



Diesel Emissions Mitigation Grant Program User Guide

January 2024



This document was prepared by
Oregon Department of Environmental Quality
700 NE Multnomah Street, Suite 600
Portland Oregon, 97232

Contact: Gerik Kransky
Phone: 503-229-5177
dieselgrants@deq.oregon.gov
www.oregon.gov/deq



Translation or other formats

[Español](#) | [한국어](#) | [繁體中文](#) | [Русский](#) | [Tiếng Việt](#) | [العربية](#)

800-452-4011 | TTY: 711 | deqinfo@deq.oregon.gov

Non-discrimination statement

DEQ does not discriminate on the basis of race, color, national origin, disability, age or sex in administration of its programs or activities. Visit DEQ's [Civil Rights and Environmental Justice page](#).

1. Table of Contents

Executive summary	6
About the grant program	6
Eligible projects	6
Application	7
1. About diesel emissions mitigation grants	7
1.1 Background	7
1.2 Program overview	7
1.3 Key dates – 2024	8
2. Eligibility and available funding	10
2.1 Product types	10
3. Diesel emissions mitigation grant program application	16
3.1 About the application process	16
3.2 Registering with DEQ Grants	17
3.3 Filling out application	20
3.4 Obtaining a unique entity ID number with the system for award management.....	25
3.5 Qualifying Engine Types/Tiers.....	25
3.6 Vehicle identification number	27
3.7 Statement of remaining useful life.....	27
3.8 Application review process	27
4. Identifying engine family names	30
4.1 Medium and heavy-duty highway vehicles.....	31
4.2 Engine family name location examples.....	31
4.3 Freight switchers (locomotives)	33
4.4 Ferries and tugs – marine compression- ignition engines	34

- 4.5 Non-road compression-ignition engines35

- 5. Diesel emissions mitigation grant award process..... 36**
 - 5.1 Successful grants36
 - 5.2 Unsuccessful grants36

- 6. Grant administration 37**
 - 6.1 Grant requirements37
 - 6.2 DERA option grant administration requirements40

- 7. Technical Assistance Funding 49**

2. Executive summary

About the grant program

The Oregon Department of Environmental Quality Diesel Emissions Mitigation Grant Program plans to provide approximately \$40 million (~\$8 million per year) between 2021 and 2025 to support businesses, governments, and equipment owners in retrofitting, repowering, or replacing older, more polluting diesel engines with new, cleaner alternative technologies.

This user guide provides detailed information for grant applicants to better understand the program, determine which types of diesel equipment are eligible for funding to reduce emissions and how to complete the online application.

Diesel Emissions Mitigation Grant Program intends to address some of the air quality challenges facing Oregon and meet the following program goals:

- Maximize benefits for vulnerable populations, e.g., low income, people of color, elderly, and youth
- Prioritize pollution reductions in areas of the state with the highest emissions of nitrogen oxides and particulate matter from diesel engines
- Maximize pollution reduction cost effectiveness

As a reimbursement program, the percentage of funding varies from 25-100%, depending on the project type, equipment, and owner. See the EPA's detailed comparison document for eligible projects and percentages that apply.

Eligible projects

To reduce diesel emissions, older, more polluting vehicles, equipment, and engines must be permanently and verifiably removed from service or fitted with exhaust control technology. The following descriptions of eligible project types provide guidelines regarding potential activities that the grant program can fund:

- **Replacement:** These projects exchange diesel engine motor vehicles with an equivalent motor vehicle or substitute a piece of equipment powered by a non- road diesel engine with equivalent equipment.
- **Repower:** The projects must replace an existing diesel engine with a newer, cleaner engine or power source that is certified by the Environmental Protection Agency and, if applicable, meet a more stringent set of engine emission standards.
- **Retrofit:** The projects must equip a diesel engine with new emissions-reducing parts or convert the diesel engine into an engine capable of being powered by alternative fuel.

Application

Applicants will submit required documents (fleet information and vendor quotes) in addition to the completed online application form, which can be found [here](#).

The application can be saved and multiple individuals in an organization may work on it if needed. DEQ recommends applicants plan and give themselves plenty of time to complete the application. Applicants will need to follow these steps to complete the application process:

- Register for a Unique Entity Identification number from <https://sam.gov>
- Register with DEQ Grants at <https://deqgrants.oregon.gov>
- Identify vehicle's vehicle identification number
- Identify Engine Family Name
- Submit required documents
- Complete and submit an online application on DEQ Grants

DEQ staff will apply the following project award criteria to evaluate proposed projects according to a point system (out of 55 total points):

- Project summary and approach (5 points)
- Project eligibility and type (15 points)
- Project cost and air quality benefits (5 points)
- Project locations (10 points)
- Applicant and fleet profile (20 points)

For questions and technical assistance, applicants may contact DEQ staff at dieselgrants@deq.oregon.gov. DEQ can provide documents in an alternate format or in a language other than English upon request.

Call DEQ at 800-452-4011 or email deqinfo@deq.oregon.gov.

3. About diesel emissions mitigation grants

The Oregon Department of Environmental Quality is providing approximately \$8 million in grant funding every year for five years, starting in 2021. The Environmental Mitigation Trust Fund is providing revenue for this program based on the settlement agreement between the United States and Volkswagen Group of America. In 2019 the Oregon Legislature authorized the creation of a grant program supporting businesses, governments, and equipment owners in replacing older and more polluting diesel engines with new, cleaner technologies and exhaust control retrofits.

This user guide provides detailed information for grant applicants to determine which types of diesel equipment are eligible for funding to reduce emissions. It includes timelines, application process and reporting requirements for program participants. Limited technical assistance is also available from DEQ staff at dieselgrants@deq.oregon.gov.

3.1 Background

Since 2009, the Volkswagen Group of America—under the Volkswagen, Audi, and Porsche nameplates—sold diesel passenger cars in the United States with emission control defeat devices that violated federal motor vehicle emission standards. Litigation against VW resulted in the creation of the Environmental Mitigation Trust Agreement that requires VW to provide more than \$2.9 billion nationwide to mitigate previous and current excess emissions of nitrogen oxides from noncompliant vehicles.

The initial allocation to the state of Oregon (based on registration share of VW diesels by state) is approximately \$73 million, which must be spent in 10 years, by the deadline of Oct. 2, 2027. These funds must be used to upgrade diesel equipment from older and more polluting engines to newer, cleaner technology. The court settlement agreement establishes the types of projects that can be funded, and the amounts of funding available for different projects, by equipment model year, type, and owner.

3.2 Program overview

The Oregon DEQ Diesel Emissions Mitigation Grant Program is designed to allow a broad range of diesel equipment owners in Oregon to apply for funding for emission reduction projects such as retrofit, repower or replacement of older, more polluting diesel equipment in favor of newer, cleaner

alternative technologies. Public, private, and tribal entities are allowed to apply for funding for projects that measurably reduce diesel emissions in Oregon. Each complete and timely application for funding for an eligible project will be evaluated based on criteria included in Section 5 of this user guide.

Each project must address diesel emissions from equipment that is currently operating in Oregon. DEQ plans to award approximately \$8 million per year for five consecutive calendar years to disburse

the total available funding beginning in 2021 and ending in 2025. This schedule will allow for certainty among diesel equipment owners regarding funding availability and will ease implementation, allowing for continuous processing of grant projects.

3.3 Key dates – 2024

Estimated dates of grant information, application, and deadlines are below. These dates are subject to change based on the timing of availability of funds and schedule of implementation tasks.

Table 1: Diesel emissions mitigation grant program dates

Dates	Activity
Feb. 1, 2024	Grant program opens for applications
May 30, 2024	Grant program closes for applications
Aug. 15, 2024	Grant awards announced
Dec. 2, 2024	Funding for projects becomes available

3.3.1 Oregon’s plan

The goal of the Environmental Mitigation Trust Fund is to reduce nitrogen oxide (NOx) emissions from mobile sources, with court approved eligible mitigation actions focusing primarily on medium and heavy-duty diesel engines. The overall pollution resulting from diesel engines is a complex mixture of gases and particles, each having distinct health and environmental impacts. Diesel particulate is also an important climate change pollutant as well as a priority air toxic in Oregon.

3.3.2 Health benefits

This program recognizes the suite of air contaminants and effects produced by diesel engines (NOx, PM, ozone, air toxics and climate) and is designed to achieve the multi-pollutant benefits of reducing diesel pollution. In 2015, DEQ published a comprehensive review of peer-reviewed science examining the health effects of diesel engine exhaust. In summary, that report found exposure to diesel engine exhaust is associated with a variety of effects, including:

- Increased risk of certain cancers, including lung and bladder cancers
- Cardiovascular effects, including an increased risk of heart attacks
- Pulmonary effects, such as upper respiratory system irritation and decreased lung functions
- Neurodevelopmental effects including decreased cognitive function and birthweight

3.3.3 Program goals

Diesel equipment owners can use the Environmental Mitigation Trust Funds as grants to mitigate the adverse impacts from emissions. Targeted use of the funds will help Oregon meet the following program goals and address some of the air quality challenges facing Oregon.

- Maximize benefits for vulnerable populations, e.g., low income, minority, elderly, and youth
- Prioritize pollution reductions in areas of the state with the highest emissions of nitrogen oxides and particulate matter from diesel engines
- Maximize pollution reduction cost effectiveness

4. Eligibility and available funding

4.1 Product types

To reduce diesel emissions, older, more polluting vehicles, equipment, and engines must be permanently and verifiably removed from service or fitted with exhaust control technology. The following descriptions of eligible project types provide guidelines regarding potential activities that the grant program can fund.

4.1.1 Replacement



One project type that is eligible for funding in this grant program is diesel equipment replacement. Replacement means to scrap a motor vehicle powered by a diesel engine and replace it with an equivalent motor vehicle, or to scrap a piece of equipment powered by a nonroad diesel engine and replace it with equivalent equipment. Replacement does not include ordinary maintenance, repair, or replacement of a diesel engine.

To qualify for funding, the replacement project must:

- Use an equivalent vehicle or equipment that performs the same function
- Be in the same weight class
- Have the equivalent horsepower to the replacement vehicle or piece of equipment

Applicants must provide all required details for old and replacement equipment on applications.

4.1.2 Repower



For program applicants that choose to repower their existing diesel equipment, specific requirements apply. An eligible repower project must replace an existing diesel engine with a newer, cleaner engine or power source that is certified by the Environmental Protection Agency and, if applicable, the California Air Resources Board (CARB), to meet a more stringent set of engine emission standards.



