

# APPENDIX A

## Clean Transportation Incentives

Fiscal Year 2017-18  
Clean Off-Road Equipment Voucher Incentive Project (CORE)

### SOLICITATION APPLICATION

Mobile Source Control Division  
California Air Resources Board  
February 1, 2019



**CALIFORNIA**  
AIR RESOURCES BOARD

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**AQIP/LCTI APPLICATION**

Please complete all of the information requested in this application.

Project:	
Company Name/Air District/Organization Name/Individual Name:	
Business Type:	
Contact Name and Title:	
Person with Contract Signing Authority/Air Pollution Control Officer (APCO):	
Mailing Address:	
City:	State:
Zip Code:	Telephone Number:
Email Address:	Fax Number:
<input type="checkbox"/> I have read and understood the terms and conditions of the Sample Grant Agreement.	

**CERTIFICATION**

I hereby certify under penalty of perjury that all information provided in this application and any attachments are true and correct.

Printed Name of Responsible Party or APCO:	Title:
Signature of Responsible Party or APCO:	Date:

**THIRD PARTY CERTIFICATION (if applicable)**

I have completed the application, in whole or in part, on behalf of the applicant.

Printed Name of Third Party:	Title:
Signature of Third Party:	Date:
Amount Being Paid for Application Completion:	Source of Funding to Third Party:

**INSTRUCTIONS**

Return the completed form MSCD/ISB-097, AQIP/LCTI Application, according to the instructions outlined in the solicitation.

## Attachment 1: APPLICANT QUALIFICATIONS

1. Qualifications Narrative (No more than two pages) Provide an attachment describing your experience and expertise in the following categories and describe how it will enable you to efficiently and effectively implement the Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP). Include a copy of any applicable required licenses or verification documentation (for example, for a non-profit organization, copy your organization's Internal Revenue Service determination letter).
  - a. Development of similar incentive projects (such as developing tools, processes, materials, etc.).
  - b. Day-to-day implementation of similar incentive projects.
  - c. Performance of administrative tasks necessary to successfully run and oversee similar incentive projects.
  - d. Coordination with equipment purchasers and lessees, equipment manufacturers, vendors, and other stakeholders (such as outreach efforts, working with the aforementioned stakeholders, etc.).

