel emissions from the same engines/equipment that the applicant is targeting for diesel emission reductions under this RFP. This includes evaluating the quality and extent to which the partnership efforts have resulted in strategic plans or projects that use renewable energy and energy efficiency strategies to achieve additional diesel emission reductions and the extent to which the applicant has provided information (such as the federal contract/grant number, federal project officer contact information, funding amount and project schedule) to demonstrate these efforts.

If the applicant has not established a relevant partnership, the applicant should indicate this in the Work Plan and the applicant will not receive any points under this criterion.

This section of the workplan should describe the nature of the partnership and a detailed description of any resulting strategic energy plans and/or projects, including:

- the role of the applicant and the partner in the renewable energy/energy efficiency project;

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- a quantification/estimation of the additional diesel emissions reductions the renewable energy/energy efficiency project will achieve;
- the renewable energy/energy efficiency project schedule or timeline for implementation; and
- if applicable, the federal contract/grant number, federal project officer contact information, and funding amount of the renewable energy/energy efficiency project.

Section 6. Programmatic Capability and Past Performance

A. PAST PERFORMANCE: This section of the work plan must include a list of federally funded assistance agreements similar in size, scope and relevance to the proposed project that your organization performed within the last three years. Assistance agreements include federal grants and cooperative agreements but not federal contracts. Please reference no more than three assistance agreements. EPA agreements are preferred. For each agreement listed, include the:
   - Project Title
   - Assistance Agreement Number
   - Funding Agency and CFDA Number

   This section of the workplan should include a discussion of whether, and how, the applicant was able to successfully complete and manage the listed agreements.

B. REPORTING REQUIRMENTS: This section of the workplan should include a discussion of the applicant's history of meeting the reporting requirements under the agreements listed above, including submitting acceptable final technical reports and the extent to which the applicant adequately and timely reported on their progress towards achieving the expected results (e.g., outputs and outcomes) under those agreements. If the applicant was not making progress, please indicate whether, and how, the applicant documented/reported its reason for the lack of progress.

C. ORGANIZATIONAL EXPERIENCE: This section of the work plan must include information on your organizational experience for timely and successfully achieving the objectives of the proposed project.

D. STAFF AND RESOURCES: This section of the work plan should include information on your staff expertise/qualification, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. EPA will not consider the qualifications, experience, and expertise of named subawardees/subgrantees and/or named contractor(s) unless certain conditions/requirements are met. For additional information see Section IV.G of this RFP.

Please Note: In evaluating applicants under the factors as described in Section V.A.6.a and b of this RFP, EPA will use the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and information from

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current and prior federal agency grantors to verify and/or supplement the information provided by the applicant.

If you do not have any relevant or available past performance or reporting information, please indicate this and you will receive a neutral score for these factors under Section V.A.6.a and b of this RFP. A neutral score is half of the total points available. If you do not provide any response for this item, you may receive a score of zero (0) for these factors.

Section 7. Budget Detail

This section of the work plan is a detailed description of the budget found in the SF-424A, and must include a detailed discussion of how EPA funds will be used. Applicants must **itemize** costs related to personnel, fringe benefits, travel, equipment, supplies, contractual costs, other direct costs, indirect costs, and total costs.

If the project budget includes any mandatory or voluntary cost-share (or overmatch), the budget detail portion of the work plan must include a detailed description of how the applicant will obtain the cost-share and how the cost-share funding will be used. If EPA accepts an offer for a voluntary cost-share or overmatch, applicants must meet their sharing commitment as a legal condition of receiving EPA funding. If the proposed cost-share is to be provided by a third-party, a letter of commitment is required. Any form of cost-share included in the Budget Detail must also be included on the SF 424 and SF 424A. Please see Section III.B of this RFP for more detailed information on cost-share.

Applicants should use the following instructions, budget object class descriptions, and example table to complete the Budget Detail section of the work plan.

- **Personnel - List all staff positions by title. Give annual salary, percentage of time assigned to the project, and total cost for the budget period.** This category includes only direct costs for the salaries of those individuals who will perform work directly for the project (generally, paid employees of the applicant organization). If the applicant organization is including staff time (in-kind services) as a cost-share, this should be included as Personnel costs. Personnel costs do not include: (1) costs for services of consultants, contractors, consortia members, or other partner organizations, which are included in the "Contractual" category; (2) costs for employees of subrecipients under subawards, which are included in the "Other" category; or (3) effort that is not directly in support of the proposed project, which may be covered by the organization's negotiated indirect cost rate. The budget detail must identify the personnel category type by Full Time Equivalent (FTE), including percentage of FTE for part-time employees, number of personnel proposed for each category, and the estimated funding amounts.
- **Fringe Benefits - Identify the percentage used, the basis for its computation, and the types of benefits included**. Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to the cost of leave, employee insurance, pensions and unemployment benefit plans.