Diesel exhaust control retrofit devices qualify for funding under the federal Diesel Emissions Reduction Act (DERA) program; Therefore, under OAR 340-255-0030(2)(b), Oregon can use DERA program authorization for retrofits and other specific types of vehicle/equipment replacements that do not qualify under Oregon DEQ Diesel Emissions Mitigation Grant Program eligibility requirements.

A retrofit project must equip a diesel engine with new emissions-reducing parts or technology or to convert the diesel engine into an engine capable of being powered by alternative fuel. A retrofit must use the greatest degree of emissions reduction available for the application of the equipment to be retrofitted. See section 6.21 for additional DERA Option Grant Requirements.

If the retrofit project is for an on-road medium- or heavy-duty vehicle intended for a DEQ certification in accordance with the Oregon Department of Transportation registration and titling prohibitions (ORS 803.591), the retrofit technology must meet the criteria of DEQ Approved Retrofit Technology. To participate in the program, the vehicle owner will need to agree to the program requirements and submit an application that includes approved retrofit installation and vehicle information to DEQ. DEQ will review the application to confirm that the retrofit technology is on the EPA and/or California Air Resource Board's list of currently verified diesel retrofit technologies for on-road diesel engines, proven to achieve at least an 85% reduction in diesel particulate matter. These currently verified EPA or CARB retrofit technologies, otherwise known as diesel particulate filter or DPF systems, must be installed according to the manufacturer requirements, by an authorized installer, to qualify as Approved Retrofit Technology for Oregon's Diesel Retrofit Compliance Program. Please visit the program website to learn about the requirements: <https://www.oregon.gov/deq/aq/programs/Pages/Diesel-Retrofit-Compliance.aspx>

2.1.3 Maximum potential funding availability by project type

The following tables indicate potential funding availability by project type, equipment type, and owner based on the requirements of the Environmental Mitigation Trust Fund. DEQ will use these tables to help determine eligibility and maximum amount of grant awards. Additional requirements are based on Oregon Administrative Rules 340-255-0010 through 0070 regarding the Diesel Emission Mitigation Grant Program and included in this document. DEQ staff will consider timely and complete applications it receives for partial funding of eligible diesel emission reduction projects.

Table 2: Potential funding availability by project type, equipment types and owner

EPA Detailed Comparison of VW Eligible Mitigation Action 1-9 and Eligible Mitigation Action #10 (Diesel Emissions Reduction Act Option) For FY 2019 State DERA Grants.

<u>Eligible Mitigation Actions 1-9*</u>				<u>Eligible Mitigation Action 10: DERA Option**</u>		
Class 8 Local Freight Trucks and Port Drayage Trucks (Eligible Large Trucks) Class 4-7 Local Freight Trucks (Eligible Medium Trucks) For, 1) Beneficiaries that have State regulations that already require upgrades to 1992-2009 engine model year trucks at the time of the proposed EMA, and 2) Eligible Trucks shall also include 2010-2012 engine model year trucks.				Class 5-8 Medium and Heavy Duty Highway Vehicles (including Drayage Trucks)		
Activity	Vehicle and Equipment Eligibility (Engine Model Year)	Trust Funding Limits		Activity	Vehicle and Equipment Eligibility (Engine Model Year)	DERA Funding Limits
		Non-Gov. Owned	Gov. Owned			
Engine replacement with new diesel or alternate fueled engine, MY (model year) in which the EMA occurs or one engine model year prior	1992-2009	40%	100%	Engine replacement with diesel or alternate fueled engine, 2016 MY or newer (2013 MY or newer engine for Drayage)	1996-2009	40%
				Engine replacement with engine certified to CARB's Optional Low-NOx standards, 2016 MY or newer	1996 or newer	50%
Engine replacement with new all-electric engine, engine MY in which the EMA occurs or one engine MY prior	1992-2009	75%	100%	Engine replacement with an electric motor or an electric power source, 2016 MY or newer	1996 or newer	60%
Vehicle replacement with new diesel or alternate fueled vehicle, engine MY in which the EMA occurs or one engine MY prior	1992-2009	25% (50% for Drayage)	100%	Vehicle replacement with diesel or alternate fueled vehicle, 2016 MY or newer engine (2013 MY or newer engine for Drayage)	1996-2009	25% (50% for Drayage)
				Vehicle replacement with vehicle powered by engine certified to CARB's Optional Low-NOx standards, 2016 MY or newer engine	1996 or newer	35% (50% for Drayage)
Vehicle Replacement with all-electric vehicle, engine MY in which the EMA occurs or one engine MY prior	1992-2009	75%	100%	Vehicle replacement with all-electric vehicle, 2016 MY or newer engine	1996 or newer	45% (50% for Drayage)
				Retrofits with verified exhaust control technologies (SCR is the only eligible retrofit technology for vehicles with 2007-2009 MY engines)	1996-2009	100%
				Verified Aerodynamic Technologies and Low Rolling Resistance Tires (with one of above activities)	1996 or newer	100%
				Verified Idle Reduction Technologies (APUs and generators are not eligible on vehicles with MY 2007 or newer engines)	1996-2009	25% (100% when bundled with retrofit)
				Clean Alternative Fuel Conversion	1996 or newer	40%

Eligible Mitigation Actions 1-9*				Eligible Mitigation Action 10: DERA Option**		
<p>Class 4-8 School Bus, Shuttle Bus, or Transit Bus (Eligible Buses) For, 1) Beneficiaries that have State regulations that already require upgrades to 1992-2009 engine model year buses at the time of the proposed EMA, and 2) Eligible Buses shall also include 2010-2012 engine model year class 4-8 school</p>						
Activity	Vehicle and Equipment Eligibility (Engine Model Year)	Trust Funding Limits		Activity	Vehicle and Equipment Eligibility (Engine Model Year)	DERA Funding Limits
		Non-Gov. Owned	Gov. Owned			
Engine replacement with new diesel or alternate fueled engine, engine MY in which the EMA occurs or one engine model year prior	2009 and older	40%	100%	Engine replacement with diesel or alternate fueled engine, 2016 MY or newer	1996-2009	40%
				Engine replacement with engine certified to CARB's Optional Low-NOx standards, 2016 MY or newer	1996 or newer	50%
Engine replacement with new all-electric engine, engine MY in which the EMA occurs or one engine MY prior	2009 and older	75%	100%	Engine replacement with an electric motor or an electric power source, 2016 MY or newer	1996 or newer	60%
Vehicle replacement with new diesel or alternate fueled vehicle, engine MY in which the EMA occurs or one engine MY prior	2009 and older	25%	100%	Vehicle replacement with diesel or alternate fueled vehicle, 2016 MY or newer engine	1996-2009	25%
				Vehicle replacement with vehicle powered by engine certified to CARB's Optional Low-NOx standards, 2016 MY or newer engine	1996 or newer	35%
Vehicle Replacement with all-electric vehicle with the engine MY in which the EMA occurs or one engine MY prior	2009 and older	75%	100%	Vehicle replacement with all-electric vehicle, 2016 MY or newer engine	1996 or newer	45%
				Retrofits with verified exhaust control technologies (SCR is the only eligible retrofit technology for vehicles with 2007-2009 MY engines)	1996-2009	100%
				Verified Idle Reduction Technologies (APUs and generators are not eligible on vehicles with MY 2007 or newer engines)	1996-2009	25% (100% when bundled with retrofit)
				Clean Alternative Fuel Conversion	1996 or newer	40%

Eligible Mitigation Actions 1-9*				Eligible Mitigation Action 10: DERA Option**		
Freight Switchers Must currently operate 1000+ hours per year				Line Haul (freight and passenger) and Switcher Locomotives Must currently operate 1000+ hours per year		
Activity	Vehicle and Equipment Eligibility (Engine Model Year or Tier)	Trust Funding Limits		Activity	Vehicle and Equipment Eligibility (Engine Model Year or Tier)	DERA Funding Limits
		Non-Gov. Owned	Gov. Owned			
Engine replacement with new diesel or alternate fueled engine or generator sets that are EPA certified for the engine MY in which the EMA occurs	Pre-Tier 4	40%	100%	Engine replacement with 2019 MY or newer Tier 4 engine	Unregulated – Tier 2; Tier 2+ switcher	40%
Engine replacement with new all-electric engine	Pre-Tier 4	75%	100%	Engine replacement with 2019 MY or newer all-electric engine	Unregulated – Tier 2; Tier 2+ switcher	60%
Locomotive replacement with new diesel or alternate fueled freight switcher that is EPA certified for the engine MY in which the EMA occurs	Pre-Tier 4	25%	100%	Locomotive replacement with equipment powered by a 2019 MY or newer engine (diesel or alternate fuel)	Unregulated – Tier 2; Tier 2+ switcher	25%
Locomotive replacement with new all-electric freight switcher	Pre-Tier 4	75%	100%	Locomotive replacement with 2019 MY or newer all-electric equipment	Unregulated – Tier 2; Tier 2+ switcher	45%
				Certified Remanufacture System or Verified Engine Upgrade	Unregulated - Tier 2+	40%
				Retrofit with verified exhaust control technology	Unregulated - Tier 2+	100%
				Idle reduction technology, including shore power	Unregulated – Tier 2+	40%
Ferries/Tugs				Marine Engines Must currently operate 1000+ hours per year		
Engine replacement with new Tier 3 or 4 diesel or alternate fueled engine	Pre-Tier 3	40%	100%	Engine replacement with a 2019 MY or newer Tier 3 or Tier 4 engine (diesel or alternative fuel)	Pre-Tier 3	40%
Engine replacement with new all-electric engine	Pre-Tier 3	75%	100%	Engine replacement with 2019 MY or newer all-electric engine	Pre-Tier 3	60%
				Vessel replacement with 2019 MY or newer Tier 3, Tier 4, or zero emission engine	Pre-Tier 3	25% (45% for zero emission)
				Certified Remanufacture System or Verified Engine Upgrade	Pre-Tier 3	40%

Eligible Mitigation Actions 1-9*				Eligible Mitigation Action 10: DERA Option**		
Ocean Going Vessels (OGV) Shore Power				Marine Shore Power Connection System		
Activity	Vehicle and Equipment Eligibility (Engine Model Year or Tier)	Trust Funding Limits		Activity	Vehicle and Equipment Eligibility (Engine Model Year or Tier)	DERA Funding Limits
		Non-Gov. Owned	Gov. Owned			
Costs associated with shore-side system	n/a	25%	100%	Costs associated with shore-side system	n/a	25%
Airport Ground Support Equipment Forklifts and Port Cargo Handling Equipment				Nonroad Diesel Engines Must operate 500 + hours per year (250+ for ag pump)		
Engine replacement with new all-electric engine	GSE: Pre-Tier 3 diesel; 3 g/bhp-hr and higher spark ignition	75%	100%	Engine replacement with all-electric engine	0-50 HP = 2006 and newer; 51-300 HP = 1996 and newer;	60%
Equipment replacement with new all-electric equipment	Forklifts and Port CHE: Greater than 8000 lbs lift capacity	75%	100%	Equipment Replacement with 2019 MY or newer all-electric equipment	301+HP = 1986 and newer;	45%
				Engine replacement with a 2019 MY or newer engine (diesel or alternative fuel)	See FY 2019 State Clean Diesel Program Guide for complete engine tier restrictions	40%
				Equipment replacement with equipment powered by 2019 MY or newer engine (diesel or alternative fuel)		25%
				Retrofit with verified exhaust control technologies		100%
				Verified Engine Upgrade		40%

5. Diesel emissions mitigation grant program application

The Diesel Emissions Mitigation Grant Program application is a web-based application that users may fill-out online. The application can be saved and multiple individuals in an organization may work on it, if needed.