**APPLICANT INFORMATION**

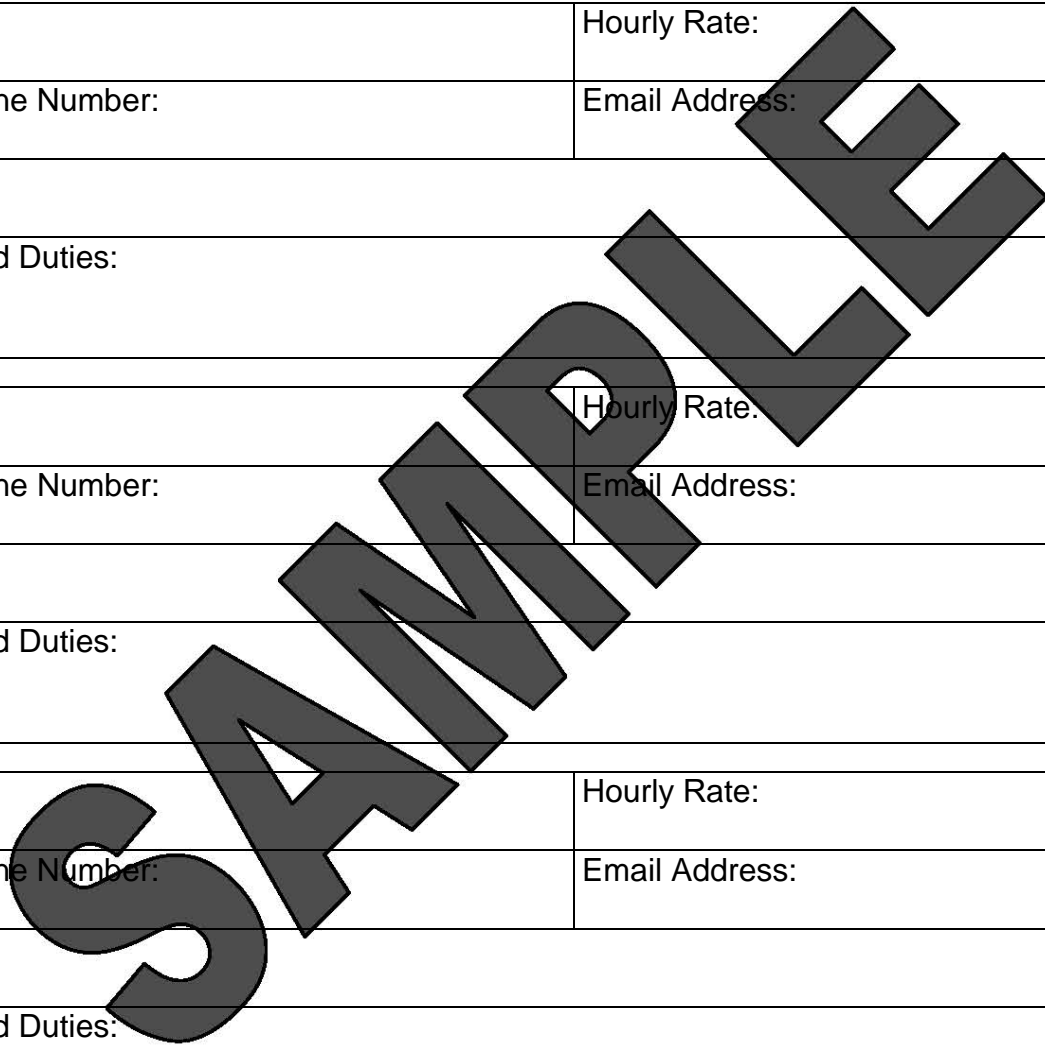
**STAFF INFORMATION**

In the space below, provide information for each staff member to be involved in developing, implementing, or administering the project/program. Clearly identify staff proposed for day-to-day project implementation. Attach resumes (personally identifiable information must not be included or must be blacked out). If a position will be filled only upon execution of the grant agreement, use "To Be Determined" as the name, and include the hourly rate and expected duties. If more space is needed, this page may be copied or recreated.

Name:	Hourly Rate:
Telephone Number:	Email Address:
Title:	
Expected Duties:	

Name:	Hourly Rate:
Telephone Number:	Email Address:
Title:	
Expected Duties:	

Name:	Hourly Rate:
Telephone Number:	Email Address:
Title:	
Expected Duties:	



