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I. BACKGROUND, FUNDING ALLOCATION, PROJECT SOLICITATION

A. Background
On June 20, 2013, the Governing Board of the North Coast Unified Air Quality Management District (NCUAQMD) adopted resolution 2013-4 authorizing the District to participate in the Carl Moyer Memorial Air Quality Standards Attainment Program (Carl Moyer Program). The Carl Moyer Program is a partnership between the California Air Resources Board (ARB) and local air districts to provide grants for some or all of the incremental purchase costs for cleaner – than – required engines, equipment and other sources. The Carl Moyer Program (CMP) complements California’s air pollution regulatory programs by encouraging customers to reduce air pollution emissions prior to regulatory requirements. Since its inception the CMP has aimed to reduce air pollution, specifically the ozone precursor pollutants: nitrogen oxides (NOx), particulate matter (PM) emissions, and reactive organic gases (ROG).

The North Coast Unified Air Quality Management District has been voluntarily participating in the Carl Moyer Program since its establishment in 1998. The NCUAQMD (District) is comprised of three (3) counties: Humboldt, Del Norte and Trinity. As of 2014, all three counties are classified by the State of California as meeting the health protective standard for NOx emissions. The continued reduction of NOx and PM10 emissions from heavy-duty internal combustion emissions plays an important role in the NCUAQMD’s attainment status. The District continues to achieve and maintain compliance with health protective standards of federal and state ambient air quality standards by actively encouraging owners of older diesel engines to employ the various types of newer, cleaner technology available today through the Carl Moyer Program. A byproduct of participation in the CMP is that it stimulates both local and state economies by increasing the demand for newer technologies.

The California Air Resources Board oversees the overall administration and guidance of the Carl Moyer Program through allocation of program implementation funds, guideline development and revisions, project type and criteria, and the determination of methodologies for project cost-effectiveness evaluation. In addition, ARB staff issues technical advisory mail-outs to provide clarification and updates on specific areas, and regulation changes. The CMP Guidelines (Guidelines) form the basis for selecting, funding, and monitoring specific clean air projects in local districts. They also spell out basic requirements for eligibility criteria, cost-effectiveness criteria, reporting practices, and administrative procedures for projects in different source categories.

The Guidelines require each participating district to establish policies and procedures for administration of the CMP. The intent of the NCUAQMD’s Policies and Procedures Manual is to explain to stakeholders how the District intends to implement the program in Humboldt, Del Norte, and Trinity Counties.

B. Funding Allocation
The District’s Financial & Human Resources Administrator along with District’s Carl Moyer Program Staff track administrative expenditures in accordance with general accepted
accounting principles (GAAP), and the accounting practices that have been established in the most recent Carl Moyer Program Guidelines.

The District will receive a Grant Agreement package from ARB, following the solicitation and tentative grant allocation paperwork. The grant agreement states the funding amount to be awarded to the District, required match amount, and any applicable special terms and conditions. The ARB Grant Agreement package must be signed by the APCO and submitted prior to the submission of any Grant Disbursement Request Forms. The District may request up to ten percent (10%) of its project funds or $200,000 whichever is greater as its initial disbursement in addition to all of the administrative funds.

Prior to receiving any subsequent disbursements, the District must complete and submit the Yearly Report to ARB by August 29th. The Yearly Report shows that the District has met its expenditure milestones [California Health & Safety Code sections 44287(j)]. The Grant Disbursement Form must also be accompanied by a list of projects that are under executed agreements with the District. The total cost of the projects listed should be equal to or greater that the amount of the disbursement request.