The form includes areas with check boxes, yes or no questions, text boxes and buttons for uploading documents and adding information. All application fields are to be completed unless otherwise noted. DEQ will work on flagging incomplete applications for resubmittal prior to the deadline. Incomplete applications submitted by the deadline will be reviewed according to the provided information.

The online form is accessible from the Diesel Emissions Mitigation Grant Program webpage here: <https://www.oregon.gov/deq/aq/programs/Pages/Diesel-Grants.aspx>. All desktop web browsers and mobile devices will work in accessing the application.

The application requires an internet connection to complete. If you do not have access to a stable internet connection, need assistance accessing the application or have technical problems using the form, please contact dieselgrants@deq.oregon.gov and DEQ will try to assist you. For answers to specific program or process questions contact dieselgrants@deq.oregon.gov.

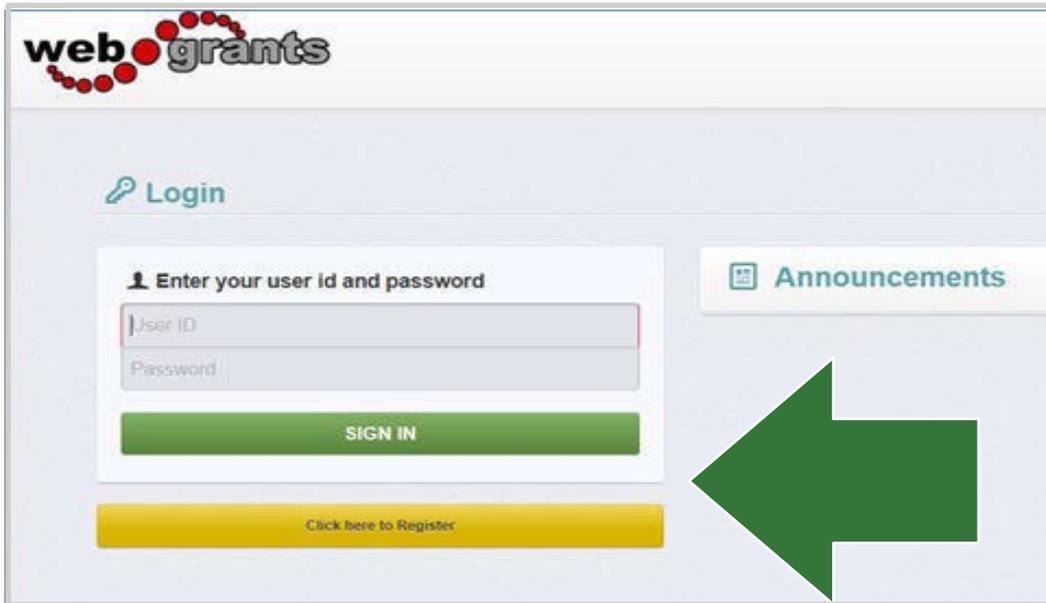
5.1 About the application process

The Diesel Emissions Mitigation Grant Program application will require a submitted web-based application along with required attachments, which include fleet information and vendor quotes; these attachments can be uploaded in designated areas. DEQ staff will review the application and supporting materials for grant eligibility.

5.2 Registering with DEQ Grants

1. Enter the URL for DEQ Grants: <https://deqgrants.oregon.gov/index.do>.
2. On the Login page, click on **Click here to Register**.

Figure 1.



3. On the **Registration** page, enter the requested **Personal Contact Information** and **Organization Information**. All required fields are shown with a **red asterisk (*)**.

Figure 2.

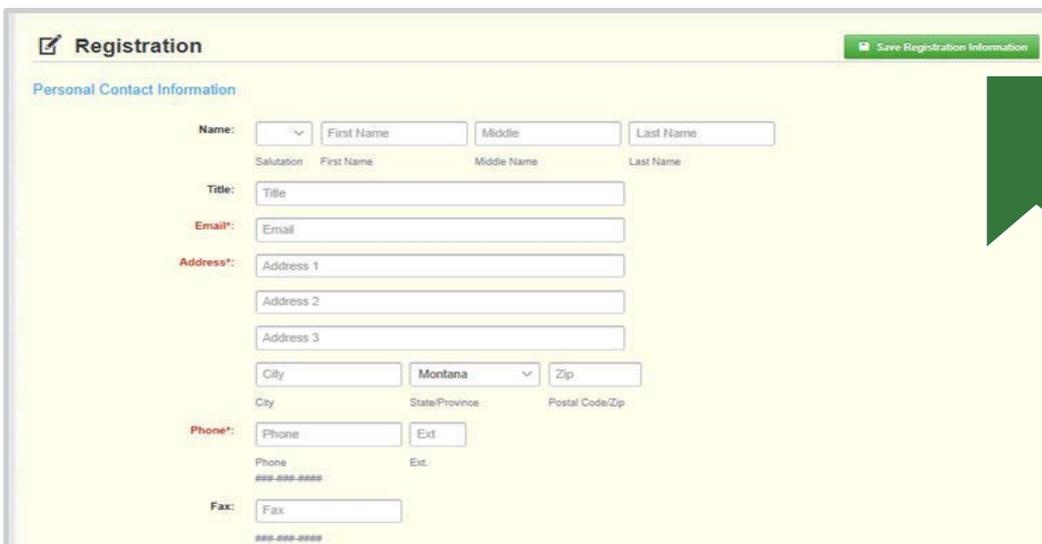


Figure 3.

Organization Information

Are you Affiliated with an Organization?: Yes No

Name*:

Organization Type*:

Tax Id:

Organization Website:

Address*:

City: Montana Zip:

City: State/Province: Postal Code/Zip:

Phone*: Ext.:

Fax: Ext.:

Organization Email:

Attachment Field:

DUNS#:

4. When complete, click **Save Registration Information** at the top or bottom of the page. You will receive a confirmation of your registration with the message that an alert notification has been sent to your email address and an email alert. See below examples of alert notifications.

Figure 4.

Thank you for registering.

A confirmation notice has been sent to your email address.

After your registration is approved, you will receive an email notification with a link to log into WebGrants - Dulles Technology using your confirmed credentials.

You may now return to the [log in screen](#).

Figure 5.

From: send.mail@dullestech.com <send.mail@dullestech.com>
Sent: Saturday, March 28, 2020 10:28 AM
To: john.smith@dullestech.com
Subject: WebGrants – Dulles Technology - New User Registration

**** Do Not Respond to This Email ****

Dear John Smith,

Thank you for registering with WebGrants - Dulles Technology.

Your registration is currently under review, if approved, you will receive a confirmation email with your user id and password.

Registration review may take several business days.
Thank you for your patience.

You may now log into the WebGrants system at the following location:
<http://www.dullestech.com>

5. After your registration is approved, you will receive two separate email notifications with your assigned **User ID** and **temporary password**. Each email provides the URL for logging into DEQ Grants. See below examples of alert notifications.

Email with assigned User ID

```
From: send.mail@dullestech.com <send.mail@dullestech.com>
Sent: Saturday, March 28, 2020 10:31 AM
To: john.smith@dullestech.com
Subject: WebGrants - Dulles Technology - Approved Registration

**** Do Not Respond to This Email ****

Dear John Smith,

Your new registration with WebGrants - Dulles Technology has been Approved.

Your user id is below:
User id: jsmith1

Your temporary password will be sent in a separate email.

You may now log into the WebGrants system at the following location:
http://www.dullestech.com/
```

```
From: send.mail@dullestech.com <send.mail@dullestech.com>
Sent: Saturday, March 28, 2020 10:31 AM
To: john.smith@dullestech.com
Subject: WebGrants - Dulles Technology - Approved Registration

**** Do Not Respond to This Email ****

Dear John Smith,

Your registration has been Approved. Your password is below:
Password: bybdlck

You should have received a separate email message with your User ID.

After you login for the first time, please reset your password by selecting "My Profile" then "Reset Password"

You may now log into the WebGrants system at the following location:
http://www.dullestech.com/
```

6. Once both emails are received, you may log into the DEQ Grants system.

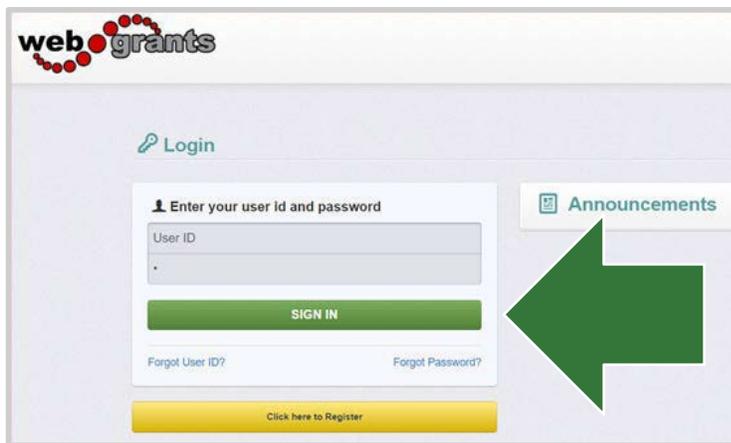
5.3 Filling out application

Notes before you start your application: Use the DEQ Grants menu – not the browser menu. DEQ Grants is compatible with many different browsers; please feel free to use the browser of your choice. Read the instructions on the screen for navigating in the system.

