

SEAPORT AND RAIL YARD AREAS EMISSIONS REDUCTION (SPRY) PROGRAM

TCEQ-20556 Application Instructions

PURPOSE

These are instructions for completing and submitting a Seaport and Rail Yard Areas Emissions Reduction Program application. Please call us at 800-919-TERP (8377) for help interpreting these instructions.

Estas son las instrucciones para completar y enviar una aplicación de subvención para el Programa de Reducción de Emisiones de Puertos Marítimos y Patios Ferroviarios (SPRY por sus siglas en Inglés). Para obtener ayuda con la interpretación de estas instrucciones, comuníquese al 800-919-TERP (8377).

Upon submission, all applications become the property of the state of Texas and as such become subject to public disclosure under the Texas Public Information Act (PIA), Texas Government Code, Chapter 552.

1.0 APPLICATION DOCUMENTS AND TOOLS

To get started with the application, review the following application documents and tools on the TERP website at www.terpgrants.org.

1. SPRY Request for Grant Applications (RFGA)
2. SPRY Guidelines
3. TCEQ-20556 Application Form
4. SPRY Maximum Grant Amount Table Instructions
5. SPRY Maximum Grant Amount Tables

2.0 IMPORTANT NOTE TO ALL APPLICANTS

TIP: Adobe Acrobat JavaScript must be enabled in Adobe Reader in order to use this SPRY application. To enable Adobe JavaScript, open Adobe Reader, and navigate to “Edits”, “Preferences”, “JavaScript”, and select “Enable Acrobat JavaScript”.

1. A **maximum of ten activities** may be submitted per grant application. An activity is the individual replacement or repower of a piece of equipment.
2. Applications must have typed, electronic, or wet ink signatures where required to avoid being ineligible for a grant.

TIP: The term “equipment” refers to both the eligible emission sources: on-road heavy duty vehicles and non-road equipment.

3.0 HOW TO APPLY

1. Review the eligibility requirements outlined in the RFGA and Guidelines.

2. Estimate your eligible grant amount using the SPRY Maximum Eligible Grant Amount Tables which can be viewed or downloaded from www.terpgrants.org to your computer.
3. Download and complete one copy of the TCEQ-20556 Application using the instructions outlined in Section 4.0 below.
4. Assemble one set of required application attachments using the checklist provided at the end of the TCEQ-20556 Application.
5. The Authorized Official should sign the TCEQ-20556 Application where indicated. Use the checklist provided at the end of the application to ensure that you have not missed any signature pages.
6. Submit one signed copy of the TCEQ-20556 Application and one set of required attachments by the application deadline to TERPapply@tceq.texas.gov or to one of the addresses below:

Regular Mail:

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

Express Mail:

Texas Commission on Environmental Quality
Air Grants Division
(SPRY), MC-204
12100 Park 35 Circle
Austin, TX 78753

TIP: If submitting the application by mail please print single sided. Save your staples, clips, folders, and binders. Use a paper clip to secure the application packet.

4.0 HOW TO COMPLETE AN APPLICATION FORM

FORM 1 – APPLICANT INFORMATION

Section 1 – Applicant Legal Name

The legal name of the applicant should be the name of the person or entity applying for a grant. The name that appears in Section 1 will be used for contracting purposes. The name entered into Section 1 should:

- match the name listed on the IRS W-9 form;
- match the name of the owner listed on the vehicle title;
- correspond with the business information listed in Section 2 below; and
- should be the intended owner of the grant-funded vehicles.

Section 2 – Business Information

Ownership Code (Applicant Type): Use the descriptions below to identify the applicant type. Select the applicable applicant type from the drop-down list.