**APPLICANT INFORMATION**

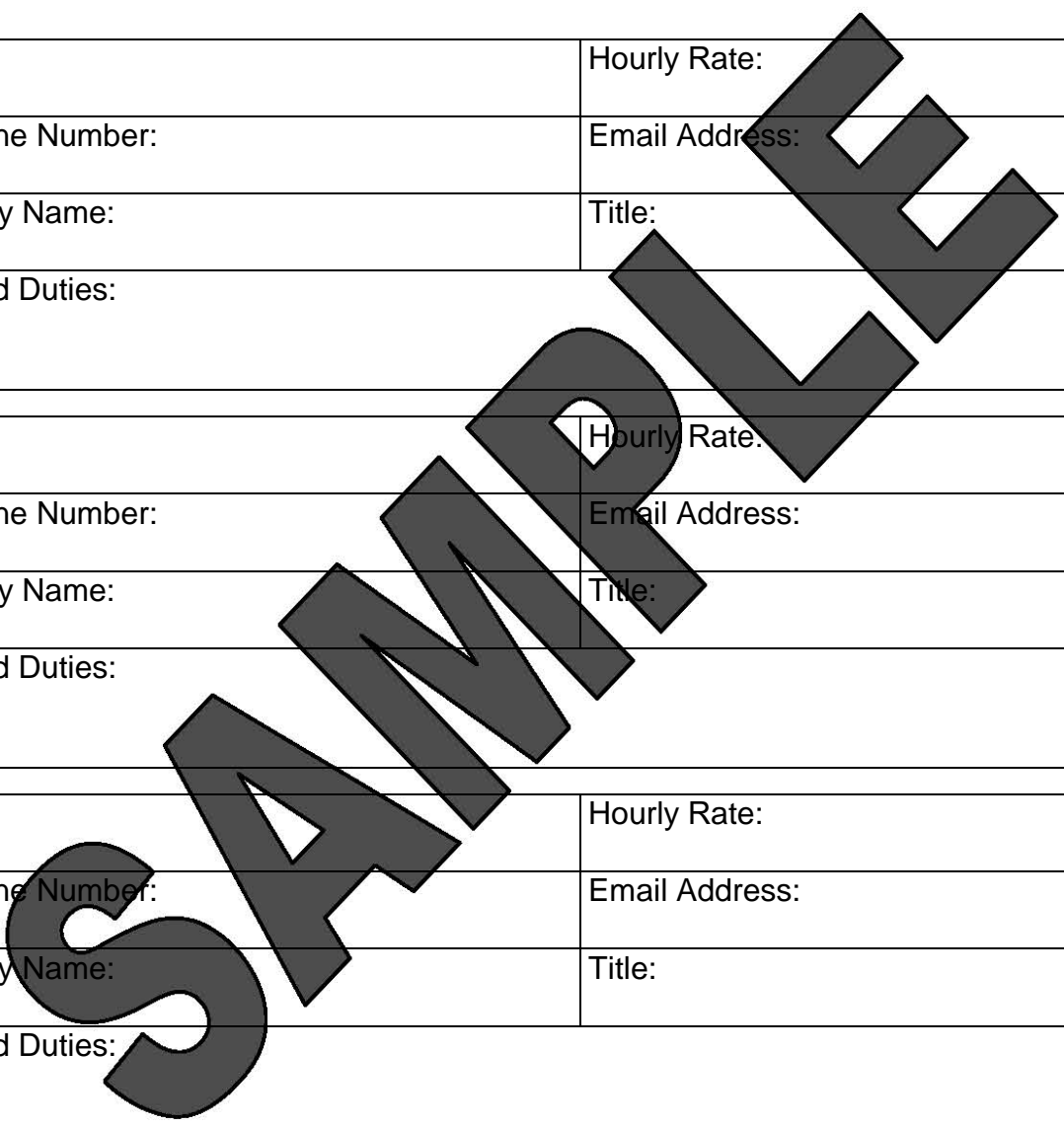
**SUBCONTRACTOR INFORMATION**

Applicants may partner or subcontract with other entities. However, responsibility for deliverables and project performance lies with the primary applicant. Subcontractors must also meet the grant agreement requirements that apply to the work they perform for their portion of the project. In the space below, provide the names and information for any and all subcontractors and partners. If more space is needed, this section may be copied or recreated. Attach qualification narratives, resumes, and letters of commitment. Each letter of commitment must describe the nature of the participant's contribution.

Name:	Hourly Rate:
Telephone Number:	Email Address:
Company Name:	Title:
Expected Duties:	

Name:	Hourly Rate:
Telephone Number:	Email Address:
Company Name:	Title:
Expected Duties:	

Name:	Hourly Rate:
Telephone Number:	Email Address:
Company Name:	Title:
Expected Duties:	



## Attachment 2: PROPOSED BUDGET

Please provide your proposed budget for completing the tasks required of the CORE Grantee, consistent with Appendix B: Implementation Manual Framework Document for the Clean Off-Road Equipment Voucher Incentive Project (CORE), Appendix C: CORE Sample Grant Agreement, your Project Implementation Plan (described in your application), and the requirements of the CORE Solicitation. Your budget must include all estimated labor and material costs associated with implementing (including developing) the project; the total project implementation funds requested; operating expenses, including rent and supplies, equipment costs, overhead, and records retention costs; and a description of any applicable commitments for in-kind contributions and match funding. The total project implementation costs CARB will reimburse to the Grantee must not exceed 7 percent of total project funding.