Enter the URL for DEQ Grants: <https://deggrants.oregon.gov/index.do>.

1. On the **Login Page**, click on **User ID** on the left side of your page.
 - Enter your **User ID**
 - Enter your **Password**
 - Click **Sign In**

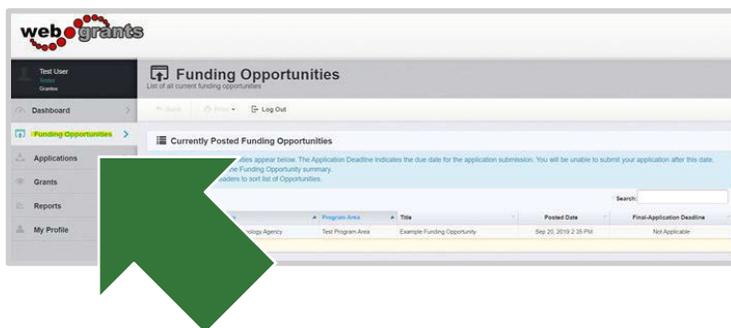
Figure 6.



Creating an application

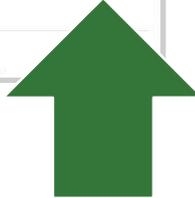
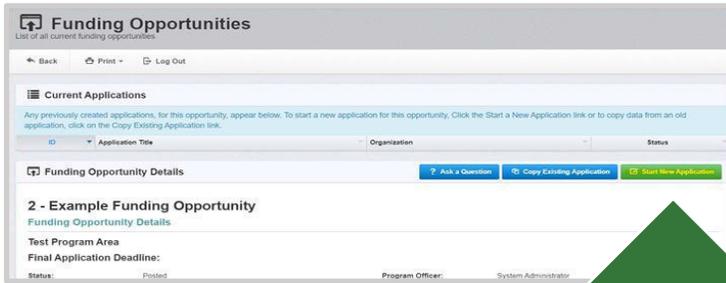
1. From the side menu, click **Funding Opportunities**.

Figure 7.



2. Select the Opportunity Title for which you are applying. Read the Funding Opportunity Details to ensure eligibility requirements. Click Start a New Application.

Figure 8.

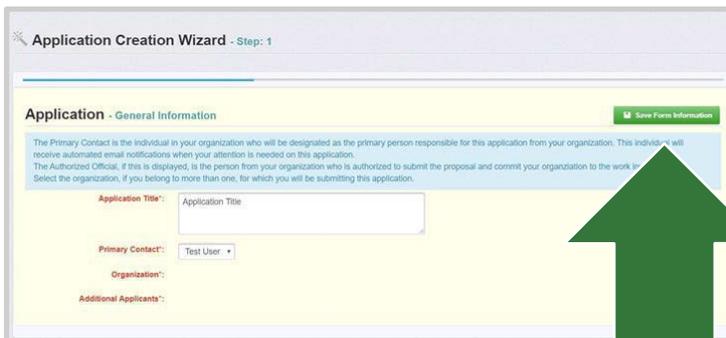


Note: At any time, you may click Ask a Question to submit a question into the system. You will receive an email alert from the DEQ Grants system when the Program Officer answers your response.

General information page

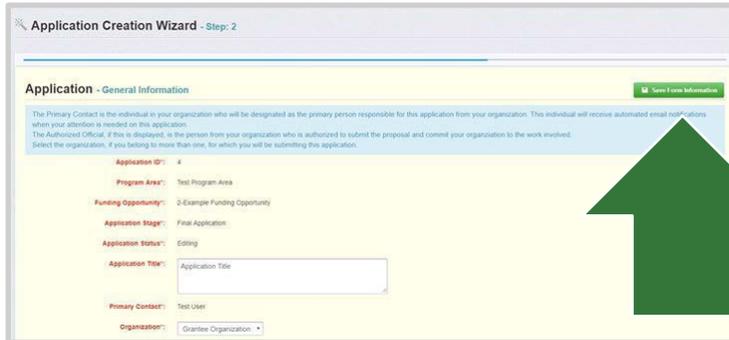
1. Complete **Step 1** in the **Application Creation Wizard**, then click **Save Form Information**.

Figure 9.



2. Choose your **Organization** from the drop-down in **Step 2** of the **Application Creation Wizard**. Then click **Save Form Information**. If you would like to add any **Additional Applicants** from your Organization, you can add them in **Step 3** of the **Application Creation Wizard**. Click **Save Form Information**.

Figure 10.

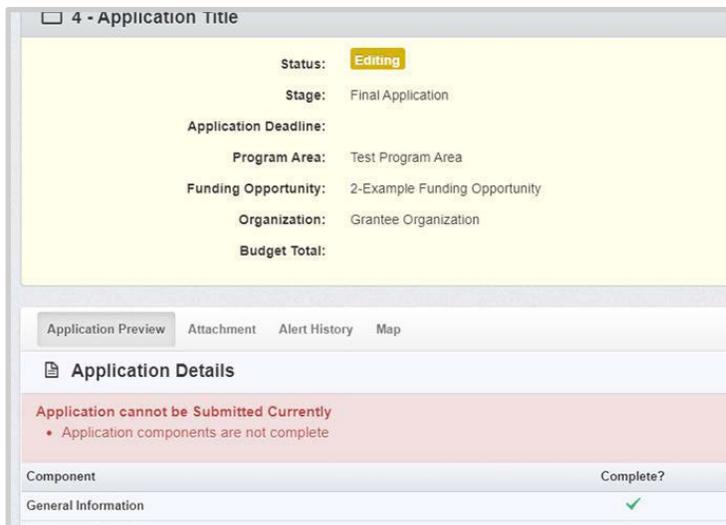


Note: The system creates and assigns the application number (#) after you click Save. **DO NOT CLICK ON START A NEW APPLICATION** if you log out of the system at this point or any future point. You can click **Applications** from the side menu or click **Funding Opportunities** to see your application in the top section.

Completing an application

1. Once you have completed the **General Information**, you will be returned to the **Application Details**.

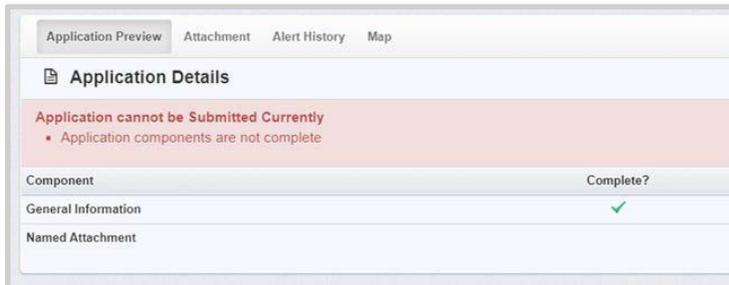
Figure 11.



Note: The Applications Details page will show a message in pink instructing you to complete all the forms or the application cannot be submitted.

- The system will show a complete listing of all application forms that are to be completed by the applicant to apply for funding in the DEQ Grants System. Click on the next form listed underneath the **General Information** which you just completed.

Figure 12.



- Continue to click on each form in the **Application Details** listing.

Navigating in the DEQ Grants system

Most forms are editable by clicking **Edit** at the top part of the section of the form. However, multi-list sections are editable by clicking **Add** on the section. If you are completing a multi-list section, you can create as many rows as needed to complete the section. If you want to delete a row, you will click on the row and click **Delete**.

All information must be saved by clicking **Save** on the forms. If you do not click **Save** and you back out of the form or section of the form, your information will be lost.

Reminder: If you log out of the system at this point or any future point: **DO NOT CLICK ON START A NEW APPLICATION.**

- You can click on **Applications** from the side menu or
- Click on **Funding Opportunities** and you will see your application in the top section.
- Once you have completed the entire application and marked all forms complete, your application is ready to submit! You will notice that your header has turned **green**.

Figure 13.



Submitting the completed application

1. Click **Submit Application**. You will receive a pop-up confirmation informing you that once you click **Submit** the system will no longer let you edit the application.

Figure 14.

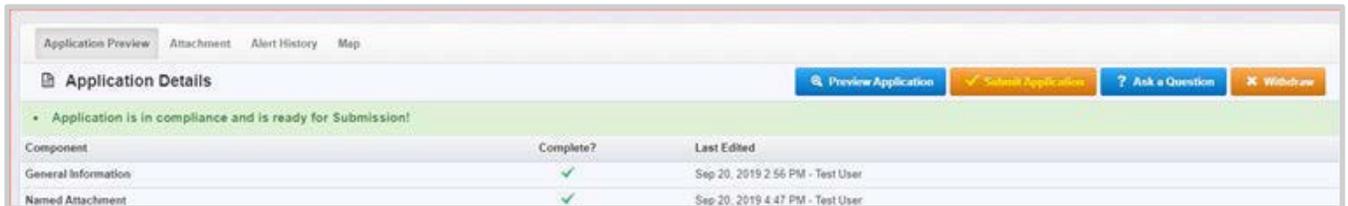
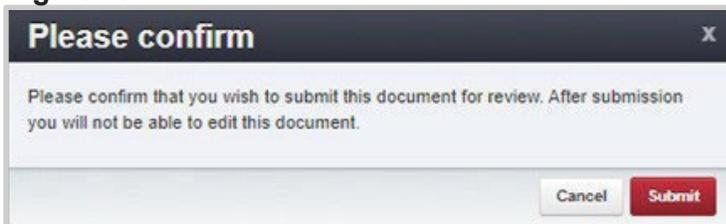
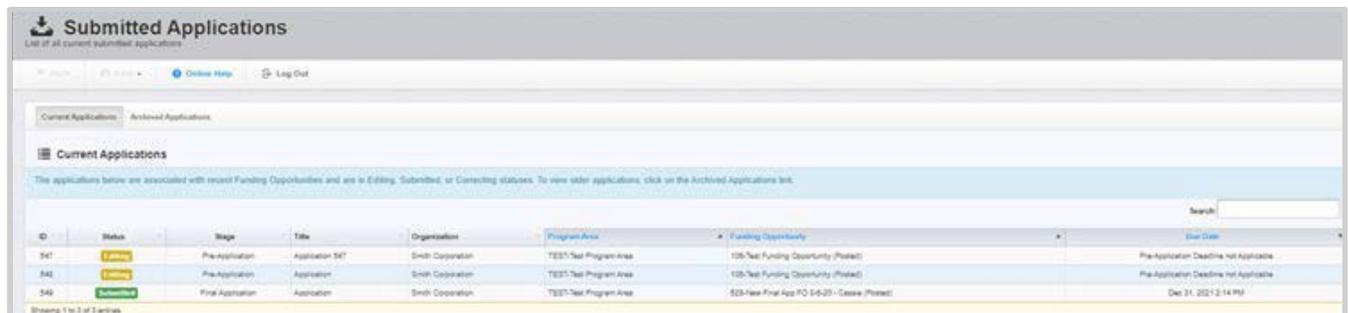


Figure 15



2. If ready, click **Submit**. The system will take you back to your Current Applications listing and will show you your submitted application.