- **Individual:** A person not owning a business. The applicant must provide a Social Security Number (SSN).
- **Sole Proprietor:** A person operating as a business that has not been incorporated. The applicant may be registered under an assumed name (commonly referred to as a DBA). The applicant must provide a SSN or Federal Employer Identification Number (FEIN) registered with the Texas Secretary of State (SOS).
- **Partnership:** A legal relationship that exists between two or more persons or other legal entities contractually associated as a business. The applicant must provide an FEIN registered with the Texas SOS.
- **Limited Partnership:** Partnership formed by two or more persons and having one or more general partners and one or more limited partners. The applicant must provide an FEIN registered with the Texas SOS.
- **Texas Corporation:** A profit or non-profit corporation chartered by the State of Texas. The applicant must provide an FEIN registered with the Texas SOS.
- **Professional Association:** An entity that provides a professional service requiring a state license, such as medical doctors and related professional organizations. The applicant must provide an FEIN registered with the Texas SOS.
- **Professional Corporation:** An entity that provides a professional service requiring a state license, other than those related to the practice of medicine. The applicant must provide an FEIN registered with the Texas SOS.
- **Out-of-State Corporation:** A profit or non-profit Corporation chartered by a governmental entity outside the state of Texas, with the right to transact business in the state of Texas. The applicant must have an 11-digit Texas Taxpayer Number active with the Texas Comptroller's Office and a Texas SOS File Number. The applicant must provide an FEIN.
- **State Agency/University:** Any Texas state agency or institution of higher education created by the Texas Legislature. The applicant must provide an FEIN. Does not include federal agencies or state agencies of other states.
- **Governmental Entity:** Any county or legal government agency not created by the Texas Legislature, such as city governments and federal agencies. Does not include Texas state agencies or institutions of higher education. The applicant must provide an FEIN.
- **Other:** Organizations not defined within one of the other ownership types; such as estates, or informal organizations not chartered by the Texas Secretary of State. The applicant must provide an FEIN.

Payee Identification Number (PIN) – Provide one of the numbers requested.

- **SSN:** If applying as an individual or sole proprietor, enter the applicant's Social Security Number (SSN).
- **FEIN:** If applying as a company or other entity, enter the FEIN.

Section 3 – Authorized Official

The Authorized Official is the applicant, or an employee of the applicant authorized to sign for or speak on behalf of the entity. Provide the name, title, address, phone number, and email address of the Authorized Official. If different, provide both the mailing and physical address.

Section 4 – Designated Project Representative

The Designated Project Representative is the applicant or an employee of the applicant who will serve as the point of contact for this application. This person may not be a consultant, dealer, or subcontractor. Provide the name, title, address, phone number, and email address of the Designated Project Representative. If different, provide both the mailing and physical address.

If the Authorized Official and Designated Project Representative are the same, mark the box with an “X” and continue to Section 5.

TIP: We must have an email address for the Authorized Official and the Designated Project Representative.

Section 5 – Designated Location for Records Access

Provide the physical address where the records for the grant-funded equipment will be kept.

FORM 2 – THIRD-PARTY PREPARER SIGNATURE PAGE

Was the application prepared by a Third-Party Preparer? Mark Yes or No.

A Third-Party Preparer is someone who is assisting the applicant in the preparation of a grant application. A third-party may include consultants, dealers, or anyone who is not related to or a current employee of the applicant.

If YES is marked, the third-party preparer must complete and sign this form. The third-party preparer may enter their name by typing it in or by signing it electronically. **If signing electronically, do so after the entire application is completed. If not, the applicant may lose the ability to edit the application.**

TIP: It is the applicant’s responsibility to ensure that the information listed in the application is true and accurate.

FORM 3 – PROGRAM CERTIFICATIONS

Read the entire form. By signing the application form, the Authorized Official is indicating that they understand and agree to the program certifications. Include all pages when submitting the application.

FORM 4 – CERTIFICATION OF ELIGIBILITY TO RECEIVE A STATE-FUNDED GRANT

All individuals or business entities, including sole proprietors, must complete this form even if child support obligations do not apply to the applicant. Mark the option that applies to your applicant type.

- If box 1 is checked, you must provide the individual’s name and SSN.

- If box 2 is checked, you must provide the individual(s)' names and SSNs that own 25% or more of the business.
- If box 3 or 4 is checked, you do not need to provide your name and SSN.

The Authorized Official must provide their initials and date the form. This can be done either by typing them in, providing them electronically, or by providing original initials. **If providing electronic initials, make sure you do so after the entire application is completed. If not, the applicant may lose the ability to edit the application.**

FORM 5 – EQUIPMENT INFORMATION

Enter the following information for the equipment being replaced and the new equipment.

Activity Number: Enter the activity number located at the top of the page.

For applications with more than one activity, click the “plus” sign in the top right corner of the form to add additional pages before completing the form.

Section 1 – Old Equipment Information

Enter the following information for the old equipment.

Equipment Type: Enter the type of equipment (e.g., haul truck, forklift, container handling equipment).

Emission Source: Enter either on-road or non-road equipment. Only enter on-road if going from a haul truck to a haul truck operating in an on-road capacity. For all other emission sources enter non-road.