In-kind contributions refer to resources or services contributed by the Grantee to implement the project, but not charged to CORE. Please be as specific as possible when describing in-kind contributions (i.e., itemize staff time, infrastructure, or other costs that are being committed). In-kind contributions provided in the form of outreach efforts must be appropriate for a *statewide* voucher program. In-kind contributions committed in this application must be documented by the Grantee in the CORE Final Report (See Appendix C: Sample Grant Agreement, Section J.2.). In-kind contributions do not include services already committed to another project (such as a similar federally funded project).

Match funding refers to funds contributed by the Grantee to CORE to fund additional eligible pieces of equipment. Match funding does not include funding provided by the applicant for other similar incentive projects or programs. An applicant may propose that match funding be used to fund only pieces of equipment in a specific region (such as a county or air basin). The applicant must include a letter describing and authorizing any proposed match funding commitment as part of this application. External projects or project elements, such as a federally funded project, proposed as match must be clearly detailed and explained in the applicant proposal and be included in the proposed budget. See Appendix C: Sample Grant Agreement, Section G.3. for a more detailed description of Match Funding.

Applicants may use the following Sample Proposed Budget Template to summarize their proposed budget.

## 2-1: Sample Proposed Budget Template

(Applicant may modify this sample budget to meet their specific needs. This page may also be edited, or deleted if not used)

<u>DIRECT LABOR</u>	<u>HOURS</u>	<u>RATE</u>	<u>TOTAL</u>	<u>IN-KIND MATCH</u>
Program Manager	_____ @	_____	_____	
Staff Assistant	_____ @	_____	_____	
Technician	_____ @	_____	_____	
Clerical	_____ @	_____	_____	
			\$ _____	\$ _____
SUBCONTRACTOR(S) COST ITEMIZED			\$ _____	\$ _____
INDIRECT COSTS (OVERHEAD AND FRINGE BENEFITS)				
Overhead Rate		_____	_____	
Fringe Benefits		_____	_____	
			\$ _____	\$ _____
DIRECT COSTS (EXCEPT LABOR)				
Travel Costs			_____	
Equipment and Supplies (Itemized)			_____	
Other Direct Costs (Itemized)			_____	
			\$ _____	\$ _____
			Total	Total
TOTAL COSTS			TOTAL \$ _____	
			APPLICANT MATCH \$ _____	



### **Attachment 3: PROJECT IMPLEMENTATION PLAN**

Please provide your Project Implementation Plan for completing tasks required of the CORE Grantee, as outlined in Appendix C: Sample Grant Agreement and this solicitation. Be specific. The Project Implementation Plan should be no longer than sixteen pages and contain a clear and concise description of how tasks will be completed. Where applicable, provide examples of success in completing similar tasks. The Project Implementation Plan should address all tasks described under the Scope of Work (see Solicitation, Section VII) and any other tasks required to successfully implement CORE. The Project Implementation Plan should also include, but is not limited to, the following:

a. Project Executive Summary for Public Posting.

The Project Executive Summary must contain a summary of the proposed project and a narrative that presents a clear and concise description of project implementation, including a discussion of how tasks will be completed and project flow.

The Project Executive Summary is a self-contained document that identifies the name of the applicant, the project title, the scope and objectives of the project, a description of the project, including methods to be employed, potential benefits and outcomes, major participants, and requested program implementation funding amount. It should not include information that is not addressed in the rest of the proposal. This document must not include any proprietary or sensitive business information as it may be made available to the public. The project summary must not exceed one page when printed using standard 8.5" by 11" paper with a minimum of 1" margins (top, bottom, left, and right) with font not smaller than 11 point.