Figure 16.



Printing the submitted application

1. Click on your application in **Submitted** status.
2. Click **Print** on your top menu and select **Send to Printer**.
3. When finished, click **Log Out**.

5.4 Obtaining a unique entity ID number with the system for award management

If you are already registered with the System for Award Management, you will be able to input your existing UEI(SAM) number into DEQ’s grant application process.

If you are not registered with the System for Award Management, you will need to follow the instructions for Getting Started with Registration here: <https://sam.gov/content/entity-registration>.

This step is required for new and returning grant applicants. (required for new applicants and returning applicants need to ensure their entity is still active on the sam.gov website)

This step is required for new and returning grant applicants. DEQ uses this information to verify the contact information and grant history of all diesel grant applicants. Please ensure that your registration status is set to be publicly viewable to allow DEQ to confirm this information.

5.5 Qualifying Engine Types/Tiers

See Section 4 for further information on all types of engine family names. DEQ will review and verify engine information and engine model year or tier specific to the following information and details listed here: <https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=6250>.

A quick reference is shown in the table below.

Table 3: Engine category, type and model year or tier

Category	Type	Engine model year or tier
Eligible Mitigation Actions 1-9	Class 8 Local Freight and Port Drayage Trucks (Eligible Large Trucks)	1992-2009
	Class 4 – 7 Local Freight Trucks (Eligible Medium Trucks)	1992-2009
Eligible Mitigation Action 10: DERA Option	Class 5-8 Medium and Heavy-Duty Highway Vehicles (including Drayage Trucks)	1996-2009 OR 1996 or newer
Eligible Mitigation Actions 1-9	Class 4-8 School Bus, Shuttle Bus, or Transit Bus (Eligible Buses)	2009 or older
Eligible Mitigation Action 10: DERA Option	Class 4-8 School Bus, Shuttle Bus, or Transit Bus (Eligible Buses)	1996-2009 OR 1996 or newer
Eligible Mitigation Actions 1-9	Freight Switchers	Pre-Tier 4

Diesel Emissions Mitigation Grant Program User Guide

	Ferries/Tugs	Pre-Tier 3
Eligible Mitigation Action 10: DERA Option	Line Haul (freight and passenger) and Switcher Locomotives	Tier 2 Tier 2 +
	Marine Engines	Pre-Tier 3
Eligible Mitigation Actions 1-9	Ocean Going Vessels (OGV) Shore Power	N/A
	Airport Ground Support Equipment Forklifts and Port Cargo Handling Equipment	Pre-Tier 3
	Light Duty Zero Emission Vehicle Supply Equipment	N/A
Eligible Mitigation Action 10: DERA Option	Marine Shore Power Connection System	N/A
	Nonroad Diesel Engines	See 2021 Diesel Emissions Reduction Act (DERA) State Grants Program Guide for complete engine tier restrictions
	Electrified Parking Spaces (Truck Stop Electrification)	N/A

5.6 Vehicle identification number

A vehicle's vehicle identification number (VIN) is the identifying code for a specific vehicle. A VIN is composed of 17 characters (digits and capital letters) that act as a unique identifier for the vehicle. DEQ will review and verify the VINs, and vehicle model years listed in the fleet information.

spreadsheet for eligibility by utilizing the National Highway Traffic Safety Administration VIN Decoder: <https://vpic.nhtsa.dot.gov/decoder/>. If any errors exist, DEQ will contact you for further information.

5.7 Statement of remaining useful life

The old diesel equipment that will be retrofitted or replaced must have at least three years of remaining useful life. The application will include a qualifying question to verify acknowledgement of this requirement. The project will not qualify for eligibility and be further reviewed if this question is not marked.

5.8 Application review process

DEQ staff will review application materials and evaluate proposed projects relative to the following criteria. DEQ will respond to applicants approximately 60 days after grant deadlines.

Table 4: Project award criteria

<p style="text-align: center;">Project award criteria</p> <p>DEQ will apply the following criteria to all timely and complete applications received for eligible diesel emission mitigation projects in Oregon pursuant to OAR 340, Division 255, Diesel Emissions Mitigation Grant Program.</p>	<p style="text-align: center;">Points available</p>	<p style="text-align: center;">Points awarded</p>
Project summary and approach (5 points)		
<p>Application includes a detailed project description, including information on vehicles and technologies, roles and responsibilities and timeline.</p> <p>Application includes a well-conceived strategy for achieving the anticipated results associated with the project.</p> <p>Application 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.</p>	5	
Project eligibility and type		
<p>(5 points) Project reduces diesel emissions from equipment with at least three years of remaining useful life. Vehicle engine model years 2005 and 2006 will score the most points, with decreasing scores for older engine model years and cleaner-burning 2007-2009 engines.</p> <p>(5 points) Project replacement vehicles and equipment use fuel that is eligible to produce credits in the Clean Fuels Program.</p> <p>(5 points) Project addresses construction equipment regulations from clean diesel contracting standards.</p>	15	
Project cost and air quality benefits		
<p>(5 points) Project's lifetime total cost effectiveness for PM2.5 and NOx reductions, and the lifetime capital cost effectiveness for PM2.5 and NOx reductions in Oregon. This criterion will also be measured as \$/ton.</p>	5	
Project location		
<p>(5 points) Project will reduce emissions in a location with elevated diesel emissions and benefit dense, vulnerable populations.</p> <p>(5 points) Project is located in Multnomah, Washington or Clackamas County and equipment is subject to HB 2007 vehicle phase out deadlines.</p>	10	
Applicant and fleet profile		

<p>(5 points) Applicant is a Disadvantaged, Minority, Women or Emerging Small Business or Service-Disabled Veteran-Owned Business as certified by the State of Oregon Certification Office for Business Inclusion & Diversity.</p> <p>(5 points) Applicant owns a small fleet and proposes diesel emissions reduction project for this piece of qualified equipment.</p> <p>(5 points) Applicant owns a concrete mixer truck or truck that is used for the transportation of aggregate and proposes a retrofit project for this qualified equipment.</p> <p>(5 points) Applicant owns a single heavy-duty truck registered in Multnomah, Washington or Clackamas and proposes diesel emissions mitigation project for this piece of qualified equipment.</p>	<p>20</p>	
<p>Total points</p>	<p>55</p>	

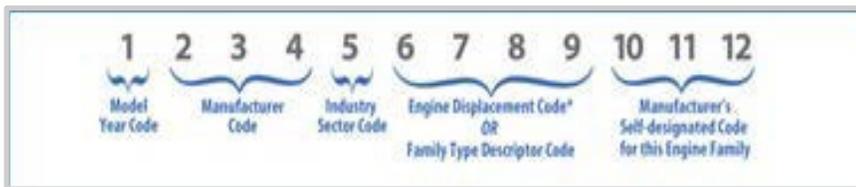
6. Identifying engine family names

Your vehicle's engine family name is located under your hood on the Vehicle Emissions Control Information label. Depending on your make and model, the VECI label can be mounted in several possible locations. Typically, the label can be found on the actual underside of the hood or on the fender well.

A family name is a 12-character code that identifies all parts of that particular engine.

The typical naming convention is shown below, although some sectors have a slight variation.

Figure 22.



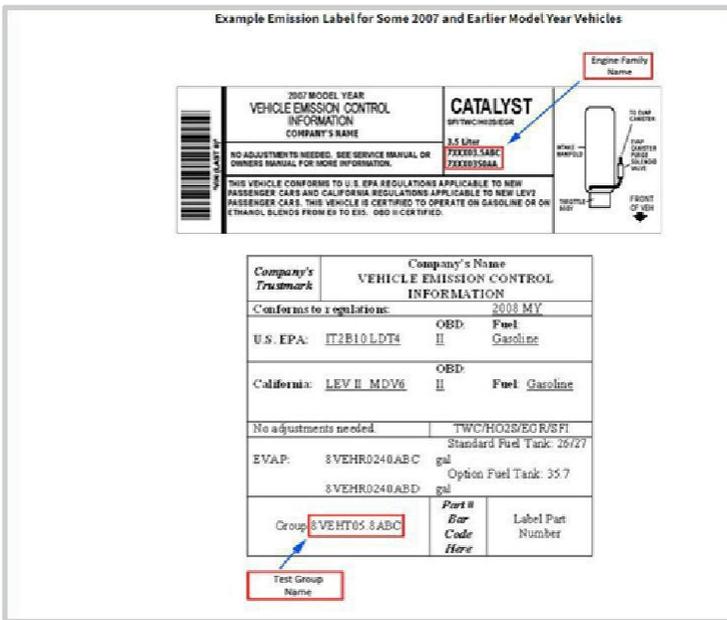
The engine model year is also on the Vehicle Emissions Control Information label. Contact your local engine dealer or the manufacturer to get a replacement label should yours be missing or illegible—you will need to provide your engine serial number to obtain the model year AND to have the label replaced. Typically, the engine model is one year older than the chassis model year. For example, a 2007 vehicle typically has a 2006 model year engine installed.

If you own a rebuilt or remanufactured engine, please note that while rebuilt engines keep their original identity and engine serial number, remanufactured engines may lose their original serial number and will instead have an engine label identifying it as a remanufactured engine. Please contact your local installer, dealer and/or manufacturer for more information.

A standard rebuilt engine is considered the same emissions level as the original configuration. For example, if a 1996 model year engine was rebuilt in 2011, it would still be considered a 1996 model year engine.