Equipment Identification Number: Indicate the identification number, either the full equipment ID or the last four digits of the VIN number, for the equipment.

Equipment Model Year: Enter the model year for the equipment.

Equipment Make: Enter the name of the equipment manufacturer. For on-road equipment, the make should match what is listed on the title.

Equipment Model: Enter the equipment model assigned by the manufacturer.

Gross Vehicle Weight Rating (GVWR): *(On-Road equipment only)* Enter the GVWR. The GVWR is the total allowable or recommended vehicle weight, including the loaded weight of the vehicle, driver, passengers, and cargo and should match the GVWR on the registration records.

If the vehicle is normally operated in combination with a trailer, such as an 18-wheel semi-tractor and trailer rig, enter the Gross Combined Weight Rating (GCWR) of both the vehicle and trailer. The GCWR entered must match the gross combined weight authorized by the vehicle registration.

Engine Model Year: Enter the calendar year that the engine was manufactured.

Engine Make: Enter the name of the engine manufacturer.

Engine Identification Number/Serial Number: Enter the complete engine identification number listed on the engine block, if known.

Engine Model: Enter the engine model assigned by the manufacturer.

Engine Horsepower Rating (Non-road equipment only) Enter the gross horsepower rating for the equipment expressed in g/bhp/hr.

Fuel Type: Select the fuel type from the drop-down menu.

Engine Family Code: Enter the 12-character engine family code assigned by the Environmental Protection Agency and the California Air Resources Board to identify the engine for certification and compliance purposes. **An Engine Family Code must be provided for engines with a model year of 2003 or newer.**

Federal NO_x Emissions Standard (g/bhp-hr): Normally, an engine will be certified to meet the emissions standard of the year in which the engine was manufactured. Please refer to the **SPRY Maximum Eligible Grant Amount Table Instructions** to assist in determining the NO_x emissions standard.

Historical Annual Usage: Select the unit of measure from the drop-down list and enter the average use of your equipment over the last two years.

Section 2 - New Equipment Information

Equipment Type: Enter the type of equipment (e.g., haul truck, forklift, container handling equipment.)

Emission Source: Enter either on-road or non-road equipment. Only enter on-road if going from a haul truck to a haul truck operating in an on-road capacity. For all other emission sources enter non-road.

Equipment Model Year: Enter the model year of the equipment.

Engine Model Year: Enter the calendar year that the engine was manufactured.

Gross Vehicle Weight Rating (GVWR): (*On -Road equipment only*) Enter the GVWR.

Engine Horsepower: (Non-Road equipment only) Enter the horsepower for the equipment expressed in g/bhp-hr.

Fuel Type: Select the fuel type from the drop-down menu.

Federal NO_x Emissions Standard (g/bhp-hr): Normally, an engine will be certified to meet the emission standard of the year in which the engine was manufactured. Please refer to the **SPRY Maximum Eligible Grant Amount Table Instructions** to assist in determining the NO_x emissions standard. Keep in mind some exceptions may apply.

Section 3- Requested Grant Amount

Estimate the eligible grant amount using the SPRY Maximum Eligible Grant Amount tables which can be viewed or downloaded from www.terpgrants.org to your computer.

Enter the estimated eligible grant amount from the SPRY Maximum Eligible Grant Amount tables.

Enter the requested grant amount. Applicants may be eligible for up to the maximum grant amount listed in the table for the type of activity or 80% of the eligible costs, whichever is less.

FORM 6 – NEW EQUIPMENT USAGE AREA

Activity Number: Enter the activity number located at the top of the page.

For applications with more than one activity, click the “plus” sign in the top right corner of the form to add additional pages before completing the form.

If all activities in the application have the same percent in area, please check the box in the top left corner of the page.

Percentage of Annual Usage in Non-attainment and Affected Counties:

Applicants must commit to operating the grant-funded equipment for a specified percentage of its total annual miles, hours, or fuel use in the eligible counties for the five-year activity life.

For **on-road projects**, select either 50%, 75%, or 100%.

For **non-road projects**, select either 75% or 100%.

For all projects, if the percent of usage in an eligible area is not one of the provided percentages, round down to the nearest percentage (e.g. 85% would round down to 75%).

Business Description and/or Daily Route Description for New Equipment : Describe how the equipment will be used in its routine operations.

For **on-road equipment**, please include the typical driving route (including the cities traveled to and highways/roadways traveled on).

For **non-road equipment**, please include where the equipment will be used in its routine operation.

