

# Emissions Reduction Incentive Grant Supplemental Activity Application Form Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment

TCEQ-10430d  
Version 12.01



Applications will be considered void if language is altered.  
The completed form should be attached to the Project Application Form TCEQ-10430.  
This application form is only valid for the application period ending November 30, 2012, or subsequent end date if the application period is extended.

## **Application Deadline:**

ERIG applications will be accepted until 5 p.m. Central Time on November 30, 2012, unless extended to a later date by the TCEQ.

Texas Commission on Environmental Quality  
Air Quality Division  
Implementation Grants Section (Incentive Grants), MC-204  
P.O. Box 13087  
Austin, TX 78711-3087

<http://www.terpgrants.org>



## Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment

### Form 1 - General Information

Attach this form to the Project Application Form TCEQ-10430

**1. Emission source**

<b>Mark with an X below the retrofits/add-on devices emissions source for this application. (Only one source allowed.)</b>	
On-Road Heavy Duty Vehicles:	
Non-Road Heavy Duty Equipment:	
Marine Vessels:	
Locomotives:	
Stationary Equipment:	

**2. Has the purchase already been completed?** (Mark the appropriate box with an X.)

Yes:		No:	
Date of purchase:			
Expected # of months to complete the purchase:			

**3. Has this activity been included in a previous application to TCEQ?** (Mark the appropriate box with an X.)

Yes:		No:	
If the box above was marked yes, then please explain and include the date:			

**4. Certification of Ownership**

By signing the application Signature Page, the applicant certifies that the applicant is the current owner of the vehicle or equipment being repowered. Ownership does not include leases.
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**Locomotive only**

**5. What will be the primary use of the locomotive?** (Mark the appropriate box with an X. Refer to the instructions in the RFGA for details on the options.)

Switchyard, Short Haul, etc.:		Industrial Rail – Limited use by an industrial or commercial entity. (see instructions in the RFGA for detailed definition):	
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**6. Does the locomotive being replaced have a start stop device?** (Mark the appropriate box with an X)

Yes:		No:	
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**7. The locomotive is what type?** (Mark the appropriate box with an X.)

Genset/Hybrid:		Regular One Engine Switcher:	
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**8. Briefly explain the use of the locomotive below to verify the category marked in Item 5. above.**

**Non-Road Heavy-Duty Equipment Only**

**9. Is the non-road equipment used for natural gas recovery purposes AND the applicant chooses not to commit to operate the equipment at least 75% of the annual use in the areas designated in the application?** (Mark the appropriate box with an X.)

Note: Non-Road equipment used for natural gas recovery purposes, attach the Supplemental 2: Non-Road Heavy-Duty Equipment Used for Gas Recovery Purposes.

Yes:		No:	
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**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 2.1**

Description	Activity Number:				
Vehicle/Equipment Description:					
Vehicle/Equipment Make:					
Vehicle/Equipment Model or Model Number:					
Vehicle/Equipment Year:					
Vehicle/Equipment Identification Number:					
Gross Vehicle Weight Rating: (On-Road only)					
Engine Make:					
Engine Model or Model Number:					
Engine Identification Number:					
Engine Year:					
Engine Horsepower:					
Fuel Type:					
Engine Family Code: (12-digit emissions code)					
Certified NOx Emissions: (g/bhp-hr)					

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 2.2**

Description	Activity Number:				
Vehicle/Equipment Description:					
Vehicle/Equipment Make:					
Vehicle/Equipment Model or Model Number:					
Vehicle/Equipment Year:					
Vehicle/Equipment Identification Number:					
Gross Vehicle Weight Rating: (On-Road only)					
Engine Make:					
Engine Model or Model Number:					
Engine Identification Number:					
Engine Year:					
Engine Horsepower:					
Fuel Type:					
Engine Family Code: (12-digit emissions code)					
Certified NOx Emissions: (g/bhp-hr)					

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 2.3**

Description	Activity Number:				
Vehicle/Equipment Description:					
Vehicle/Equipment Make:					
Vehicle/Equipment Model or Model Number:					
Vehicle/Equipment Year:					
Vehicle/Equipment Identification Number:					
Gross Vehicle Weight Rating: (On-Road only)					
Engine Make:					
Engine Model or Model Number:					
Engine Identification Number:					
Engine Year:					
Engine Horsepower:					
Fuel Type:					
Engine Family Code: (12-digit emissions code)					
Certified NOx Emissions: (g/bhp-hr)					