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- **Travel - Specify the mileage, per diem, estimated number of trips in-state and out-of-state, number of travelers, and other costs for each type of travel.** Travel may be integral to the purpose of the proposed project (e.g. inspections) or related to proposed project activities (e.g. attendance at meetings). Travel costs do not include: (1) costs for travel of consultants, contractors, consortia members, or other partner organizations, which are included in the "Contractual" category; (2) travel costs for employees of subrecipients under subawards, which are included in the "Other" category.
- **Equipment - Identify each item to be purchased which has an estimated acquisition cost of $5,000 or more per unit and a useful life of more than one year.** Equipment also includes accessories necessary to make the equipment operational. Equipment does not include: (1) equipment planned to be leased/rented, including lease/purchase agreement; or (2) equipment service or maintenance contracts. These types of proposed costs should be included in the "Other" category. Items with a unit cost of less than $5,000 should be categorized as supplies, pursuant to 40 CFR 31.3 and 30.2. The budget detail must include an itemized listing of all equipment proposed under the project.
- **Supplies - "Supplies" means all tangible personal property other than "equipment."** The budget detail should identify categories of supplies to be procured (e.g., laboratory supplies or office supplies). Non-tangible goods and services associated with supplies, such as printing service, photocopy services, and rental costs should be included in the "Other" category.
- **Contractual - Identify each proposed contract and specify its purpose and estimated cost.** Contractual/consultant services are those services to be carried out by an individual or organization, other than the applicant, in the form of a procurement relationship. Leased or rented goods (equipment or supplies) should be included in the "Other" category. The applicant should list the proposed contract activities along with a brief description of the scope of work or services to be provided, proposed duration, and proposed procurement method (competitive or non-competitive), if known.
- **Other - List each item in sufficient detail for EPA to determine the reasonableness and allowability of its cost.** This category should include only those types of direct costs that do not fit in any of the other budget categories. Examples of costs that may be in this category are: insurance, rental/lease of equipment or supplies, equipment service or maintenance contracts, printing or photocopying, rebates, and subaward costs. Subawards (e.g., subgrants) are a distinct type of cost under this category. The term "subaward" means an award of financial assistance (money or property) by any legal agreement made by the recipient to an eligible subrecipient. This term does not include procurement purchases, technical assistance in the form of services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Subcontracts are not subawards and belong in the contractual category. Applicants must provide the aggregate amount they propose to issue as subaward work and a description of the types of activities to be supported.
- **Indirect Charges - If indirect charges are budgeted, indicate the approved rate and base.** Indirect costs are those incurred by the grantee for a common or joint purpose that benefit more than one cost objective or project, and are not readily assignable to specific cost objectives or projects as a direct cost. In order for indirect costs to be allowable, the applicant

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must have a federal or state negotiated indirect cost rate (e.g., fixed, predetermined, final or provisional), or must have submitted a proposal to the cognizant federal or state agency. Examples of Indirect Cost Rate calculations are shown below:

- Personnel (Indirect Rate x Personnel = Indirect Costs)
- Personnel and Fringe (Indirect Rate x Personnel & Fringe = Indirect Costs)
- Total Direct Costs (Indirect Rate x Total direct costs = Indirect Costs)
- Direct Costs, less distorting or other factors such as contracts and equipment (Indirect Rate x (total direct cost – distorting factors) = Indirect Costs)

Example Budget Table

Line Item and Itemized Cost	EPA Funding	**Cost-Share
Personnel		
(1) Project Manager @ $40/hr x 10 hrs/week x 52 wks		$20,800
(1) Project Staff @ $30/hr x 40 hrs/week x 40 wks	$48,000	
TOTAL PERSONNEL	$48,000	$20,800
Fringe Benefits		
20% of Salary and Wages	20%(48,000)	20%(20,800)
- Retirement, Health Benefits, FICA, SUI	$9,600	$4,160
TOTAL FRINGE BENEFITS	$9,600	$4,160
Travel		
Local mileage for PM: 100 mi/mo @ $.17/mi x 12 mo	$204	
Local mileage for Staff: 200 mi/mo @ $.17/mi x 12 mo	$408	
TOTAL TRAVEL	$612	
Equipment		
25 DOCs + CCV@ $5000 per unit	$125,000	
25 DPFs with installation kit @ $6,000 per unit	$150,000	
10 New vehicles for Replacement @ $100,000 per unit	$250,000	$750,000
10 Engines for Repower @ $50,000 per unit	$250,000	$250,000
TOTAL EQUIPMENT	$ 775,000	$1,000,000
Supplies		
100 Replacement CCV filters @ $10 per unit	$1,000	
TOTAL SUPPLIES	$1,000	
Contractual		
Retrofit Installation Services Contract	$10,000	
TOTAL CONTRACTUAL	$10,000	$10,000
Other		

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5 Subgrants to School Districts for School Bus Retrofits with DPFs. Each Subgrant @ $50,000	$250,000	
TOTAL OTHER	$250,000	
Indirect Charges		
Federal Negotiated Indirect Cost Rate = 10% (Indirect Rate x Personnel = Indirect Costs)	$4,800	$2,080
TOTAL INDIRECT	$4,800	$2,080
TOTAL FUNDING	$1,099,012	$1,037,040
TOTAL PROJECT COST	$2,136,052	

** Cost-share funds must also be included on the SF-424A as detailed in Section III.B of this RFP.

Section 8. Expenditure of Awarded Grant Funds

This section of the workplan must include a detailed discussion of the applicant's approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.

Section 9. Applicant Fleet Description:

The Project Narrative must also contain an Applicant Fleet Description section. This information does not count toward the 11-page limit. See Section IV.C.3 of this RFP for detailed instructions on completing the Applicant Fleet Description portion of the Project Narrative. A sample format for the Applicant Fleet Description may be downloaded at www.epa.gov/cleandiesel/documents/fy15-tribal-nonroad-remaining-useful-life.pdf.

Attachments:

Cost-Share Commitment Letters: If applicable, project partners who are providing in-kind or monetary assistance must demonstrate their specific commitment to meet the proposed cost-share. This information does not count towards the 11-page limit.

Letters of Support/Partnership: If applicable, letters of support that demonstrate strong, long-term involvement throughout the project from a variety of project partners are encouraged. Letters should specifically indicate how project partners and supporting organizations will participate in or directly assist in the design and performance of the project, or how obtaining support from project partners will allow the applicant to more effectively perform the project. This information does not count towards the 11-page limit.