If the equipment is primarily being used for natural gas recovery purposes, please indicate this in the box provided.

FORM 7 – ANNUAL DAYS OF OPERATION AT ELIGIBLE SEAPORTS, FACILITIES, AND RAIL YARDS

Complete the required information on Form 7 for each activity.

Applicants must have operated the old equipment at an eligible seaport or rail yard a minimum of 200 days per year (12-month period) for the preceding two years (24-month period) immediately preceding the application signature date.

Total Days of Operation: For each activity, list the number of days in the two years preceding the application signature date that the applicant has operated the equipment at an eligible seaport or rail yard.

One day of operation may include one or more trips to and/or from an eligible seaport or rail yard. Refer to Section 2.2 of the RFGA for eligible seaports and rail yards.

Seaports and Rail Yards Visited: For each activity, list the name of the seaport terminals or rail yards visited during the two years immediately preceding the application signature date.

Contact TERP staff at (800) 919-TERP (8377) for help determining whether a particular seaport or rail yard is eligible.

Terminals or Rail Yard Address: For each activity, list the address of the seaport terminal or rail yard.

FORM 8 – QUARTERLY MILEAGE SUMMARY

This form is for on-road vehicles with apportioned registration only.

Applicants with apportioned registration must provide quarterly summaries of their mileage inside and outside of Texas for the two years immediately preceding the application signature date.

Provide the total miles driven for each year for the last two years. Applicants must demonstrate that at least 75% of the vehicle operation occurred in Texas over the two years immediately preceding the application signature date.

The Authorized Official must provide their signature. This can be done by typing in the name, signing it electronically, or providing an original signature and date. **If signing electronically do so after the entire application is completed. If not, the applicant may lose the ability to edit the application.**

FORM 9 – DISPOSITION OF EQUIPMENT/ENGINE BEING REPLACED

In general, unless an alternative destruction method is approved by the TCEQ, the old engine must be rendered permanently inoperable within 90 days of receiving financial reimbursement. This can be done by completely crushing the engine or cutting a 3” diameter hole or larger in the engine block on both sides and cutting both frame rails in half, rendering it permanently inoperable.

Section 1 – Method of Disposition

Mark the method of disposition you are proposing for the activities listed in this application.

If you are proposing Standard Destruction, check the box and continue to Form 10.

Section 2 – Alternative Destruction

If you are proposing Alternative Destruction, check the box and complete Sections 2 and 3.

Section 3- Activities Included

Complete only if choosing alternative destruction.

FORM 10 – W-9

Complete and sign the W-9 form. The name on the W-9 form should match the applicant's legal name on Form 1: Applicant Information.

- This form must be signed. This can be done by typing in the name, signing it electronically, or providing an original signature and date. **If signing electronically do so after the entire application is completed. If not, the applicant may lose the ability to edit the application.**

FORM 11 – SUMMARY PAGE

This form will auto-populate for applicants completing the application forms electronically. For applicants manually completing the application forms (hand-written), complete this page using the information provided in the application. **The Authorized Official must sign and date this form.**

Applicant Information

- **The Applicant Legal Name, Applicant Type, and FEI or SSN** must match the information on Form 1: Applicant Information.
- **New Equipment Usage Area** – The area identified on Form 6: New Equipment Usage Information with the greatest percentage of annual usage.
- **Emission Source** – The emission source of the old equipment from Form 5.
- **Total Requested Grant Amount** – The total requested grant amount for the project.
- **Total Number of Activities** – The total number of activities included in this application.
- **Activity Type** – Select Replacement or Repower.
- **Mailing Address** - This field will auto-populate from Form 1: Application Information. If completing manually, use the mailing address for the Designated Project Representative.
- **How did you hear about us?** Select how you heard about this grant program from the drop-down menu.

Authorized Official

This information must match the information listed for the Authorized Official on Form 1: Applicant Information.

- **Printed Name of Authorized Official** – This must match the Authorized Official Name listed on Form 1: Applicant Information.
- **Authorized Official Title** – This must match the Authorized Official Title listed on Form 1: Applicant Information.
- **Signature of Authorized Official:** The Authorized Official must sign this form. This can be done by typing the name, signing it electronically, or providing an original signature and date. **If signing electronically do so after the entire application is completed. If not, the applicant may lose the ability to edit the application.**
- **Date of Signature:** The Authorized Official must date this form.