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 2.4**

Description	Activity Number:				
Vehicle/Equipment Description:					
Vehicle/Equipment Make:					
Vehicle/Equipment Model or Model Number:					
Vehicle/Equipment Year:					
Vehicle/Equipment Identification Number:					
Gross Vehicle Weight Rating: (On-Road only)					
Engine Make:					
Engine Model or Model Number:					
Engine Identification Number:					
Engine Year:					
Engine Horsepower:					
Fuel Type:					
Engine Family Code: (12-digit emissions code)					
Certified NOx Emissions: (g/bhp-hr)					

## Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment

### Retrofit/Add-On Technology Information

#### Form 3

1. Are you using the same Retrofit/Add-On Technology for all the activities? (Mark the appropriate box with an X.)

Yes:

No:

If No, duplicate this form for each activity that has a different type of Retrofit/Add-On Technology. List which activities below that are using of the different types Retrofit/Add-On Technology.

**2. Describe Below the Retrofit/Add-On Technology:**

**3. Manufacturer:**

**4. Kit Number, or Other Identifying Information:**

5. Will the engine(s) be rebuilt in conjunction with the retrofit and add-on? (Mark the appropriate box with an X.)

Yes:

No:

**6. Fuel type after retrofit (If dual fuel or multi fuel, list each type):**

**7. Emissions reduction: (Provide one of the following below.)**

Verified percentage reduction in NOx emissions (%):

Verified NOx emissions after the retrofit or add-on (g/bhp-hr):

**8. Certification/verification of the retrofit or add-on technology? (Mark the appropriate box with an X.)**

EPA certification/verification:

CARB certification/verification:

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Retrofit/Add-On Technology Financial Data**

**Form 4.1**

**1. Incremental Cost / Cost to Applicant Calculation**

(Refer to section 1.5 of the RFGA for explanations of incremental cost and global positioning system under Eligible Cost)

Description	Activity Number:				
Capital Cost - Retrofit System (A):					
Capital Cost - Additional Equipment (B):					
Capital Cost - Installation (C):					
Capital Cost - Misc. Supplies (D):					
Global Positioning System (E):					
Other Financial Incentives and Tax Credits (F):					
Incremental Cost / Cost to Applicant (G): (A + B + C + D + E - F = G)					

**2. Maximum Grant Amount Calculation**

(Refer to RFGA for explanation of maximum grant amount calculation, Section 1.5, Maximum Eligible Grant Amount)

Description	Activity Number:				
Incremental Cost / Cost to Applicant (G):					
Enter the maximum % (H):					
Maximum Eligible Grant Amount (I): (G x H = I)					
Grant Amount Requested for This Activity:					

**3. Other Financial Incentives and Tax Credits**

Explain any other financial assistance to be used for the purchase or lease, such as tax credits or deductions, other grants, or any other public financial assistance. This does not include the amount you finance through a bank or other third-party to purchase the equipment.	
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**4. Procurement Process**

Explain the process used (or to be used) to select the installer and the retrofit system. One (1) bid or quote is required to be attached to this grant application.	
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**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Retrofit/Add-On Technology Financial Data**

**Form 4.2**

**1. Incremental Cost / Cost to Applicant Calculation**

(Refer to section 1.5 of the RFGA for explanations of incremental cost and global positioning system under Eligible Cost)

Description	Activity Number:				
Capital Cost - Retrofit System (A):					
Capital Cost - Additional Equipment (B):					
Capital Cost - Installation (C):					
Capital Cost - Misc. Supplies (D):					
Global Positioning System (E):					
Other Financial Incentives and Tax Credits (F):					
Incremental Cost / Cost to Applicant (G): (A + B + C + D + E - F = G)					

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(Refer to RFGA for explanation of maximum grant amount calculation, Section 1.5, Maximum Eligible Grant Amount)

Description	Activity Number:				
Incremental Cost / Cost to Applicant (G):					
Enter the maximum % (H):					
Maximum Eligible Grant Amount (I): (G x H = I)					
Grant Amount Requested for This Activity:					

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**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Retrofit/Add-On Technology Financial Data**

**Form 4.3**

**1. Incremental Cost / Cost to Applicant Calculation**

(Refer to section 1.5 of the RFGA for explanations of incremental cost and global positioning system under Eligible Cost)

Description	Activity Number:				
Capital Cost - Retrofit System (A):					
Capital Cost - Additional Equipment (B):					
Capital Cost - Installation (C):					
Capital Cost - Misc. Supplies (D):					
Global Positioning System (E):					
Other Financial Incentives and Tax Credits (F):					
Incremental Cost / Cost to Applicant (G): (A + B + C + D + E - F = G)					