6.1 Medium and heavy-duty highway vehicles

Medium and heavy-duty vehicles or engines have an EPA emissions label on the block of the engine.

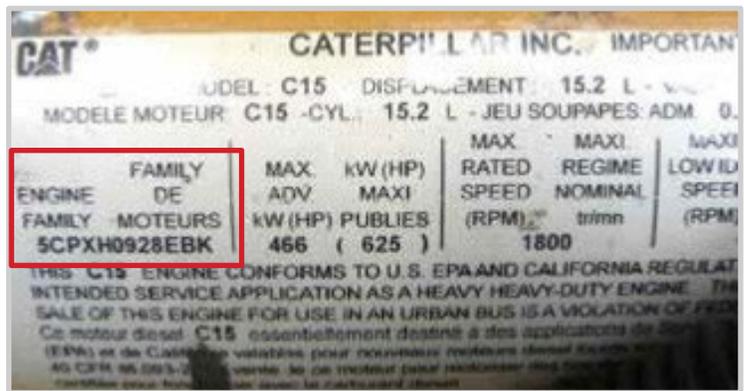


6.2 Engine family name location examples

Medium and heavy-duty vehicles or engines have an EPA emissions label on the block of the engine.

Caterpillar nameplate (2 labels):

EPA Family Name – 5CPXH0928EBK



Engine Model Year 2005

Engine Horsepower (ADV) – 466 HP



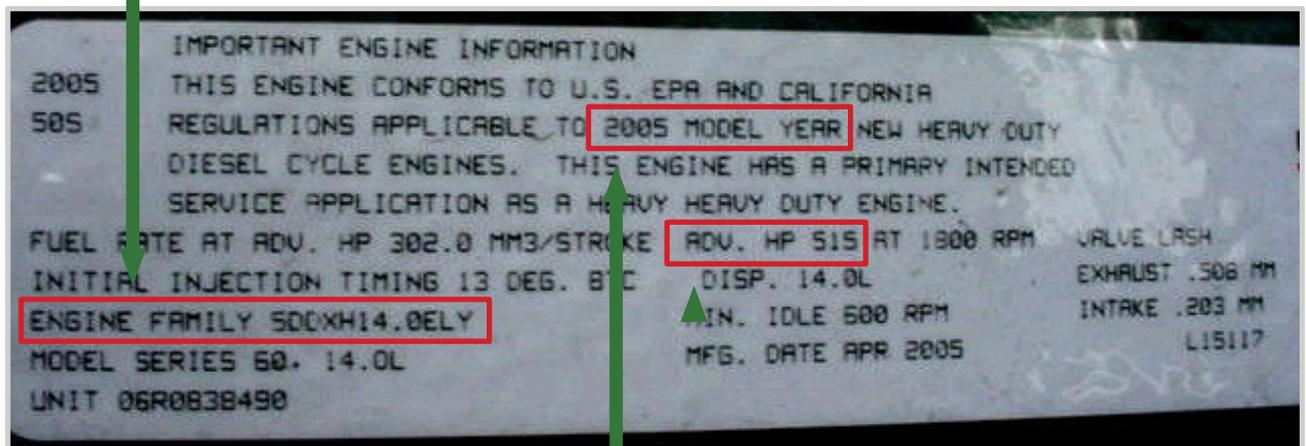
Cummins nameplate:
EPA Family Name – 4CEXH0912XAJ



Engine Model Year - 2004

Engine Horsepower – 400 HP

Detroit diesel nameplate:
EPA Family Name – 5DDXH14.0ELY



Engine Model Year - 2005

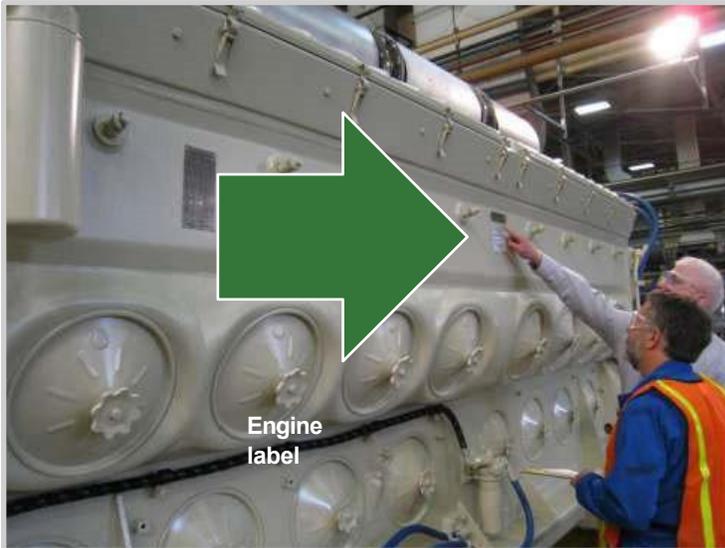
Engine Horsepower (ADV. HP) – 515 HP

6.3 Freight switchers (locomotives)

A freight switcher has an engine family name that is 11 characters using both numbers and letters printed on the emission label, which is located on the engine or in the engine compartment.

The locomotive labels are usually located on the front outside chassis, with a duplicate in the cabin.

Figure 23.



The engine labels are on the engine.

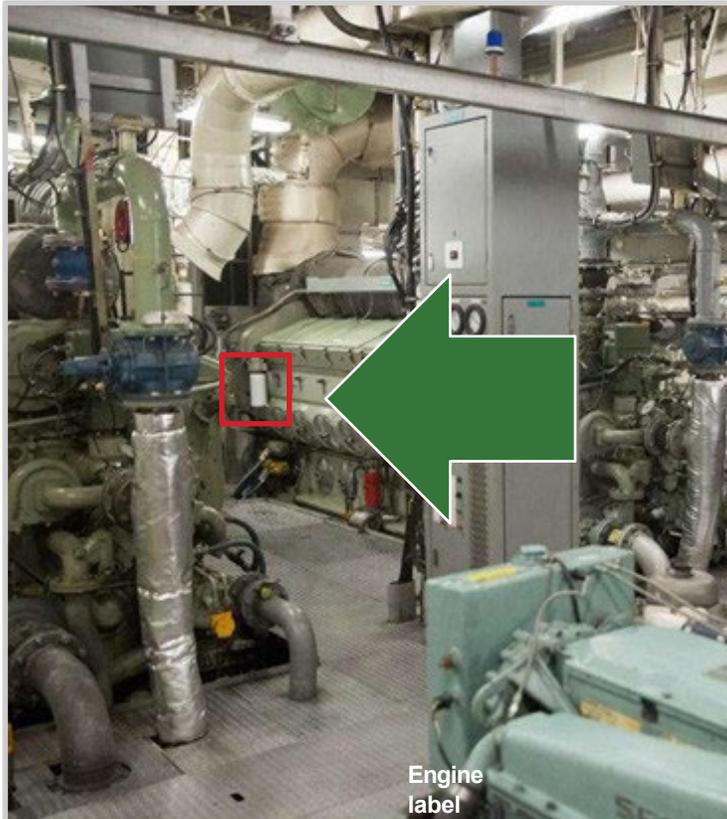
Figure 24.



6.4 Ferries and tugs – marine compression- ignition engines

The engine in ferries and tugs are often the same as the engines used in locomotives. Engine labels are usually located on the front outside chassis, with a duplicate in the cabin.

Figure 25.



The engine labels are on the engine.

Figure 26.



6.5 Non-road compression-ignition engines

Non-road compression ignition engines are manufactured to comply with the EPA emissions standards. These engines will have an emissions label as shown in the photos below.

Tier 0 engines were manufactured before emissions standards were in place and will not have an emissions label.

Figure 27.

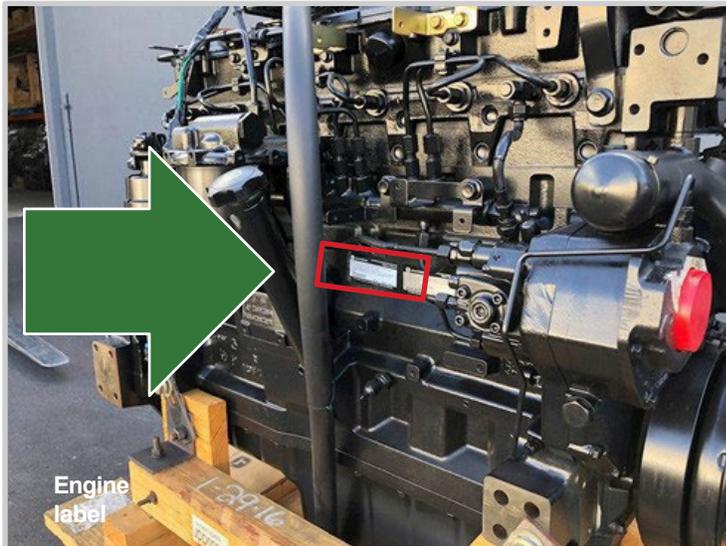
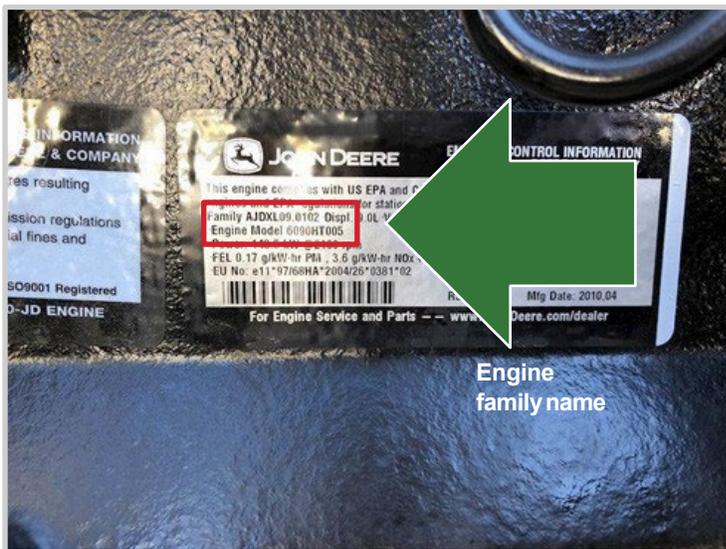


Figure 28.



7. Diesel emissions mitigation grant award process

7.1 Successful grants

Successful applicants will receive notification from DEQ approximately 60 days after the grant application deadline. Once award decisions are made Oregon will request necessary funding from the Environmental Mitigation Settlement Agreement, which will require 60 to 75 days for processing. During this time DEQ staff will work with project partners to ensure all required documentation is prepared in advance of signing grant agreements and beginning work on the project.