REQUIRED ATTACHMENTS

Naming your Required Attachments

Documents other than photos will not visually appear in the application in the same manner as the photos. They can only be viewed in the Navigation Pane of the application. Applicants can view items by clicking on the paper clip icon on the left side of the application. For all documents other than photos, please save and upload your attachments into the application with the following naming conventions:

- **Purchase, Lease or Financing Agreement: “2022-DT-PLF-Agmt”**
- **Current Title or Lease Agreement: “2022-DT-Title” or “2022-DT-LeaseAgmt”**

If you have multiple activities with multiple titles, please add the activity number to the end of the document name i.e. “2022-DT-Title-Act-1, 2022-DT-Title-Act-2, etc.”

- **Registration Documents: 2022-DT-Reg**

If you have multiple activities with multiple registration documents, please add the activity number to the end of the document name i.e. “2022-DT-Reg-Act-1, 2022-DT-Reg-Act-2, etc.”

Required Attachments - Part 1

State or Federal Identification Card

Insert a copy of your State or Federal Identification Card in the box provided (only applicable if the applicant is an Individual or Sole Proprietor). The photo or attachment must be clear and easily readable.

Click on the camera icon and select the “browse” button. Select the image of your ID and upload it. The image of your ID should now appear in the application.

New Equipment Prior Purchase Documents: If the equipment has already been purchased, provide the purchase, lease or financing agreement showing the price paid. Click on the “Attach Documents” icon to attach purchase, lease, or finance agreements for each activity purchased prior to your application submission. To verify the document was uploaded into the application, click on the paper clip icon. You should see your document in the navigation pane.

Required Attachments – Part 2a

Color Photographs of Old Equipment

- **Front:** Indicate which activity the “front” photo belongs too. Click on the camera icon and select the “browse” button. Select the image of the front of the equipment and upload it. The image of the front of the equipment should now appear in the application.
- **Rear:** Indicate which activity the “rear” photo belongs too. Click on the camera icon and select the “browse” button. Select the image of the rear of the equipment and upload it. The image of the rear of the equipment should now appear in the application.

TIP: If you need additional pages for the front and rear photos for additional activities, click the “click for additional pages” icon and hit the “reset photo” button.

Required Attachments - Part 2b

Color Photographs (Right and Left of Equipment)

- **Right:** Indicate which activity the “right” photo belongs too. Click on the camera icon and select the “browse” button. Select the image of the right side of the equipment and upload it. The image of the right side of the equipment should now appear in the application.
- **Left:** Indicate which activity the “left” photo belongs too. Click on the camera icon and select the “browse” button. Select the image of the left side of the equipment and upload it. The image of the left side of the equipment should now appear in the application.

TIP: If you need additional pages for the right and left photos for additional activities, click the “click for additional pages’ icon and hit the “reset photo” button.

Required Attachments - Part 2c

Color Photographs (Right and Left of Engine)

- **Engine Right:** Indicate which activity the “right” photo belongs too. Click on the camera icon and select the “browse” button. Select the image of the right side of the engine and upload it. The image of the right side of the engine should now appear in the application.
- **Engine Left:** Indicate which activity the “left” photo belongs too. Click on the camera icon and select the “browse” button. Select the image of the left side of the engine and upload it. The image of the left side of the engine should now appear in the application.

TIP: If you need additional pages for the engine right and engine left photos for additional activities, click the “click for additional pages’ icon and hit the “reset photo button.

Required Attachments - Part 2d

Color Photographs of Old Equipment (Engine Plate)

- **Engine Plate:** Indicate which activity the “engine plate” photo belongs too. Click on the camera icon and select the “browse” button. Select the image of the engine plate and upload it. The image of the engine plate should now appear in the application.

TIP: If you need additional pages for the engine plate photo for additional activities, click the “click here for additional pages” icon and hit the “reset photo button.

Required Attachments - Part 3 (On-Road Equipment Applications Only)

- **Current Title or Lease Agreement:** Click on the “Attach Documents” icon and select the copy of your title. Once you have selected the title, it will load the image of the title into the form.
- **Copy of Registration Documents for Old Equipment:** Click on the camera icon and select the “browse” button. Select the image of your registration and upload it. The image of your registration records should now appear in the application

FORM 12 – APPLICATION CHECKLIST

Review and complete this form to ensure that all appropriate forms are signed, and all required attachments are included in the application packet.

APPLICATION SUBMISSION

Follow the instructions in the application for saving and submitting your application and required attachments.

Questions? We are here to help. Contact TERP staff at 1-800-919-TERP (8377).