Annual project funding amounts will vary from year to year depending upon the tentative allocation amount determined by ARB, and the availability of NCUAQMD matching funds. Moyer fund amounts in a specific Moyer Year may increase if the District decides to accept redirected funds from an outside air district, or the opposite could occur if the District redirects funds. The District may also consider participation in the California Air Pollution Control Officers Association (CAPCOA) sponsored Carl Moyer Rural Assistance Program (RAP) for additional project funding. In all cases, the funds received that are not liquidated by the District within four (4) years will be returned to ARB within ninety (90) days of the liquidation deadline, June 30th. No additional disbursements will be made to the District until the funds subject to the liquidation deadline have been received by ARB, pursuant with SB 315 and California Health & Safety Code (H&SC) sections 44287.

- **CARL Database**
  Carl Moyer Program staff use the Carl Moyer Program Clean Air Reporting Log (CARL) database to track and report expenditure of funds on projects. Each database entry specifies the funding source (e.g. Match - $2 DMV Fee, Moyer, Moyer Interest, Multi-district).

- **Administrative Costs**
  Fiscal Staff tracks all administrative costs associated with the implementation of the CMP, including data from the following sources: employee timesheets, vehicle mileage logs, purchase orders, indirect costs, travel costs, and per diem rates. District travel costs and per diem rates are specified in the District Personnel Manual. Indirect costs will be calculated on a percentage of hours spent by staff on the grant program per 75-hour pay period over the fiscal year, in a given expense category. Expense categories include, but are not limited to: fees for legal notices, legal counsel, office supplies, accounting, computer maintenance, communications (telephone and internet), vehicle expenses, liability insurance, building maintenance, equipment
maintenance, janitorial expenses, and utilities.

- **Earned Interest**
  All CMP funds are segregated from other District monies and are held on deposit in interest bearing accounts. The calculation of interest is based on the average daily balance of the account. Earned interest is immediately made available for expenditure on approved projects.

- **Residual Funds**
  The District attempts to expend all of a given program year’s funding within the fiscal year it is received. Residual funds, including any unexpended earned interest, are made available the following fiscal year. See the Appendix for a sample of the spreadsheet used to track funding.

### C. Solicitation
The NCUAQMD maintains an active program for the solicitation of grant proposals from the public. In order to reach all sectors of the community, the NCUAQMD utilizes a variety of distribution methods, which include the following:

- **Local Media**: Newspapers of daily circulation in all three counties, banners/billboards, and public service announcements
- **Direct Marketing**: Direct mailers (postcards), flyers, brochures, email announcements, and Notices at the Governing Board meetings.
- **Online Marketing**: The District’s Website and the District’s Facebook page.

The type of distribution methods used may vary depending on the type of project. The NCUAQMD consistently uses newspapers, online marketing, and notices to the Governing Board for all project types. The NCUAQMD also maintains an emailing list of interested parties who receive a copy of the annual program announcement.

All solicitation documents are reviewed by the Carl Moyer Program Manager prior to publication and distribution.

### II. ELIGIBLE PARTICIPANTS AND PROJECT TYPES

Any individual, company or public agency may apply to receive an incentive under this program. For public agencies, a resolution from the agency’s governing board must accompany the application.

The determination of eligibility and the extent of individual incentives are determined by the current version of ARB approved Carl Moyer Program Guidelines, and by the Guidelines, Policies and Procedures of the NCUAQMD. The Guidelines are available at: [http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm](http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm). Further information, including project application forms, may be obtained by contacting the District’s Carl Moyer Grant Program Staff at the NCUAQMD Office at (707) 443-3093, or from the
NCUAQMD’s website, http://www.ncuaqmd.org. Specific types of projects eligible for funding include:

A. **On-Road Heavy Duty Vehicles (HDV)**

On-road vehicles encompass a large variety of vehicles such as heavy-duty trucks (HDV), buses, school buses, transit vehicles, drayage trucks, solid waste vehicles (SWCV), public agency/utility vehicles and emergency vehicles. Medium duty (14,001 < 33,000 lbs) and heavy duty (33,001 or more lbs) vehicles are eligible. There are three (3) main types of projects: purchase of new vehicle, repower, and conversions. Retrofit projects may also be eligible for funding on a case-by-case basis. Each is discussed below. [Note: District reserves the right to specify were project funds shall be allocated, based on current District priorities.]