Mandated Measures Justification Supporting Information: If applicable, the proposal must include a clear and concise justification in Section 1 of the Project Narrative, for why/how the emission reductions proposed for funding are not subject to the Restriction for Mandated Measures under this RFP. **Applicants must provide sufficient detail and information to support the justification, including maintenance schedules and history, if applicable.** Please

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see **Section III.D.1** and **Appendix E** for more information. This supporting information should be provided as an attachment and does not count towards the 11-page limit.

Optional Attachments: Resumes: Provide resumes or curriculum vitae for all principal investigators and any other key personnel. These are not included in the 11-page limit.

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APPENDIX C

Quantifying Environmental Outcomes Worksheet

Diesel Emission Reductions for Most Project Types

To estimate the anticipated emission reductions from your project, use the Diesel Emissions Quantifier (DEQ) found at www.epa.gov/cleandiesel/quantifier. **Based on the vehicle/engine data you provided for the Applicant Fleet Description (described in Section IV.C.3 of this RFP) enter the same data into the DEQ**. For assistance getting started, please review the DEQ Frequently Asked Questions document found at www.epa.gov/cleandiesel/quantifier. Please note you can group entries together to minimize the number of DEQ runs required (model year, vehicle miles traveled, idling hours, usage rate, and horsepower). While it is not required that you log in to use the Quantifier, it is recommended that you "Register a New Account" and log in to use the Quantifier so that you will have the ability to save scenario information and retrieve it in the future.

From the DEQ results page (example shown below), enter the Lifetime Amount Reduced for each of the listed pollutants (NO_x, PM, HC, CO, CO_2) in Section 2 "Results – Outputs and Outcomes," of your work plan.

In order to calculate CO_2 emission reductions, you must input the amount of "diesel fuel reduced" and/or "reduced idling hours" when inputting technology information for the vehicle group.

Lifetime	NOx (tons)	PM (tons)	HC (tons)	CO (tons)	CO2 (tons)	Diesel-Equivalent (gallons)
Baseline of Entire Fleet	7.8325	0.1885	0.0786	1.4534	112.3719	10,123.592
Baseline of Engines Retrofitted	7.8325	0.1885	0.0786	1.4534	112.3719	10,123.592
Percent Reduced(%)	0.0%	0.2%	0.5%	0.3%	0.0%	0.0
Amount Reduced	0.0000	0.0004	0.0004	0.0044	0.0000	0.000
Amount Emitted After Retrofit, Retrofitted Engines	7.8325	0.1882	0.0782	1.4490	112.3719	10,123.592
Amount Emitted After Retrofit, Entire Fleet	7.8325	0.1882	0.0782	1.4490	112.3719	10,123.592
Capital Cost Effectiveness ($/ton), Retrofitted Engines	$0.00	$0.00	$0.00	$0.00	$0.00	$0.0
Total Cost Effectiveness ($/ton), Retrofitted Engines	$0.00	$0.00	$0.00	$0.00	$0.00	$0.0

Note: The lifetime results are dependent on each vehicle group's remaining life. To determine the remaining life for each vehicle group, divide the lifetime results by the annual results using the Detailed Results tables below.

Note: "ton" refers to a short ton; a unit of mass equal to 2,000 pounds (907.18474 kg).

For further instruction on using the DEQ, please refer to www.epa.gov/cleandiesel/quantifier/. Additional assistance is available by calling the Clean Diesel Helpline at 877-NCDC-FACTS (877-623-2322) or emailing cleandiesel@epa.gov.

Alternative Methods
If you are unable to use the DEQ, you may use the following alternative methods for calculating emission reductions:

- Motor Vehicle Emissions Simulator (MOVES) - www.epa.gov/otaq/models/moves/index.htm
- National Mobile Inventory Model (NMIM) - www.epa.gov/oms/nmim.htm
- Mobile Model (on-road vehicles) - www.epa.gov/OMS/mobile.htm
- Nonroad Model (nonroad engines, equipment, and vehicles) - www.epa.gov/OMS/nonrdmdl.htm

If an alternative method is used you must thoroughly describe and document your methods within Section 2 "Environmental Results," of your work plan.

Diesel Emission Reductions Above and Beyond any Restriction for Mandated Measures
No funds awarded under this RFP shall be used to fund the costs of emission reductions that are mandated under federal law. See Section III.D.1 of this RFP for more information on the Restriction for Mandated Measures.

If the project takes place in an affected area, or includes affected vehicles, engines or equipment, emission reduction benefits shall only be calculated for emission reductions implemented prior to the effective date of the applicable mandate and/or emission reduction benefits shall only be calculated for emission reductions that are in excess of (above and beyond) those required by the applicable mandate.

Option 1: To calculate emission reduction benefits for emission reductions implemented prior to the effective date of the applicable mandate the applicant must use the following formula to calculate lifetime emission benefits that may be claimed.

Follow the instructions above to run the DEQ. From the DEQ results page (example shown below), enter the Annual Amount Reduced Per Year in the spaces provided below.

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Summary Emissions Results | Detailed Results | Download Results | Health Benefits

Annual	NOx (tons/year)	PM (tons/year)	HC (tons/year)	CO (tons/year)	CO2 (tons/year)	Diesel-Equivalent (gallons/year)
Baseline of Entire Fleet	7.7369	0.1862	0.0776	1.4356	111.0000	10,000.0000
Baseline of Engines Retrofitted	7.7369	0.1862	0.0776	1.4356	111.0000	10,000.0000
Percent Reduced (%)	0.0%	0.2%	0.5%	0.3%	0.0%	0.0%
Amount Reduced Per Year	0.0000	0.0004	0.0004	0.0043	0.0000	0.0000

Daily	NOx (kg/day)	PM (kg/day)	HC (kg/day)	CO (kg/day)	CO2 (kg/day)	Diesel-Equivalent (gal/day)
Kilograms Reduced Per Day (kg/day)	0.0000	0.0009	0.0010	0.0107	0.0000	0.0000

Note: "ton" refers to a short ton; a unit of mass equal to 2,000 pounds (907.18474 kg).