The Project Executive Summary will be publically posted on CARB's website at least ten days before CARB preliminarily selects applicants as Grantees. Please note that CARB may, at its sole discretion, modify the Project Executive Summary for Public Posting to more accurately present the required project information as it is presented in the actual project application.

b. Project Implementation Plan. Provide a plan for implementation of the project, detailing how you will accomplish all tasks within the scope of work (see Solicitation, Section VII). The Project Implementation Plan shall include:

1. Flow charts of administering processes;
2. Discussion on how you will complete the work in a timely manner and expend the grant funds by the end of the grant term of March 30, 2021;

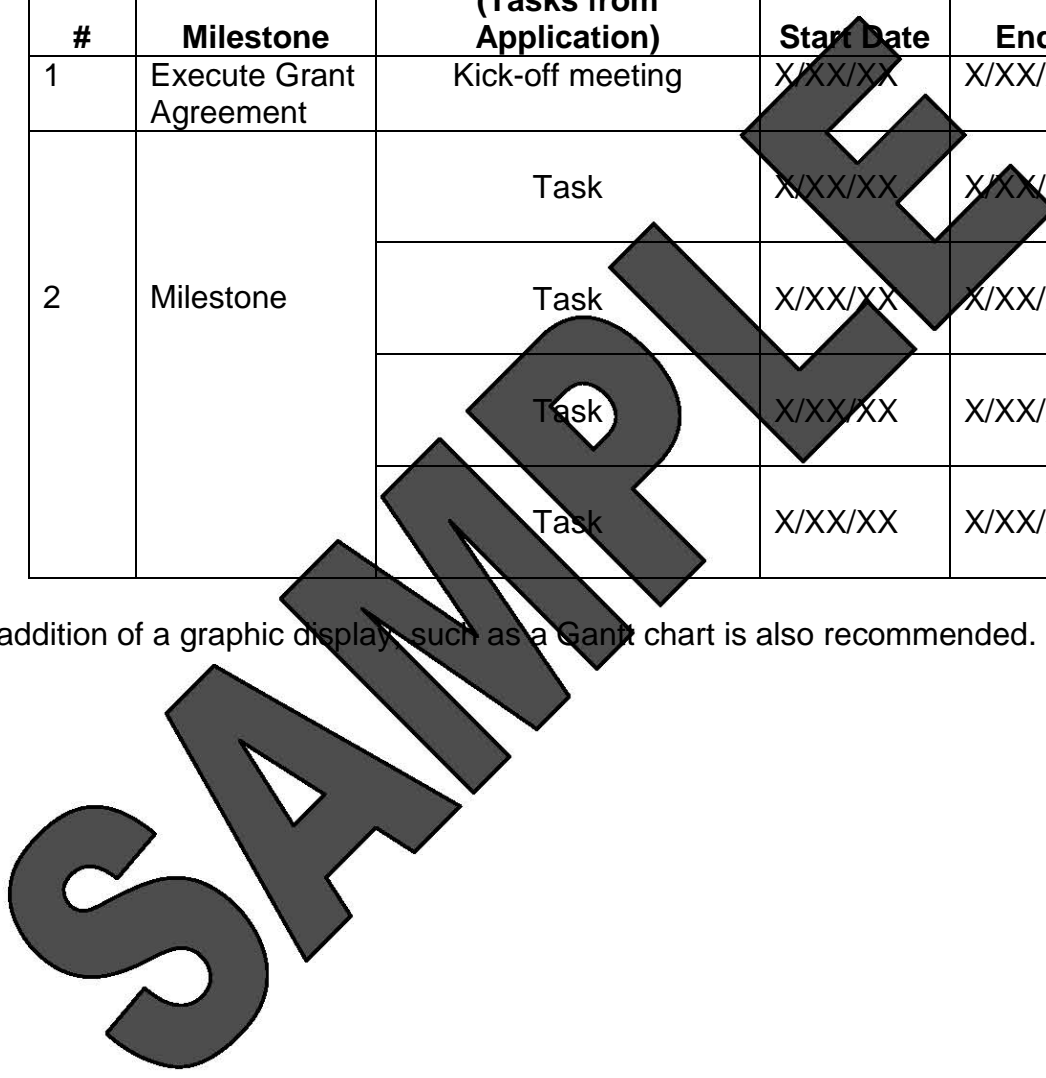
3. Description of the long-term vision or goals to sustain the program in the future;
4. Description of the proposed content and format of your quarterly reports and a final report;
5. Description of accounting procedures for tracking expenditures;
6. A Plan for records retention; and
7. A project transfer plan.