- **New vehicle purchase (Replacement)** – The replacement of an older, higher polluting vehicle with a newer, cleaner vehicle. These projects may be funded through contracts or thorough the voucher programs listed below:
  - **Voucher Incentive Program (VIP)** – Owners of a 2009 or older vehicle who surrender the vehicle will receive up to $45,000 toward the purchase of a new or used equivalent replacement unit equipped with a model year 2013 or newer engine. Funding amounts are based on the **On-Road VIP Funding Matrix for Truck Replacements**, and are subject to change on a calendar year basis. To be eligible, the replacement vehicle must have at least an engine certified to the 0.20 g/bhp-hr NOx and 0.01 g/bhp-hr of PM. (see Appendix R)
  - **Truck Improvement/Modernization Benefitting Emission Reductions (TIMBER) Program** – Funding is limited to 2006 or older logging trucks, and which must be registered for the Truck and Bus Regulation Log Truck Phase-In, NOx Exempt or Small Fleet option. Owners may receive funding for up to ten (10) logging trucks per year. Logging trucks that are surrendered may receive up to $60,000 toward the purchase of a new or used equivalent replacement unit equipped with a model year 2010 or newer engine (0.50 g/bhp-hr NOx and 0.01 g/bhp-hr PM or cleaner). Funding amounts are based on the **TIMBER Funding Table.** (see Appendix S)

- **Repower** – Replacement of existing older, dirtier engine with new cleaner engine. Due to technological constraints, ARB staff has determined that funding opportunities will be limited.

- **Conversion** – Replacement or modification of the original engine or vehicle to include either a cleaner engine or other system that provides motive power and change of fuel type used. These include both hybrid and electric certified conversion systems.
B. Off-Road Equipment

Off-Road engines are used in a wide array of equipment types including mobile, portable and stationary, off-road compression-ignition (CI or diesel), and large spark ignition (LSI) such as construction, agricultural, and industrial equipment. Off-road equipment projects fall into three main categories: repower of equipment replacement, repower of existing equipment, and retrofit with a verified emission control strategy.

a. Replacement Equipment Purchase

i. New or Used Replacement Equipment—Purchase of new or used equipment with an engine certified to the current emission standard or Tier to replace existing equipment that is to be scrapped. (see Appendix N)

ii. Off-Road Voucher Incentive Program (ORVIP) – Purchase of new equipment to replace the existing equipment that is to be scrapped. The new equipment must have an engine that meets the current California emission standards (Tier) or the current United States Environmental Protection Agency (U.S. EPA) emission standards (Tier) if it is a federally preempted engine. Existing equipment must meet the minimum annual usage (hour) requirement for funding. Funding amounts are determined using Off-Road VIP Funding Matrixes. (see Appendix O)

C. Repower

Replacement of the existing engine with a newer emission-certified engine instead of rebuilding the existing engine to its original specifications. Replacement engines must be the current applicable standard or Tier. In cases where replacement with an engine meeting the current applicable standard is technically infeasible, unsafe, or not available, the replacement engine must meet the most practicable previously applicable emission standard.

D. Retrofit

The installation of an Air Resources Board (ARB) verified diesel emission control system (VDECS) on an existing engine. The retrofit must be verified by ARB to the highest level available. Examples include, but are not limited to particulate filters and diesel oxidation catalysts.

C. Marine Vessels

In the NCUAQMD marine vessel projects may qualify for incentive funding through repower, remanufacture kits, retrofits, hybrid systems, ship-side shore power projects, or marine vessel exhaust capture and control system. Funding opportunities for Harbor Craft is dependent on compliance status (Refer to CMP Guidelines and Commercial Harbor Craft Regulation).
• **Repower** – The replacement of an older engine with a newer cleaner engine. All marine vessel project replacement engines must be surplus to the currently required United States Environmental Protection Agency (U.S. EPA) marine engine emission standard (i.e. Tier 3 or cleaner).