7.2 Unsuccessful grants

Unsuccessful applicants will receive notification from DEQ approximately 60 days after the grant application deadline. If your project was not awarded funding, you can request a copy of the scoring sheet DEQ used to evaluate the application. This score will provide an opportunity to understand strengths and weaknesses of a specific application. DEQ encourages unsuccessful applicants to reapply in future grant cycles if the project remains eligible for funding.

You may email dieselgrants@deq.oregon.gov with questions regarding this process.

8. Grant administration

8.1 Grant requirements

Once the notice to proceed has been delivered, DEQ will send an onboarding email to the grant recipient and all required forms and other proof of project completion items needed. The forms will include Exhibit B (payment request); quarterly report; and final report.

Once the project has been completed, DEQ will schedule a yearly report for the following 3 years to verify the annual total miles or hours used; annual amount of fuel used (if available); and annual miles traveled in Oregon for each piece of equipment purchased under the grant agreement.

Grant Agreement Exhibit A

This exhibit includes a list of the vehicles being funded for replacement and project requirements.

In this document, DEQ includes the fleet information submitted by the grant recipient.

(See Section 3.5).

8.1.1 Payment Request (Grant Agreement Exhibit B)

The **Payment Request and Certification** form (also labeled **Exhibit B**) is provided in the grant agreement and includes the recipient's name, contract administrator, amount of grant award and a place to include the total amount of the request and a signature. Grantee signs the **Payment Request and Certification form** and submits to the grant administrator.

8.1.2 Proof of payment documentation

Grantee submits copies of checks used to pay for their project and copies of the paid invoices for the new equipment.

8.1.3 Proof of financing documentation

To issue a reimbursement request for financed equipment, there must be invoice of the purchase, copy of down payment checks, and the financing documentation for the equipment.

8.1.4 Grant amendments

If there have been delays in completing your project, changes in equipment types or costs, DEQ can help by you requesting an amendment to your original grant agreement if notified at least 30 days in advance of project completion date.

8.1.5 Grant reporting

8.1.5.1 Quarterly reports

Quarterly project status reports are due Jan. 10, April 10, July 10, and Oct. 10 of each year during the project period. For each due date, please fill out the **Diesel Emissions Mitigation Grant Quarterly Report Form** and email to dieselgrants@deq.oregon.gov.

These status reports must include the progress made towards the project goals, including a description of the vehicles purchased, retrofitted, or scrapped the successes and lessons learned from the project to date and the planned activities for the next quarter.

8.1.5.2 Final report

Grantees must complete a final project status report that is due at the project completion date.

The project's final report must include summary information on technical progress (outputs and outcomes), the successes and lessons learned from the project to date, income from vehicle scrapping and any additional comments to provide input on the project process.

The final report includes the engine model year, engine tier, engine horsepower, engine duty cycle, engine cylinder displacement, engine number of cylinders, engine family name, engine fuel type, annual idling hours reduced, annual hoteling hours reduced, and annual diesel gallons reduced for each piece of equipment purchased under the grant agreement.

8.1.5.3 Annual reports

Annual reports are due **NO LATER** than June 30 of each year for three years following completion of the grant agreement. DEQ requests vehicle fleet information updates including VIN number; total annual vehicle miles and hours traveled; annual miles traveled in Oregon (must be at least 50%) for each piece of equipment purchased under the grant agreement; and any additional comments regarding the vehicle or grant program. Submit annual reports to dieselgrants@deq.oregon.gov.

8.1.6 Proof of retrofit (for DERA Option Projects Only)

Proof of retrofit equipment installation must be submitted for processing your payment. DEQ requires:

- Copies of the Equipment Warranty(ies)
- Installer's invoices
- Photo(s) of installed equipment
- A copy of the check used to pay for the equipment

8.1.7 Scrapping vehicle - Certificate of Destruction

Please fill out the **DEQ Certificate of Destruction** with required photo documentation for all vehicles identified in **Exhibit A** of your grant agreement to be scrapped and destroyed. These forms and photos must be sent to DEQ by the invoice deadline.

Proof of scrappage requirements:

1. Photo: Side profile of vehicle
2. Photo: VIN
3. Photo: Engine label
4. Photo: Chassis rail cut in half
5. Photo: Engine block, prior to cutting the 3-inch hole
6. Photo: Engine block, after cutting the 3-inch hole
7. Photos: Upon review, DEQ may request additional photos as needed.

8.2 DERA option grant administration requirements

DERA Option funding includes projects that are retrofits and other types of vehicle/equipment replacements that qualify under federal standards with Diesel Emissions Mitigation Grant eligibility. Due to the federal standards applied, the submitted paperwork for project closeout and reimbursement request to DEQ will include federal exhibits (*see Section 6.22 to Section 6.25*).

Exhibit E must be submitted within 30 days of entering into a grant agreement. Complete all the other exhibits and submit with the completed exhibit B.

A retrofit project is equipping the engine with emissions reducing parts. The engine requirements for Diesel Particulate Filter exhaust control technologies are vehicle engines 2006 or older (not vehicle models). Retrofit projects must also result in Mitigation of diesel particulate matter emissions by at least 85% when compared with the baseline emissions for the relevant engine year and application. The grant reimbursement amount offered for a retrofit project will be up to 100% of the cost to purchase and install exhaust controls.

Vehicle/equipment replacement projects that are eligible for DERA Option funding include Class 5-8 medium and heavy-duty highway vehicles (including drayage trucks), line haul (freight and

passenger) and switcher locomotives, marine engines, nonroad diesel engines and electrified parking spaces. A school bus replacement project that is non-diesel or non-alternative fuel (i.e., propane, natural gas, electric or diesel electric hybrid) such as gasoline may be considered for DERA Option funding. Class 3 and Class 4 school bus replacements may also be considered for this specific funding.

DEQ will review and verify project information, activity, vehicle, and equipment eligibility and DERA funding percentage, if applicable. The DERA funding limits are specific to the following information and details listed here: <https://nepis.epa.gov/Exe/ZyPDF.cgi?Dockkey=P100WKf6.pdf>. The grant reimbursement amount offered for vehicle/equipment replacement projects will be a minimum of 25% of the cost of the new vehicle or equipment.

A quick reference of eligible mitigation action categories and DERA funding limits is shown in the table below.

Table 6: Eligible mitigation categories and DERA funding limits

Class 5-8 Medium and Heavy-Duty Highway Vehicles (including Drayage Trucks)		
Activity	Engine Model Year	DERA Funding Limits
Engine replacement with diesel or alternate fueled engine, 2016 MY or newer (2013 MY or newer engine for Drayage)	1996-2009	40%
Engine replacement with engine certified to CARB's Optional Low- NOx standards, 2016 MY or newer	1996 or newer	50%
Engine replacement with an electric motor or an electric power source, 2016 MY or newer	1996 or newer	60%
Vehicle replacement with diesel or alternate fueled vehicle, 2016 MY or newer engine (2013 MY or newer engine for Drayage)	1996-2009	25% (50% for Drayage)
Vehicle replacement with vehicle powered by engine certified to CARB's Optional Low-NOx standards, 2016 MY or newer engine	1996 or newer	35% (50% for Drayage)
Vehicle replacement with all-electric vehicle, 2016 MY or newer engine	1996 or newer	45% (50% for Drayage)
Retrofits with verified exhaust control technologies (SCR is the only eligible retrofit technology for vehicles with 2007-2009 MY engines)	1996-2009	100%
Verified Aerodynamic Technologies and Low Rolling Resistance Tires (with one of above activities)	1996 or newer	100%

Class 5-8 Medium and Heavy-Duty Highway Vehicles (including Drayage Trucks)		
Activity	Engine Model Year	DERA Funding Limits
Verified Idle Reduction Technologies (APUs and generators are not eligible on vehicles with MY 2007 or newer engines)	1996-2009	25% (100% when bundled with retrofit)
Clean Alternative Fuel Conversion	1996 or newer	40%
Engine replacement with diesel or alternate fueled engine, 2016 MY or newer	1996 or newer	40%
Engine replacement with engine certified to CARB's Optional Low- NOx standards, 2016 MY or newer	1996 or newer	50%
Engine replacement with an electric motor or an electric power source, 2016 MY or newer	1996 or newer	60%
Vehicle replacement with diesel or alternate fueled vehicle, 2016 MY or newer engine	1996-2009	25%
Vehicle replacement with vehicle powered by engine certified to CARB's Optional Low-NOx standards, 2016 MY or newer engine	1996 or newer	35%
Vehicle replacement with all-electric vehicle, 2016 MY or newer engine	1996 or newer	45%
Retrofits with verified exhaust control technologies (SCR is the only eligible retrofit technology for vehicles with 2007-2009 MY engines)	1996-2009	100%
Verified Idle Reduction Technologies (APUs and generators are not eligible on vehicles with MY 2007 or newer engines)	1996-2009	25% (100% when bundled with retrofit)
Clean Alternative Fuel Conversion	1996 or newer	40%
Line Haul (freight and passenger) and Switcher Locomotives Must currently operate 1000+ hours per year		
Engine replacement with 2019 MY or newer Tier 4 engine	Unregulated - Tier 2; Tier 2+ switcher	40%
Engine replacement with 2019 MY or newer all- electric engine	Unregulated - Tier 2; Tier 2+switcher	60%
Locomotive replacement with equipment powered by a 2019 MY or newer engine (diesel or alternate fuel)	Unregulated - Tier 2; Tier 2+switcher	25%