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(Refer to RFGA for explanation of maximum grant amount calculation, Section 1.5, Maximum Eligible Grant Amount)

Description	Activity Number:				
Incremental Cost / Cost to Applicant (G):					
Enter the maximum % (H):					
Maximum Eligible Grant Amount (I): (G x H = I)					
Grant Amount Requested for This Activity:					

**3. Other Financial Incentives and Tax Credits**

<p>Explain any other financial assistance to be used for the purchase or lease, such as tax credits or deductions, other grants, or any other public financial assistance. This does not include the amount you finance through a bank or other third-party to purchase the equipment.</p>	
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**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Retrofit/Add-On Technology Financial Data**

**Form 4.4**

**1. Incremental Cost / Cost to Applicant Calculation**

(Refer to section 1.5 of the RFGA for explanations of incremental cost and global positioning system under Eligible Cost)

Description	Activity Number:				
Capital Cost - Retrofit System (A):					
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Capital Cost - Installation (C):					
Capital Cost - Misc. Supplies (D):					
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Other Financial Incentives and Tax Credits (F):					
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(Refer to RFGA for explanation of maximum grant amount calculation, Section 1.5, Maximum Eligible Grant Amount)

Description	Activity Number:				
Incremental Cost / Cost to Applicant (G):					
Enter the maximum % (H):					
Maximum Eligible Grant Amount (I): (G x H = I)					
Grant Amount Requested for This Activity:					

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Explain any other financial assistance to be used for the purchase or lease, such as tax credits or deductions, other grants, or any other public financial assistance. This does not include the amount you finance through a bank or other third-party to purchase the equipment.	
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Explain the process used (or to be used) to select the installer and the retrofit system. One (1) bid or quote is required to be attached to this grant application.	
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**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 5.1**

**Activity Life and Area**

Description	Activity Number:				
<b>Designated Activity Life:</b>					
<b>% of Annual Usage Austin Area:</b> (Bastrop, Caldwell, Hays, Travis, and Williamson Counties)					
<b>% of Annual Usage Beaumont-Port Arthur Area:</b> (Hardin, Jefferson, and Orange Counties)					
<b>% of Annual Usage Corpus Christi Area:</b> (Nueces and San Patricio Counties)					
<b>% of Annual Usage Dallas-Fort Worth Area:</b> (Collin, Dallas, Denton, Ellis, Hood, Johnson, Kaufman, Parker, Rockwall, Tarrant, and Wise Counties)					
<b>% of Annual Usage Houston-Galveston-Brazoria Area:</b> (Brazoria, Chambers, Fort Bend, Galveston, Harris, Liberty, Montgomery, and Waller Counties)					
<b>% of Annual Usage San Antonio Area:</b> (Bexar, Comal, Guadalupe, and Wilson Counties)					
<b>% of Annual Usage Tyler-Longview Area:</b> (Gregg, Harrison, Rusk, Smith, and Upshur Counties)					
<b>% of Annual Usage • Victoria Area:</b> (Victoria County)					
<b>% of Annual Usage Spent on Designated Highways and Roadways:</b> (On-Road Only)					

**Travel Description:** Please describe your typical route, including the following: a) Daily, weekly or monthly trips; b) Cities traveled between; and c) Highways traveled. This information must match the percentage and areas marked on Form 5.1

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 5.2**

**Activity Life and Area**

Description	Activity Number:				
<b>Designated Activity Life:</b>					
<b>% of Annual Usage Austin Area:</b> (Bastrop, Caldwell, Hays, Travis, and Williamson Counties)					
<b>% of Annual Usage Beaumont-Port Arthur Area:</b> (Hardin, Jefferson, and Orange Counties)					
<b>% of Annual Usage Corpus Christi Area:</b> (Nueces and San Patricio Counties)					
<b>% of Annual Usage Dallas-Fort Worth Area:</b> (Collin, Dallas, Denton, Ellis, Hood, Johnson, Kaufman, Parker, Rockwall, Tarrant, and Wise Counties)					
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<b>% of Annual Usage Tyler-Longview Area:</b> (Gregg, Harrison, Rusk, Smith, and Upshur Counties)					
<b>% of Annual Usage • Victoria Area:</b> (Victoria County)					
<b>% of Annual Usage Spent on Designated Highways and Roadways:</b> (On-Road Only)					

**Travel Description:** Please describe your typical route, including the following: a) Daily, weekly or monthly trips; b) Cities traveled between; and c) Highways traveled. This information must match the percentage and areas marked on Form 5.2.