• **Remanufacture Kit** – Kits are comprised of engine component parts that, when installed, reduce the engine’s emissions. Limited Moyer funding opportunities remain for those vessel engines subject to the in-use compliance requirements of the Commercial Harbor Craft Regulation. Remanufacture must be completed at least three years prior to the vessel’s in-use compliance date.

• **Retrofit** – The installation of an ARB verified diesel emission control strategy (VDECS). *Because of the lack of systems verified for marine applications, they will only be considered for funding on a case by case basis.*

• **Hybrid System** – The installation of an EPA verified hybrid system. A hybrid system implements various strategies (e.g. engine switching, electric power) to reduce emissions of NOx, ROG, and PM.

• **Ship-Side Shore Power Projects** – The retrofit of a marine vessel to enable shore power connection. Ship-side shore power projects are not eligible unless the applicant can demonstrate that it will be surplus to the implementation requirements of ARB’s Shore Power Regulation.

• **Marine Vessel Exhaust Capture and Control System** – The retrofit of a marine vessel to enable shore power connection. Ship-side shore power projects are not eligible unless the applicant can demonstrate that it will be surplus to the implementation requirements of ARB’s Shore Power Regulation.

D. Infrastructure

The infrastructure option provides funding for the installation of fueling and energy infrastructure to fuel or power covered sources. These fuel and power covered sources include but are not limited to on-road and off-road, agricultural and marine vessel emission sources. Each of the project types may have infrastructure components, if requested.

III. APPLICATION PROCESS

Each year in spring to early summer, the NCUAQMD announces the availability of contract based CMP Grant funding opportunities and identifies a deadline by which all project applicants desiring consideration must submit applications. Financial incentives are available to any owner of diesel engine powered vehicles or equipment based and operated primarily within the District. As of 2018 funding is also available for eligible infrastructure projects. The procedures for application submittal and processing are
• The NCUAQMD accepts funding for contract based project applications in the spring or early summer months, typically a couple of months prior to the CAPCOA Rural Assistance Program (RAP) deadline. The application period typically lasts no less than thirty (30) days. Application forms are available at the District Office, on the Internet at the www.ncuaqmd.org or by contacting the Carl Moyer Grant Program Staff at (707) 443-3093.

  o Voucher based projects are first-come, first-serve basis as per the guidelines. Application period is open until the funds associated with that project type (e.g. On-road VIP, TIMBER, etc.) are exhausted. If the funds are exhausted, the applicant is notified by a letter and a follow-up phone call.

• Each applicant must submit complete application to the NCUAQMD and meet the general program criteria as applicable. Completed applications may be submitted by mail or hand delivery. **FAXES WILL NOT BE ACCEPTED.**

• Applicants must certify that they are authorized to apply for Moyer Program funding, and to authorize any required project match, when submitting the application for funding. Applications from public agencies must include a resolution from the agency’s governing board.

  o SB 315 amended CMP Guidelines to allow for projects to be co-funded with multiple funding sources. There is no limit on the number of co-funding sources as long as they do not total project costs and the applicant cost share requirement is met. Co-funding sources include non-Moyer funds (e.g. Federal funds, state funds, local funds, penalty funds, and other applied funds) and mitigation funds (case-by case determination required).

• In accordance with **California H&SC 44288(a)**, within five (5) working days of submission, applicants will be notified if their application is incomplete. Notification will be either in the form of a letter or email, and may be followed-up with a phone call. Applicants of incomplete applications will be given a description of areas in which the application is inadequate. The applicant may choose to re-submitted the entire application, or submit areas that were found to be incomplete. In house tracking of projects is done using Excel worksheets. Any application that is not returned to the NCUAQMD with the requested information within fourteen (14) calendar days from the date of processing is rendered null and void, and resubmission is required for further consideration.

  o Applications that are not selected will be kept on file for two years. The Carl Moyer Program Grant applicant will be notified of the disposition of their application via letter or email. The applicant will notified within twenty-one (21) calendar days of the project selection.
For VIP and TIMBER applicants the rejection letter will be accompanied by the application package that was originally submitted to the NCUAQMD. The rejection notification and letter format will be based on what is outlined in the associated guidelines.