_____ _____ _____ _____ _____

NO_x (tons/yr) PM (tons/yr) HC (tons/yr) CO (tons/yr) CO2 (tons/yr)

Note: These are the Annual results, not the Lifetime Results.

Retrofit Year = _____ Mandate Compliance Year = _____

Multiply the values for each pollutant by the difference of the mandate year and the retrofit year and enter the calculated lifetime emissions for each of the listed pollutants (NO_x, PM, HC, CO, CO_2) in Section 2 "Results," of your work plan.

For example, if the mandate is slated to occur in 2018 and the retrofit will take place in 2014, then multiply the highlighted values above by 2 (2018 - 2014=4). Thus, the calculated lifetime emissions would be as follows:

0.000*4=	0.027*4=	0.095*4=	0.259*4=	0.000*4=
0.00	0.108	0.380	1.036	0.000
NO_x (tons)	PM (tons)	HC (tons)	CO (tons)	CO2 (tons)

Option 2: To calculate emission reduction benefits for emission reductions that are in excess of (above and beyond) those required by the applicable mandate the applicant must use the following formula to calculate lifetime emission benefits that may be claimed.

Follow the instructions above to run the DEQ using the target engines and the technologies/emission reductions that are required by the mandate. From the DEQ results page, enter the mandated Annual Amount Reduced per Year in the spaces provided below.

_____ _____ _____ _____ _____

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NO_x (tons/yr) PM (tons/yr) HC (tons/yr) CO (tons/yr) CO2 (tons/yr)
Note: These are the Annual results, not the Lifetime Results.

Then, follow the instructions above to run the DEQ using the target engines and the technologies/emission reductions that are proposed for the project (i.e. based on the vehicle/engine data you provided for the Applicant Fleet Description). From the DEQ results page, enter the proposed project Annual Amount Reduced per Year in the spaces provided below.

_____ _____ _____ _____ _____
NO_x (tons/yr) PM (tons/yr) HC (tons/yr) CO (tons/yr) CO2 (tons/yr)
Note: These are the Annual results, not the Lifetime Results.

Subtract the mandated values for each pollutant by the proposed project values and then enter the calculated lifetime emissions for each of the listed pollutants (NO_x, PM, HC, CO, CO_2) in Section 2 "Results," of your work plan.

Diesel Emission Reductions for Marine Shore Power Connection Systems

A method to determine baseline emissions of your project is available in the following publication: Rulemaking to Consider Adoption of Proposed Regulations to Reduce Emissions from Diesel Auxiliary Engines on Ocean-Going Vessels while at Berth at a California Port (Appendix B: Emission Inventory Methodology); California Air Resources Board (December 6, 2007) which is available at www.arb.ca.gov/ports/shorepower/shorepower.htm. While this report provides information specific to California ports, the method used in this report can be used in other jurisdictions.

To determine the offsetting emissions of electrical power use from shore-side power, EPA provides the following model to assess these emissions offsets: The Emissions & Generation Resource Integrated Database (eGRID). This is a comprehensive inventory of electric power systems which uses available plant-specific data for all U.S. electricity generating plants that provide power to the electric grid and report data to the U.S. government. The eGRID contains air emissions data for nitrogen oxides, sulfur dioxide, carbon dioxide, and mercury. Download eGrid and directions at www.epa.gov/cleanenergy/energy-resources/egrid/index.html

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APPENDIX D

DERA Program Priority Locations

The DERA program places a priority on projects that are located in areas that have the highest emissions from diesel engines. The term "project location," as used in this RFP, refers to the primary area where the affected vehicles/engines operate, or the primary area where the emissions benefits of the project will be realized. Vehicles or equipment proposed for funding under this RFP must be operated a majority of the time in one of the priority counties or areas listed at the website below in order to receive eight points under Section V, Criterion #3.a of this RFP. If a single proposal includes vehicles operating in more than one county the workplan should indicate where each vehicle operates and the amount (%) of time spent in each county.

A list of the priority counties and areas can be found at:
www.epa.gov/cleandiesel/documents/fy15-tribal-county-area-list.pdf.

These counties and areas were selected as priority areas for the DERA program because they have been designated, as of the release date of this RFP, as Nonattainment Areas or Maintenance Areas for the following National Ambient Air Quality Standards. Data is sourced from EPA's Green Book of Nonattainment Areas for Criteria Pollutants. (www.epa.gov/oaqps001/greenbk/).

a) $PM_{2.5}$ 1997 Standard (Annual: 15 µg/m^3, 24-hour: 65 µg/m^3)
b) $PM_{2.5}$ 2006 Standard (Annual: 15 µg/m^3, 24-hour: 35 µg/m^3)
c) $PM_{2.5}$ 2012 Standard (Annual: 12 µg/m^3, 24-hour: 35 µg/m^3)
d) Ozone (O_3) 2008 Standard (8-hour: 0.075ppm)

APPENDIX E

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As stated in Section III.D.1 of this RFP, projects involving locomotives and marine engines will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's locomotive and marine rule, "Control of Emissions of Air Pollution from Locomotives and Marine Compression-Ignition Engines Less than 30 liters per Cylinder,". Also, projects involving stationary engines will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's RICE rule, "National Emission Standards for Hazardous Air Pollutants (NESHAP) for Stationary Reciprocating Internal Combustion Engines (40 CFR Part 63 Subpart ZZZZ).