**Attachment 4: PROJECT SCHEDULE FOR IMPLEMENTATION**

Project Schedule for Implementation shall include dates for each major task, necessary subtask, and milestone by which progress can be measured from project inception through completion. A sample template of Project Milestones Schedule, from Appendix C: Sample Grant Agreement is shown below:

#	Milestone	Project Schedule (Tasks from Application)	Start Date	End Date
1	Execute Grant Agreement	Kick-off meeting	X/XX/XX	X/XX/XX
2	Milestone	Task	X/XX/XX	X/XX/XX
		Task	X/XX/XX	X/XX/XX
		Task	X/XX/XX	X/XX/XX
		Task	X/XX/XX	X/XX/XX

The addition of a graphic display, such as a Gantt chart is also recommended.



## **Attachment 5: APPLICANT RESOURCES TO IMPLEMENT THE PROJECT**

Resources Narrative: Identify staff, funding, community partnerships, collaborative relationships, and leveraged resources you have available to effectively and efficiently implement the program. This narrative should not exceed two pages.

## **Attachment 6: OUTREACH AND EDUCATION PLAN**

Describe your approach for planning and executing public outreach and education. Key stakeholders, such as dealers, public fleets, small fleets, school districts, community groups, and/or equipment rental firms, should be identified within your plan. The Outreach and Education Plan should also emphasize disadvantaged community and environmental justice outreach and provide a clear goal and pathway to engage with these communities. Metrics and reporting on performed outreach should also be part of the Outreach and Education Plan.

The Outreach and Education Plan should also emphasize what public engagement is planned for the task of developing and finalizing the Implementation Manual (see Solicitation, Section VII.C., Scope of Work).

## Attachment 7: RESPONSES TO ADDITIONAL QUESTIONS

Please respond to the following:

1. Describe how you plan to encourage and ensure high response rates to the annual equipment user survey/questionnaire that equipment operators are required to submit to the Grantee.
2. Identify the methods you plan to use to ensure voucher amounts (considering factors, such as baseline cost estimates of equipment, incremental costs, voucher enhancement costs, etc.) are accurate and truly reflective of real costs?
3. Discuss the means by which you propose to validate the data received from the telematics that equipment manufacturers are required to report.
4. Detail the metrics of success you would use to show progress towards commercialization for each equipment type eligible under CORE.
5. Describe the plan for and the ability to target outreach in areas that are classified as extreme non-attainment of the federal 8-hour ozone standard (i.e., the South Coast and San Joaquin Valley Air Basins), disadvantaged communities, and low-income communities, as defined by CalEnviroScreen 3.0<sup>1</sup>.