The NCUAQMD participates in ARB’s project-tracking system, an electronic database Carl Moyer Program Clean Air Reporting Log (CARL) system to record the name and address of the project owner, the category of project and the type of baseline engine. An application is assigned a unique alpha-numeric identifier. If a project is selected for funding, a second unique alpha-numeric identifier is assigned replacing the application number. The project number consists of three components: (1) the program guideline used (Carl Moyer, TIMBER, etc.); (2) the Carl Moyer funding year when the project was selected; and (3) the number indicating the order in which the project was ranked. The project number or tag is permanent following the project through till completion.

Application forms must be mailed or delivered to:

North Coast Unified AQMD
Attn: Carl Moyer Program
707 L Street
Eureka, CA 95501

IV. PROJECT SELECTION FOR CONTRACT BASED PROJECTS

All projects must meet the minimum requirements stated in the latest Carl Moyer Program Guidelines and ARB Technical Advisories. All completed project applications received during the initial thirty (30) day application period are entered into the CARL Database and are then ranked according to District protocol. This methodology was selected due to the high demand for funding and allows the NCUAQMD to select the most cost effective projects through the use of a competitive rating and ranking process. The selection criteria and method of ranking used in choosing the projects will be documented during the project selection. Projects are ranked based on the following criteria:

A. Cost effectiveness – (maximum 65 points)
   Cost of project divided by the weighted tons of pollutants reduced. The projects with the lower cost per ton of pollutant are given preference according to a table of cost-effectiveness ranges and the points awarded, as seen in the example below. These values are subject to change from year to year depending on the current cost-effectiveness limit. Changes in the cost-effectiveness ranges and the points awarded shall be documented as part of the project selection.
<table>
<thead>
<tr>
<th>Cost-Effectiveness Range ($per weighted ton)</th>
<th>Points Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>More than $30,000</td>
<td>0 points</td>
</tr>
<tr>
<td>$21,000 to $30,000</td>
<td>10 points</td>
</tr>
<tr>
<td>$16,000 to $20,000</td>
<td>21 points</td>
</tr>
<tr>
<td>$11,000 to $15,000</td>
<td>32 points</td>
</tr>
<tr>
<td>$8,000 to $10,000</td>
<td>43 points</td>
</tr>
<tr>
<td>$5,000 to $7,000</td>
<td>54 points</td>
</tr>
<tr>
<td>Less than $5,000</td>
<td>65 points</td>
</tr>
</tbody>
</table>

B. Location – (maximum 15 points, except for Marine Vessels)

Projects which occur in or near populated areas are given preference according to the following table. Marine vessels are awarded 10 points.

<table>
<thead>
<tr>
<th>Project Location</th>
<th>Points Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within incorporated areas (City Limits of Arcata, Crescent City, Eureka, Fortuna, Ferndale, Garberville, Willow Creek, and Trinidad), Within 10 air miles of the Trinity Co. Courthouse in Weaverville, Unincorporated Area with greater than 10 persons per square mile, Unincorporated Area with less than 10 persons per square mile</td>
<td>15 points, 15 points, 10 points, 5 points</td>
</tr>
</tbody>
</table>

C. Small Business Projects – (maximum 10 points)

Projects which are proposed by small businesses which are defined as commercial operations with less than 10 employees, or commercial operations with an annual gross income less than 2 million dollars.

D. Final Determination

The APCO shall make the final determination as to which projects will receive Carl Moyer funding. The APCO will review Staff recommendations and may consider additional factors including but not limited to District resources, projects funded by other District programs, and specific community needs. Applicants are promptly notified via letter which is then followed-up with a phone conversation to confirm program requirements, terms of grant contract, and to schedule a pre-inspection.