All proposals which include locomotives and/or marine engines and/or stationary engines must include a clear and concise justification for why/how the proposed emission reduction are not subject to the Restriction for Mandated Measures under this RFP. The justification must clearly demonstrate why/how:

a. **the target engines are exempt from the requirements of EPA's rule; or**
b. **emission reductions funded with EPA funds will be implemented prior to the effective date of any applicable requirements under the rule; and/or**
c. **emission reductions funded with EPA funds will not be used to satisfy any applicable requirements under the rule, but are in excess of (above and beyond) those required by the applicable mandate.**

Applicants must provide sufficient information to support the justification, including copies of maintenance records, if applicable. Supporting information should be included as an attachment to the proposal, and does not count towards the 11-page limit.

Applicants are responsible for addressing all applicable parts of the rule in their justification for why/how the emission reductions proposed for funding are not subject to the Restriction for Mandated Measures under this RFP.

Control of Emissions of Air Pollution from Locomotives and Marine Compression-Ignition Engines Less than 30 liters per Cylinder

What is Sufficient Justification?

For locomotives, the justification must include, but is not limited to:

- The original build date of each locomotive.
- The model year of the existing engines for each locomotive.
- Whether the existing locomotive engines are the original engines that were installed in the locomotive by the locomotive manufacturer at the time of original manufacturer, or whether the original engines were ever replaced or upgraded (prior to the activities that are being proposed for funding). If so, when and what upgrades were made?
- The date that the power assemblies of each existing engine have been replaced, if ever.

As outlined above, and in Section III.D.1 of this RFP, certain locomotives and marine engines are exempt from the rule. This exemption may be based on the age and/or size of the locomotive

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or marine engines, or on the type or size and/or annual revenue of the owner/operator. In these cases sufficient justification would include a summary of the rule applicability, and an explanation of why each locomotive or marine engine is exempt from the rule. For example:

> *"EPA's Marine Remanufacture Program applies only to those commercial marine propulsion and auxiliary diesel engines which meet all of the following criteria:*
> *• C1 and C2 engines (i.e. per cylinder displacement up to 30 liters);*
> *• Greater than 600 kW (800 hp);*
> *• Tier 2 and earlier engines; and*
> *• Built in model year 1973 or later.*
>
> *Engines A, B, and C, as described fully in the previously submitted Applicant Fleet Description, are exempt from the requirements of EPA's marine rule because all three engines are of original model year 1972. Further, all three of these engine are 600 horsepower engines and are therefore exempt from the rule requirements."*

As outlined above, and in Section III.D.1 of the RFP, certain locomotives and marine engines may be subject to the rule requirements, but the applicant may be able to demonstrate that the emission reduction funded with EPA funds will be implemented prior to the effective date of any applicable requirements under the rule and/or emission reductions funded with EPA funds will not be used to satisfy any applicable requirements under the rule, but are in excess of (above and beyond) those required by the applicable mandate. In these cases sufficient justification would include a summary of the rule applicability, and an explanation of how the proposed emission reductions from each locomotive or marine engine meet the criteria listed above. For example:

> *"Marine Engine D is a commercial C1 marine diesel engine of 900 hp, built in model year 1980, and is unregulated (please see previously submitted Applicant Fleet Description for full engine information including marine engine model and engine family name), therefore this engine is covered by EPA's Marine Remanufacture Program. We have conducted a thorough search of EPA's list of remanufacture systems (i.e. "kits", certified for use with Category 1 and 2 marine diesel engines according to the provisions of 40 CFR Part 1042, Subpart I) listed here www.epa.gov/otaq/certdata.htm, and have determined that at this time there are no certified kits available for this engine. Therefore, there are no applicable requirements under the rule for this engine at this time and the emission reductions proposed for EPA funding are not subject to the Restriction for Mandated Measures under this RFP."*
>
> OR
>
> *"Marine Engine E is a commercial C1 marine diesel engine of 900 hp, built in model year 1980, and is unregulated (please see previously submitted Applicant Fleet Description for full engine information, including marine engine model and engine family name), therefore this engine is covered by EPA's Marine Remanufacture Program. We have conducted a thorough search of EPA's list of remanufacture systems (i.e. "kits",*

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certified for use with Category 1 and 2 marine diesel engines according to the provisions of 40 CFR Part 1042, Subpart I) listed here www.epa.gov/otaq/certdata.htm, and have determined that at this time there is one certified remanufacture kit available for this engine: [insert kit info].

However, emission reductions funded with EPA funds will not be used to satisfy any applicable requirements under the rule, but are in excess of (above and beyond) those required by the applicable mandate. [The applicant should include a thorough discussion of the emission reductions that could be achieved by the application of the certified kit to the existing engine and the emission reductions that will be achieved by the activities proposed from funding under the grant. The applicant should calculate the difference between the required emission reductions and the proposed emission reductions, and should be able to clearly demonstrate that emission reductions funded with EPA funds are in excess of (above and beyond) those required by the rule.]

Therefore, the emission reductions proposed for EPA funding are not subject to the Restriction for Mandated Measures under this RFP."

Please note that failure to submit the required "Mandated Measured Justification" will render the applicant's entire proposal ineligible and the proposal will not be reviewed.

Additional Resources:

- Final Rule: www.gpo.gov/fdsys/pkg/FR-2008-06-30/pdf/R8-7999.pdf
- Fact Sheet: EPA Finalizes More Stringent Emissions Standards for Locomotive Engines and Marine Compression-Ignition Engines: www.epa.gov/otaq/regs/nonroad/420f08004.pdf
- Fact Sheet: Control of Emissions from Idling Locomotives: www.epa.gov/otaq/regs/nonroad/locomotv/420f13050.pdf
- Summary of locomotive emission standards: www.epa.gov/otaq/standards/nonroad/locomotives.htm
- Frequently Asked Questions from Marine Engine Owners and Rebuilders about EPA's Marine Remanufacture Program: www.epa.gov/otaq/regs/nonroad/marine/ci/420f09003.pdf.
- Summary of marine emission standards: www.epa.gov/otaq/standards/nonroad/marineci.htm
- Marine and Locomotive Certified Remanufacture Systems: www.epa.gov/otaq/certdata.htm

US EPA ARCHIVE DOCUMENT

The information that follows is provided purely for informational purposes to highlight certain parts of the rule that may be of most interest to applicants, such as applicability, exemptions, and remanufacture requirements. This information is not all-inclusive and is not meant as a substitute for the actual rule. There may be applicability, exemptions, and requirements under the rule that are not highlighted below.