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<sup>1</sup> The CalEnviroScreen 3.0 mapping tool is available at <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>

## **Attachment 8: CONFLICT OF INTEREST DECLARATION**

All applicants must disclose any Conflict of Interest that could perceivably impact their ability to fulfill the duties of the CORE Grantee. Summarize your organization's or any subcontractor's (as identified in Attachment 1 of this application) current, ongoing, or pending direct or indirect interests, which pose an actual, apparent, or potential conflict of interest with your ability to fulfill the duties of the CORE Grantee. These may include, but are not limited to, financial arrangements with or interest in zero-emission and plug-in hybrid equipment manufacturers, dealers, fleets, or related organizations. CARB may consider the nature and extent of any potential or apparent conflict of interest in evaluating, considering, or scoring the application and may disqualify the applicant at CARB's sole discretion.

**Attachment 9: CONFIDENTIALITY STATEMENT**

Note: Submission of the Confidentiality Statement is required. Failure to comply and return this attachment will cause your grant application to be rejected and deemed non-responsive.

Confidentiality Statement:

*As an authorized representative and/or officer of the organization named below, I warrant my organization and its employees will not disclose any documents, diagrams, information and information storage media made available to us by the State for the purpose of responding to the Clean Off-Road Equipment Voucher Incentive Project Solicitation or in conjunction with any agreement arising there from without the expressed written permission from the State, except when required by law or legal process. I warrant that only those employees who are authorized and required to use such materials will have access to them.*

*I further warrant that all materials provided by the State will be returned promptly after use and that all copies or derivations of the materials will be physically and/or electronically destroyed. I will include with the returned materials, a letter attesting to the complete return of materials, and documenting the destruction of copies and derivations. Failure to so comply will subject this organization to liability, including all damages to the State and third parties. I authorize the State to inspect and verify the above.*

*I warrant that if my organization is awarded, it will not enter into any agreements or discussions with a third party (sub-grantees) concerning such materials prior to receiving written confirmation from the State that such third party has an agreement with the State similar in nature to this one.*

\_\_\_\_\_  
Signature of Responsible Party

\_\_\_\_\_  
Date

\_\_\_\_\_  
Typed Name of Responsible Party

\_\_\_\_\_  
Typed Name of Organization



**Attachment 10: CONFIDENTIALITY AGREEMENT:**

**Submission of this attachment is required. Failure to comply and return this attachment will cause your grant application to be rejected and deemed non-responsive.** Each applicant's proposed staff must read, agree, sign, date and submit this completed form (attach additional copies as needed).

**The undersigned agrees to:**

1. Observe complete confidentiality with respect to California Air Resources Board (CARB) information, including without limitation, agreeing not to disclose or otherwise permit access to such information or data developed or collected pursuant to the Clean Off-Road Equipment Voucher Incentive Project by any person or entity in any manner unless such disclosure is required by law or legal process.
2. Acknowledge the confidential nature of such information or data developed or collected pursuant to the Project and ensure by agreement or otherwise that they are prohibited from copying or revealing, for any purpose whatsoever, the contents of such information or any part thereof, or from taking any action otherwise prohibited under this section.
3. Not use such information or data developed or collected pursuant to the Clean Off-Road Equipment Voucher Incentive Project or any part thereof in the performance of services to others or for the benefit of others in any form whatsoever whether gratuitously or for valuable consideration, except as permitted under this agreement.
4. Notify State promptly and in writing of the circumstances surrounding any possession, use or knowledge of such information or data developed or collected pursuant to the Clean Off-Road Equipment Voucher Incentive Project or any part thereof, by any person other than those authorized by this document.
5. Adhere to all CARB confidentiality, disclosure, and privacy policies.
6. Treat all information, data, deliverables, and work products developed or collected pursuant to the Clean Off-Road Equipment Voucher Incentive Project as confidential. All information, deliverables, and work products cannot be disclosed in any form to any third party without CARB's written consent except when required by law or legal process.
7. Not use, without CARB written approval, any CARB materials for any purpose other than performing the agreed upon services.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Clean Off-Road Equipment Voucher Incentive  
Project Title

**Attachment 11: STD. 204 PAYEE DATA RECORD**

Please fill out and submit as a part of this application the STD. 204 Payee Data Record:

<http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>