V. PROJECT CONTRACTUAL REQUIREMENTS & PROCESS

The determination of eligibility and the extent of individual incentives are determined by the current version of ARB approved Carl Moyer Program Guidelines, and by the Guidelines, Policies and Procedures of the NCUAQMD. The Guidelines are available at: [http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm](http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm). A typical project’s “life” can be divided into two phases: equipment purchase & installation, and equipment operation & maintenance. During the purchase & installation phase, contractual agreements are
signed, engines ordered and installed, inspections are performed, invoices submitted, and payments remitted to the applicant. During the operation & maintenance phase, the applicant operates the engine for the number of years specified in the contract, inspections are performed, and annual reports submitted to the NCUAQMD.

A. Equipment Purchase & Installation

1. Completed applications fulfilling the criteria will typically be approved within sixty (60) working days of receipt, subject to available funding, program, and cost-effectiveness criteria. Upon approval of the application pre-inspection of the engine will be conducted to verify information submitted in the project application, and to verify baseline engine integrity.

2. The NCUAQMD will prepare a contract for signature by the applicant and the NCUAQMD. Contracts shall only encompass a single project (e.g. engine repower). If multiple equipment units are to repaired, replaced, or retrofitted, each shall have a separate contract (e.g. when multiple pieces of equipment are to be repowered, each piece of equipment shall have its own contract).

   The contract process may take several days to complete. Contracts must be signed by both parties before any equipment may be ordered. Failure to comply with this requirement will result in disqualification of the application for funding. If the NCUAQMD and the applicant are unable to agree on project terms within sixty (60) days after beginning the agreement negotiation phase, the NCUAQMD Air Pollution Control Officer (APCO) may elect to render the application null and void.

3. Contracts will, at minimum, contain the following provisions:

   a. Applicant agreement that any emission reductions associated with this program will be claimed and then retired by the NCUAQMD in the interest of air quality improvement. Purchaser waives, for all time, the right to claim emission reduction credits which may accrue at any time as a result of this program, and agrees not to apply to the NCUAQMD or any other agency for such credits.

   b. Insurance coverage shall be maintained for the full contract term and the applicant shall provide evidence of coverage prior to contract signature unless waived by the APCO. The cost of replacement / damage coverage on the vessel can be as high as $30,000 per year thereby lessening the impact of the award.

   c. District will conduct periodic inspections. The ARB retains authority to audit, inspect, and initiate legal action as necessary.

   d. Maintenance of the engine/retrofit device(s) according to the manufacturer’s specifications for the term of the contract.

   e. Repercussions for nonperformance and violations of Moyer Program
project requirements include pro-rated repayment based on remaining time in contract term, usage waiver, fines, or other remedies available under the law.

f. California Air Resources Board, as a third-party beneficiary, reserves the right to enforce the terms of the contract at any time during the contract term to ensure emission reductions are obtained.

g. Identification of reporting requirements and their frequency (insurance certificate & hours of operation submitted annually). Record Retention for at least two (2) years past contract expiration, and at least three (3) years after payment, whichever is greater.

h. Establishment of a minimum number of miles traveled, or minimum number of hours operated; in addition to a requirement for 100% operation in California, as applicable in accordance with CMP Guidelines.

4. The applicant will have sixty (60) calendar days from execution of the contract (its signature by both parties) to place a purchase order for the equipment (e.g. lower emission engine).

5. The applicant and/or dealership will provide notification to the NCUAQMD when either 1) the replacement engine and/or equipment has been delivered, or 2) work to replace or retrofit an existing engine has been completed. The NCUAQMD will then perform a post project inspection; Seventy-two (72) hour advance notice is required. The NCUAQMD will determine if the agreement requirements have been met and will provide a written determination to the Contractor within thirty (30) days. Once the agreement has been satisfied, and the goods and services paid for by the applicant, the District will transmit the incentive amount to the applicant within 30 calendar days of receipt of the Notice of Project Completion (see VII General Program Administration).