Class 5-8 Medium and Heavy-Duty Highway Vehicles (including Drayage Trucks)		
Activity	Engine Model Year	DERA Funding Limits
Locomotive replacement with 2019 MY or newer all- electric equipment	Unregulated - Tier 2; Tier 2+ switcher	45%
Certified Remanufacture System or Verified Engine Upgrade	Unregulated Tier 2+	40%
Retrofit with verified exhaust control technology	Unregulated Tier 2+	100%
Idle reduction technology, including shore power	Unregulated Tier 2+	40%
Marine Engines		
Must currently operate 1000+ hours per year		
Engine replacement with a 2019 MY or newer Tier 3 or Tier 4 engine (diesel or alternative fuel)	Pre-Tier 3	40%
Engine replacement with 2019 MY or newer all- electric engine	Pre-Tier 3	60%
Vessel replacement with 2019 MY or newer Tier 3, Tier 4, or zero emission engine	Pre-Tier 3	25% (45% for zero emission)
Certified Remanufacture System or Verified Engine Upgrade	Pre-Tier 3	40%
Marine Shore Power Connection System		
Engine replacement with a 2019 MY or newer Tier 3 or Tier 4 engine (diesel or alternative fuel)	Pre-Tier 3	40%
Engine replacement with 2019 MY or newer all- electric engine	Pre-Tier 3	60%
Vessel replacement with 2019 MY or newer Tier 3, Tier 4, or zero emission engine	Pre-Tier 3	25% (45% for zero emission)
Certified Remanufacture System or Verified Engine Upgrade	Pre-Tier 3	40%
Marine Shore Power Connection System		
Costs associated with shore-side system	N/A	25%

Class 5-8 Medium and Heavy-Duty Highway Vehicles (including Drayage Trucks)		
Activity	Engine Model Year	DERA Funding Limits
Nonroad Diesel Engines		
Must operate 500 + hours per year (250+ for ag pump)		
Engine replacement with all-electric engine	0-50 HP = 2006	60%
Equipment Replacement with 2019 MY or newer all- electric equipment	and newer; 51-300 HP =	45%
Engine replacement with a 2019 MY or newer engine (diesel or alternative fuel)	1996 and newer; 301+HP = 1986	40%
Equipment replacement with equipment powered by 2019 MY or newer engine (diesel or alternative fuel)	and newer; See FY 2019	25%
Retrofit with verified exhaust control technologies	State Clean Diesel Program	100%
Verified Engine Upgrade	Guide for complete engine tier restrictions	40%
Electrified Parking Spaces (Truck Stop Electrification)		
Labor and equipment of eligible EPA SmartWay verified electrified parking space technologies	N/A	30%

8.2.1 Exhibit C – State of Oregon DEQ MBE/WBE Utilization Semi-Annual Report

Exhibit C is a Minority Business Enterprise (MBE)/Women's Business Enterprise (WBE) form that's required from the EPA annually by Oct. 15 of each year and at project closeout.

MBEs are entities that are at least 51% owned and/or controlled by a socially and economically disadvantaged individual as described by Title X of the Clean Air Act Amendments of 1990 (42 U.S.C. 7601 note), and Public Law 102-389 (42 U.S.C. 4370d), respectively. WBEs are entities that are at least 51% owned and/or controlled by women (under the 10% and 8% statutes).

This form must be filled out whether or not MBE/WBE firms were contracted. DEQ Reporting Contact, 2C. Phone, 3A. Reporting Recipient (Name and Address), 3B. Reporting Contact, 3C. Phone, 4A. Grant Number and 5A. Grant Amount.

Here are helpful tips in completing this form with a focus on project closeout:

- **Item 1B.** Reporting Period, please select 1st (Oct. - March) or 2nd (April – Sept.) and select at project closeout only the box underneath station “check if this is the last report for the project (project completed)”
- **Item 5B.** Checkbox for non-procurement and non-award, please leave the box unchecked at project closeout only
- **Item 5C.** Checkbox for sub-awards and contracts, please select the appropriate boxes for sub-awards and contracts issued
- **Item 5C.** Total Procurement Amount, please enter Total Procurement Amount
- **Item 6.** Comments, please include a comment if no MBE/WBE used
- **Item 7.** Type the Name of Authorized Representative
- **Item 8.** Signature of Authorized Representative

Figure 33: Example

EXHIBIT C (Part 1)
(Form DEQ5700-52A)

STATE OF OREGON – DEPARTMENT OF ENVIRONMENTAL QUALITY
MBE/WBE UTILIZATION
SEMI-ANNUAL REPORT

PART 1. REPORTS ARE REQUIRED EVEN IF NO PROCUREMENTS ARE MADE DURING THE REPORTING PERIOD.

1A. FISCAL YEAR 2021 (Fiscal Year October 1 – September 30)	1B. REPORTING PERIOD (Fiscal Year): <input type="checkbox"/> 1st (Oct-Mar) <input type="checkbox"/> 2nd (Apr– Sept) <input type="checkbox"/> Check if this is the last report for the Project (Project completed).
1C. REVISION: Year: ____ Quarter: ____	BRIEFLY DESCRIBE THE REVISIONS YOU ARE MAKING:
2A. FINANCIAL ASSISTANCE DERA Option -	3A. REPORTING RECIPIENT (Name and Address)
2B. DEQ REPORTING CONTACT	2C. PHONE
4A. GRANT# 11100 PCA #	AGREEMENT#
5A. GRANT AMOUNT :	5B. <input type="checkbox"/> Check if NO procurement and NO accomplishments were made this reporting period. Procurements are all expenditures through contract, order, purchase, lease or barter of supplies, equipment, construction, or services needed to complete work authorized by the Agreement. Accomplishments, in this context, are procurements made with MBEs and/or WBEs.

5C. Total Procurement and MBE/WBE Accomplishments This Reporting Period (Only include amount not previously reported.)
 Were sub-awards issued under this Grant Agreement? Y N Were contracts issued under this Grant Agreement? Y N
 Total Procurement Amount \$ _____ (Include total dollar values awarded by Recipients and sub-recipients.)
 Actual MBE/WBE Procurement Accomplished: (Include total dollar values awarded by recipient and sub-recipients.)

	<u>Construction</u>	<u>Equipment</u>	<u>Services</u>	<u>Supplies</u>	<u>Total</u>
\$MBE:	—	—	—	—	—
\$WBE:	—	—	—	—	—

6. COMMENTS: (If no MBE/WBE procurements were accomplished during the reporting period, please explain what steps you are taking to achieve the MBE/WBE Program requirements specified in the Grant Agreement.)

7. NAME OF AUTHORIZED REPRESENTATIVE	TITLE
8. SIGNATURE OF AUTHORIZED REPRESENTATIVE	DATE

MAIL COMPLETED FORM TO: Dept. of Environmental Quality - Accounting Office
700 NE Multnomah Suite 600
Portland OR 97232

DERA (3/20/2019-DOJ approved) 11

EXHIBIT C (Part 2)
STATE OF OREGON – DEPARTMENT OF ENVIRONMENTAL QUALITY
MBE/WBE PROCUREMENTS MADE DURING REPORTING PERIOD

PART 2

Procurement Made (check one)	Business Enterprise (check one)		\$ Value of Procurement	Date of Procurement	Type of Product or Service (Enter Code)	Name/Address of MBE/WBE Contractor or Vendor
	Recipient	Other				

Product / Service Codes

1	Construction
2	Supplies
3	Services
4	Equipment

DERA (3/20/2019-DOJ approved) 12

8.2.3 Exhibit E – ODEQ Federal Funding Accountability and Transparency Act

Exhibit E is a Federal Funding Accountability and Transportation Act form that's required within 30 days of entering a grant agreement. Information will be auto populated from an approved and finalized grant agreement in this document for **PCA #**, **Recipient Name**, **Recipient Address** and **Project Name**. The authorized signer will select the appropriate boxes and complete the entire signature fields in **Section D**. This form must be submitted within 30 days of entering into a grant agreement.

Figure 35: Example

Exhibit E
Oregon Department of Environmental Quality
Federal Funding Accountability and Transparency Act (FFATA) Certification

DEQ Grant Agreement #: 054-21

Federal Grant: DERA Option

Federal Grant Title: State Clean Diesel Grant

PCA #:

Recipient Name:

Recipient Address:

Project Name:

The certifications enumerated below represent material facts upon which DEQ relies when reporting information to the federal government required under federal law. If the DEQ later determines that the Recipient knowingly rendered an erroneous certification, DEQ may pursue all available remedies in accordance with Oregon and U.S. laws. Signer further agrees that it will provide immediate written notice to DEQ if at any time Signer learns that any of the certifications provided for below were erroneous when submitted or have since become erroneous by reason of changed circumstances. If the Signer cannot certify all of the statements contained in this section, Signer must provide written notice to DEQ detailing which of the below statements it cannot certify and why.

Did your organization have a gross income, from all sources, of less than \$300,000 in your previous tax year?

Yes - skip questions A, B, and C and continue to section D.

No - answer questions A and B.

A. Certification Regarding Percent (%) of Annual Gross from Federal Awards

Did your organization receive 80% or more of its annual gross revenue from federal awards during the preceding fiscal year?

Yes No

B. Certification Regarding Amount of Annual Gross from Federal Awards

Did your organization receive \$25 million or more in annual gross revenues from federal awards in the preceding fiscal year?

Yes – answer question C.

No – skip question C.

If your answer is Yes to both questions A and B, you must answer question C.
If your answer is No to either question A or B, skip question C and continue to section D.

C. Certification Regarding Public Access to Compensation Information.

Does the public have access to information about the highly compensated officers/senior executives in your business or organization (including parent organization, all branches, and all affiliates worldwide) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

Yes

No - provide the names and total compensation of the top five highly compensated officers/senior executives.

D. Signatures

As the duly authorized representative (Signer) of the Recipient, I hereby certify that the statements made by me in this certification form are true, complete, and correct to the best of my knowledge.

Signature of Authorized Representative	
Printed Name of Authorized Representative	
Title of Authorized Representative	
Legal Name of Recipient	
Date	
DUNS #:	

9. Technical Assistance Funding

Grant funding may be available to provide technical assistance for a project in support of (Disadvantaged, Minority, Women, or Emerging Small Business) or Service-Disabled Veteran-Owned Small Business applicants as certified by the State of Oregon Certification Office for Business Inclusion and Diversity, based on a request and a statement of need. However, such an award will not exceed 15% of total maximum reimbursement amount available for project costs and may be less, at DEQ's discretion, subject to overall program administrative expenditure limits.

For eligible businesses that would like to register for Oregon's Certification Office for Business Inclusion and Diversity, please follow the steps here:

<https://www.oregon.gov/biz/programs/COBID/Pages/default.aspx>.

In addition to potential funding for specific businesses, DEQ will also provide all applicants with technical assistance based on the volume of requests and amount of staff time available. DEQ staff will be able to provide support and answer questions about pre-application work, developing a fleet inventory, recording diesel engine family names of equipment, grant administration, grant

closeout activities and tracking program requirements. This user guide is designed to provide all the information applicants need to participate in DEQ's diesel emissions mitigation grant program. Please send additional questions to dieselgrants@deq.oregon.gov.