Affected Entities and Engines

Entities potentially affected by this rule are those that manufacture, remanufacture or import locomotives or locomotive engines; and those that own or operate locomotives and companies and persons that manufacture, sell, or import into the United States new marine compression ignition engines, companies and persons that rebuild or maintain these engines, companies and persons that make vessels that use such engines, and the owners/operators of such vessels.
The rule addresses all types of diesel locomotives— line-haul, switch, and passenger rail, and all types of marine diesel engines below 30 liters per cylinder displacement (hereafter referred to as ‘‘marine diesel engines’’). These engines are used to power a wide variety of vessels, from small fishing and recreational boats to large tugs and Great Lakes freighters. They are also used to generate auxiliary vessel power, including on ocean-going ships.

Locomotives

The rule affects locomotives currently regulated under part 92 or part 1033. With some exceptions, the locomotive regulations apply for all locomotives originally built in or after 1973 that operate in the United States.

Class III Railroads are exempt from the remanufacture standards for existing fleets. The rule limits the category of small railroads which are exempt from the Tier 0, 1 and 2 remanufacturing requirements for existing fleets to those railroads that qualify as Class III railroads and that are not owned by a large parent company. Under the current Surface Transportation Board classification system, this exemption is limited to railroads having total revenue less than $36,212,260 per year in 2012.

EPA estimates that nearly all of the locomotives in the Class I railroad fleets were originally manufactured in or after 1973 and are already subject to the Tier 0 or later standards.

Intercity passenger or commuter railroads are not included as railroads that are small businesses, and are therefore subject to the rule.

Definitions

‘‘new locomotive’’ or “new locomotive engine” – a locomotive or engine that has never been transferred to an ultimate purchaser or put into service; a locomotive or engine also becomes new if it is remanufactured or refurbished. Locomotives and engines that were originally

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manufactured before January 1, 1973 are not considered to become new when remanufactured unless they have been upgraded (as defined by the rule). Locomotives that are owned and operated by a small railroad and that have never been certified (i.e. manufactured or remanufactured into a certified configuration) are not considered to become new when remanufactured.

‘‘remanufacture’’ - 1) To replace, or inspect and qualify, each and every power assembly (i.e., cylinder) of a locomotive or locomotive engine, whether during a single maintenance event or cumulatively within a five year period; or 2) To upgrade a locomotive or locomotive engine; or 3) To convert a locomotive or locomotive engine to enable it to operate using a fuel other than it was originally manufactured to use; or 4) To install a remanufactured engine or a freshly manufactured engine into a previously used locomotive; or 5) To repair a locomotive engine that does not contain power assemblies to a condition that is equivalent to or better than its original condition with respect to reliability and fuel consumption. Remanufacture also means the act of remanufacturing.

“remanufactured locomotive” - either a locomotive powered by a remanufactured locomotive engine, a repowered locomotive, or a refurbished locomotive.

“upgrade” - one of the following types of remanufacturing: 1) Repowering a locomotive that was originally manufactured prior to January 1, 1973; or 2) Refurbishing a locomotive that was originally manufactured prior to January 1, 1973 in a manner that is not freshly manufacturing; or 3) Modifying a locomotive that was originally manufactured prior to January 1, 1973 (or a locomotive that was originally manufactured on or after January 1, 1973, and that is not subject to the emission standards of this part), such that it is intended to comply with the Tier 0 standards.

“repowered locomotive”- a locomotive that has been repowered with a freshly manufactured engine.

‘‘freshly manufactured locomotive’’ – a new locomotive that contains fewer than 25 percent (by value) previously used parts (i.e. contains 75% or more brand new parts); includes when an existing locomotive is substantially refurbished including the replacement of the old engine with a freshly manufactured engine.

‘‘refurbished locomotive’’’ - a locomotive which contains more unused parts than previously used parts (i.e. contains 50% to 75% brand new parts). Note: Locomotives built before 1973 become ‘‘new’’ and thus subject to emission standards when refurbished (i.e. are not exempt from the rule requirements due to age of locomotive). In general, the rule requires refurbished switch locomotives to meet the Tier 0+ standards, and refurbished line-haul locomotives to meet Tier 2+/Tier 3 standards, even if the original locomotive was manufactured before 1973.

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Remanufactured Locomotives: The rule sets new standards for the existing fleet of Tier 0, Tier 1, and Tier 2 locomotives, to apply at the time of remanufacture, if a certified remanufacture system is available.

To avoid confusion between the old standards and the new standards, EPA has adopted a simple approach whereby a Tier 0 locomotive remanufactured under the more stringent Tier 0 standards adopted in the 2008 (current) rule will be designated a Tier 0+ locomotive. The same approach applies for Tier 1 and Tier 2 locomotives. That is, those remanufactured under the new standards would be called Tier 1+ and Tier 2+ locomotives, respectively. However, in many contexts, including a number of places in the final rule, there is really no need to make distinctions of this sort, as no ambiguity arises. In these contexts it would be perfectly acceptable to drop the ''+'' designation and simply refer to Tier 0, 1, and 2 locomotives and standards.