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 5.3**

**Activity Life and Area**

Description	Activity Number:				
<b>Designated Activity Life:</b>					
<b>% of Annual Usage Austin Area:</b> (Bastrop, Caldwell, Hays, Travis, and Williamson Counties)					
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<b>% of Annual Usage San Antonio Area:</b> (Bexar, Comal, Guadalupe, and Wilson Counties)					
<b>% of Annual Usage Tyler-Longview Area:</b> (Gregg, Harrison, Rusk, Smith, and Upshur Counties)					
<b>% of Annual Usage • Victoria Area:</b> (Victoria County)					
<b>% of Annual Usage Spent on Designated Highways and Roadways:</b> (On-Road Only)					

**Travel Description:** Please describe your typical route, including the following: a) Daily, weekly or monthly trips; b) Cities traveled between; and c) Highways traveled. This information must match the percentage and areas marked on Form 5.3.

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 5.4**

**Activity Life and Area**

Description	Activity Number:				
<b>Designated Activity Life:</b>					
<b>% of Annual Usage Austin Area:</b> (Bastrop, Caldwell, Hays, Travis, and Williamson Counties)					
<b>% of Annual Usage Beaumont-Port Arthur Area:</b> (Hardin, Jefferson, and Orange Counties)					
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<b>% of Annual Usage • Victoria Area:</b> (Victoria County)					
<b>% of Annual Usage Spent on Designated Highways and Roadways:</b> (On-Road Only)					

**Travel Description:** Please describe your typical route, including the following: a) Daily, weekly or monthly trips; b) Cities traveled between; and c) Highways traveled. This information must match the percentage and areas marked on Form 5.4.

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 6**

**Usage**

**1. Usage Commitment Option - List either Option 1 or Option 2 as described in section 1.11 of the RFGA:**  
 (By selecting Option 2, the applicant will be required to install GPS on the Vehicle/Equipment unless this requirement is waived by the TCEQ)

**2. If the TCEQ does not waive the GPS requirements, would the applicant like to use the Option 1 defaults?**  
 (Mark the box to the right Yes or No)

**3. Annual Usage** Is the annual usage listed below in miles, gallons, or hours?


**List the annual usage for each activity**

Description	Activity Number:									
Annual Usage:										

**List the annual usage for each activity**

Description	Activity Number:									
Annual Usage:										

**List the annual usage for each activity**

Description	Activity Number:									
Annual Usage:										

**List the annual usage for each activity**

Description	Activity Number:									
Annual Usage:										

**Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**Vehicle/Equipment Information**

**Form 7**

**Option 2 Usage Rates Justification**

Explain below in detail how you arrived at the proposed usage rate. Provide documentation as outlined in section 1.11 of the RFGA used to justify the usage for the Option 2. If you have chosen option 1 (default values) for your usage commitment, you do not need to complete this form.

**Explanation:**

Large empty light blue box for providing the explanation.

## **Retrofit/Add-On Technology of Heavy Duty Vehicles and Equipment**

**This page should be used as a checklist before grant application submission.**

**Below is a list of all the pages that require a signature. ALL forms must include original signatures in all signature blocks and should be signed in BLUE ink. No photocopies, faxes, scanned copies, or other copies of required signatures will be accepted. If a signature page is missing or has been altered, the application will not be accepted.**

### **SIGNATURE PAGES**

Signature Page (Authorized Official); Child Support Certification (Authorized Official); W-9 Form (Authorized Official)

### **The following documentation, if applicable, is required with the application**

- 1.** If the retrofit/add-on kit has not yet been purchased, submit one (1) written bid/quote for the purchase. If the final quote has not yet been obtained, provide any preliminary quotes or other information to verify the estimated cost of the retrofit or add-on.
- 2.** If the retrofit or add-on kit or technology has already been purchased, provide the invoice showing the price paid.
- 3.** Attach the EPA or CARB certification form for the retrofit or add-on technology (if available) or remanufacture value of the engine being replaced.
- 4.** A copy of the applicant's current vehicle registration renewal receipt to verify the registration information, ownership, and vehicle weight category.

### **ADDITIONAL FORMS TO INCLUDE**

W-9 Form (Request for Taxpayer Identification Number and Certification Form)

Waiver Request (if applicable)

Photocopy of state or federal issued identification card (if applicant is an individual or sole proprietor)

Supplemental Form 1: Stationary Equipment (if applicable)

Supplemental Form 2: Non-Road Heavy-Duty Equipment Used for Gas Recovery Purposes