Switch Locomotives: The rule includes standards and other provisions aimed at encouraging the replacement of old high-emitting units with newly-built or refurbished locomotives powered by very clean engines developed for the nonroad equipment market. For example, a provision applicable to switch locomotives allows a streamlined certification process.

Reduction of Locomotive Idling Emissions: The rule requires that an Automatic Engine Stop/Start System (AESS) be used on all new locomotives (see definition of "new locomotive" above).

Voluntary Emission Reductions: The rules allow locomotive owners to voluntarily subject their pre-1973 locomotives to the Tier 0 standards or to include in the locomotive program low-horsepower locomotives that would otherwise be excluded based on their rated power. Additionally, the rule allows Tier 0 switch locomotives, which are normally not subject to line-haul cycle standards, to be voluntarily certified to the line-haul cycle standards. Also, the rule allows any locomotives to be voluntarily certified to a more stringent tier of standards. In doing so, the locomotives then become subject to the new remanufactured engine standards, at the point of first remanufacture under the new standards.

Marine Engines

The rule (marine existing fleet program) affects marine diesel engines and vessels regulated under part 94 or part 1042.

The marine existing fleet program applies only to those commercial marine propulsion and auxiliary diesel engines which meet the following criteria:

- C1 and C2 engines (i.e. per cylinder displacement up to 30 liters);
- Greater than 600 kW (800 hp);
- Tier 2 and earlier engines; and
- Built in model year 1973 or later.

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Small vessel operators are exempt from the new standards for existing fleets. The requirements of the marine existing fleet program do not apply to owners of marine diesel engines or vessel operators with less than $5 million in gross annual sales revenue. This threshold includes annual sales revenue from parent companies or affiliates of the owners/operators.

EPA estimates that about 4 percent of all C1 and C2 engines are subject to the marine existing fleet program and are likely to have certified kits available at the time of remanufacture.

Definitions

"remanufacture" of a marine engine - the removal and replacement of all cylinder liners, either during a single maintenance event or over a five-year period. It should be noted that marine diesel engines are not considered to be remanufactured if the rebuilding process falls short of this definition (i.e. the cylinder liners are removed and replaced over more than a five-year period).

Remanufactured Marine Engines: When an engine is remanufactured, it must be certified as meeting the emission standards for remanufactured engines (by using a certified remanufacture system) unless there is no certified remanufacturing system available for that engine. If there is no certified system available at that time, there is no requirement.

A certified marine remanufacture system must achieve a 25 percent reduction in PM emissions compared to the engine's measured baseline emissions level (the emission level of the engine as rebuilt according to the manufacturer's specification but before the installation of the remanufacture system) without increasing NO_x emissions (within 5 percent).

If several certified systems are available, we will allow any of them to be used.

For engines on a rolling rebuild schedule (i.e., cylinder liners are not replaced all at once but are replaced in sets on a schedule of 5 or fewer years, for example 5 sets of 4 liners for a 20-cylinder engine on a 5-year schedule), the requirement is triggered at the time the remanufacture system becomes available, with the engine required to be in a certified configuration when the last set of cylinder liners is replaced. Any remanufacturing that occurs after the system is available needs to use the certified system, including remanufacturing that occurs on a rolling schedule over less than five years following the availability of the remanufacturing system. If the components of a certified remanufacture system are not compatible with the engine's current configuration, the program allows the owner to postpone the installation of the remanufacture system until the replacement of the last set of cylinder-liners, which would occur no later than five years after the availability of the system. At that time, all engine components must be replaced according to the certified remanufacture system requirements.

In general, remanufactured engines are considered to be ''new'' engines, and they remain new until sold or placed back into service after the replacement of the last cylinder liner. The standards do not apply for engines that are rebuilt without removing cylinder liners. For a new engine to be placed into service, it must be covered by a certificate of conformity.

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Replacement with a Freshly Manufactured Engine: Under the marine diesel engine program, an engine manufacturer is generally prohibited from selling a marine engine that does not meet the standards that are in effect when that engine is produced. However, manufacturers are allowed to produce a new engine which meets an earlier tier of standards if the engine manufacturer makes a determination that an engine compliant with the current standards would not fit a particular vessel.

Specifically, in making the feasibility determination the engine manufacturer is required to consider all previous tiers and use any of their own engine models from the most recent tier that meets the vessel's physical and performance requirements. If an engine manufacturer can produce an engine that meets a previous tier of standards representing better control of emissions than that of the engine being replaced, the manufacturer would need to supply the engine meeting the tier of standards with the lowest emission levels. For example, if a Tier 1 engine is being replaced after the Tier 3 standards go into effect, the engine manufacturer would have to demonstrate why a Tier 2 as well as a Tier 3 engine cannot be used before a Tier 1 engine can be produced and installed. Similarly, for an engine built prior to 2004, the engine manufacturer would have to demonstrate why a Tier 1, Tier 2, or a Tier 3 engine cannot be used. It should be noted, in the case of Tier 0 engines, that MARPOL Annex VI prohibits replacing an existing engine at or above 130 kW with a freshly manufactured engine unless it meets the Tier 1 standards.

Replacement with an Existing Engine: The remanufacture requirements of the rule apply whether the owner is obtaining an identical existing (used) replacement engine due to an engine failure or through an engine exchange for a periodic engine rebuild. These requirements also apply if a vessel owner is obtaining a different model existing (used) replacement engine, for whatever reason. This means if the existing engine (greater than 600 kW that are built after 1973) that is the replacement engine is rebuilt and has all of its cylinder liners replaced, it will be required to be remanufactured using a certified remanufacture system if one is available for that engine.

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National Emission Standards for Hazardous Air Pollutants (NESHAP) for Stationary Reciprocating Internal Combustion Engines (RICE) (40 CFR Part 63 Subpart ZZZZ)

Stationary engine projects, such as energy producing generators and agricultural pumps, will not be considered for funding under this RFP if the emission reductions proposed for funding are required by EPA's RICE rule, "National Emission Standards for Hazardous Air Pollutants for Stationary Reciprocating Internal Combustion Engines (40 CFR Part 63 Subpart ZZZZ). Under the RICE Rule provisions, the compliance requirements may be triggered by replacement or reconstruction of an engine.

Definition: Stationary reciprocating internal combustion engine (RICE) means any reciprocating internal combustion engine which uses reciprocating motion to convert heat energy into mechanical work and which is not mobile. Stationary RICE differ from mobile RICE in that a stationary RICE is not a non-road engine as defined at 40 CFR 1068.30, and is not used to propel a motor vehicle or a vehicle used solely for competition.

The new engine standard requirements in the RICE Rule are triggered by reconstruction as well as a new engine purchase.

The RICE Rule applies to existing engines as described below:

1. Engines greater than 500 HP at a major source of Hazardous Air Pollutants (HAP):
    - Existing engines if constructed before December 19, 2002
    - New engines if constructed on or after December 19, 2002
    - Reconstructed engines if reconstruction began on or after December 19, 2002
2. Engines less than or equal to 500 HP at a major source of HAP and engines or all horsepower located at an area source of HAP:
    - Existing engines if constructed before June 12, 2006
    - New engines if constructed on or after June 12, 2006
    - Reconstructed engines if reconstruction began on or after June 12, 2006

EPA assumes most stationary source projects proposed under this RFP will fall under #2, above.

<u>Sufficient Justification</u>

The applicant must demonstrate that the emission reductions funded with EPA funds will be implemented prior to the effective date of any applicable requirements under the rule and/or emission reductions funded with EPA funds will not be used to satisfy any applicable requirements under the RICE Rule, but are in excess of (above and beyond) those required by the applicable mandate. In these cases sufficient justification would include a summary of the rule applicability, and an explanation of how the proposed emission reductions from the target engines are achieved prior to any compliance dates and/or in are in excess of any emission reductions required by the RICE Rule.

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In general, the requirements for existing stationary RICE located at areas sources of HAP (found in Table 2d to Subpart ZZZ of Part 63) include carbon monoxide (CO) limits, maintenance and inspection requirements, and operation limits.

RICE Rule Application Navigation Tool

EPA provides a RICE regulation navigation tool. This tool prompts users by asking questions regarding their stationary diesel engine to help uses determine how the RICE measure apply to their case. The DERA program recommends that all applicants applying for projects which include stationary engines use this tool and include the results in their applications.

RICE NESHAP Navigation Tool Site: www.epa.gov/ttn/atw/rice/output/quiz.html.

Disclaimer: The content provided in this software tool is intended solely as assistance for potential reporters to aid in assessing requirements for compliance under the RICE Rule. Any variation between the rule and the information provided in this tool is unintentional, and, in the case of such variations, the requirements of the rule govern. Use of this tool does not constitute an assessment by EPA of the applicability of the rule to any particular facility. In any particular case, EPA will make its assessment by applying the law and regulations to the specific facts of the case.

Stationary Engine Replacement/Repowers in "Remote Alaska"

Please note that §60.4211 and ZZZZ of the RICE Rule details the exceptions and provisions for stationary diesel engine in the defined "remote Alaska" areas.

Under the Rice Rule, existing Compression Ignition (CI) stationary RICE located in remote areas of Alaska are exempt from:

- the requirement to use ultra-low sulfur diesel fuel (fuel that meets requirements listed in 40 CFR 80.510(b)),
- crankcase ventilation systems requirements, and
- numerical carbon monoxide limitations.

Review a map of the Federal Aid Highway System and Railbelt grid in Alaska at: www.epa.gov/region10/pdf/air/draft_ak_map_of_road_systems.pdf.

These exempt RICE must meet the same management practices as CI RICE less than or equal to 300 HP instead.

Amendments related to remote Alaska are final:

On January 14, 2013, EPA signed final revisions to the 2010 RICE NESHAP (www.gpo.gov/fdsys/pkg/FR-2013-01-30/pdf/2013-01288.pdf) to reflect new technical information submitted by stakeholders after the 2010 standards were issued. For more information about the amendments we have prepared a fact sheet giving an overview (PDF).

For more information regarding the RICE and NESHAP rule, please visit the two following

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sites:

- www.epa.gov/ttn/atw/icengines/

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APPENDIX F

Proposal Submission Checklist

The proposal package ***must*** include all of the following materials. Use this checklist to ensure that all required materials have been included in your proposal package.

- ☐ Standard Form SF 424 – Application for Federal Assistance
- ☐ Standard Form SF 424A – Budget Information
- ☐ Project Narrative (no more than 11 pages)
  - ☐ Cover Page
  - ☐ Work Plan
    - ☐ 1. Project Summary and Overall Approach
    - ☐ 2. Results – Outcomes and Outputs
    - ☐ 3. Programmatic Priorities – Location
    - ☐ 4. Programmatic Priorities –
    - ☐ 5. Programmatic Priorities – Other
    - ☐ 6. Partnership – Non-EPA Federal Agency Renewable Resource Efforts
    - ☐ 7. Past Performance
    - ☐ 8. Staff Expertise /Qualifications
    - ☐ 9. Detailed Budget Narrative
    - ☐ 10. Expenditure of Awarded Grant Funds
    - ☐ 11. Applicant Fleet Description Information (not included in the page limit)
  - ☐ Cost-Share Commitment Letters, if applicable (not included in page limit)
  - ☐ Mandated Measures Justification and Substantiation Letter(s), if applicable (not included in page limit)
  - ☐ Optional Attachments (not included in page limit)

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