6. During the post-project inspection, the NCUAQMD will verify the reduced engine installation, that the goods and services were actually paid for by the applicant, and that the baseline engine was destroyed or “scrapped”. Verification of scrappage will be confirmed by photographing the device. During the post-project inspection, the inspector will verify the baseline engine is scrapped in accordance with current Carl Moyer Program Guidelines.

B. Equipment Operation & Maintenance

1. The NCUAQMD shall conduct random onsite inspections of replacement engines and/or equipment to verify their operational status. Reasonable efforts shall be made to verify that operation of the device is occurring according to conditions of the contract.

2. The Grantee will be required to prepare and submit annual reports for the entire
length of the contract term. The reports shall include such information as vehicle miles traveled, fuel consumed, and details regarding maintenance. Reports shall be postmarked no later than January 31st of the year following the year of reported activity

3. If the applicant fails to fulfill obligations of the contract, the District will seek either full or a pro-rated portion of the funds in accordance with CARB Best Management Practices.

C. Contract Modifications
To apply for a Moyer grant, the applicant must provide detailed information on the baseline engine and equipment as well as the proposed replacement engine and installation costs. Projects are then selected for funding based upon their projected cost effectiveness which is evaluated on a dollar per ton of pollutant reduced basis. VIP and TIMBER projects are the exception as they are awarded on a first come first served basis. To ensure the District receives the full amount of contracted pollution reductions, the contract specifically identifies the equipment to replaced, the replacement device, and a commitment to a minimum activity component typically measured in hours operated per year and hours operated over the contract term. Like any construction project, Moyer projects are subject to delays, cost overages, equipment substitutions, etc. In such an event, the contract will require modification pursuant to this section. A reduction in cost effectiveness shall mean “an increase in the cost of the pollutant reduction” (e.g. going from $1,000 per ton to $2,000 per ton of pollutant reduced).

1. In the event that an equipment substitution, cost increase or other instance requiring an amendment of a contract term occurs, if the requested amendment results in a 10% or greater reduction in the project’s cost effectiveness, the modification shall not be made.

2. In the event a requested amendment results in a 10% or less reduction in the project’s cost effectiveness AND the proposed cost effectiveness will not affect the project’s ranking in the applicant pool, the contract may be modified to accommodate the requested change. Staff shall draft a memo for the file documenting the basis for the change and include an updated project ranking list.

3. In the event that the requested amendment affects the project’s ranking in the applicant pool, the contract will not be modified.

D. Contract Extensions
Should the Contractor fail to achieve the performance criteria listed in Equipment Operation and Maintenance, Performance Criteria, the Contractor may apply for an extension of the Term not to exceed 365 days, which may be granted by the APCO, in his discretion, for good cause. Examples of good cause include unforeseen circumstances beyond the grantees control, decreased usage due to economic recession, etc.
VI. INCENTIVE LEVELS

Since funds are limited, the NCUAQMD is interested in obtaining the largest possible air quality improvement benefit from the program, while minimizing overhead costs. All qualifying proposals will be considered for funding, subject to program guidelines and cost-effectiveness criteria as follows:

1. The CARL database will be utilized for cost-effectiveness calculations.

2. The incentive amount will be determined on a per project basis not to exceed the percentages established in the most recent version of the CMP Guidelines. The total incentive provided by the NCUAQMD will not exceed the weighted NOx, ROG, and combustion PM₁₀ dollars per tons of emissions reduced cost-effectiveness cap established by the most current version of the Carl Moyer Program Guidelines. Applications or incentives that exceed this cost-effectiveness value may be submitted for evaluation. However, applicants will not receive incentives in excess of the current cost effectiveness cap. The applicant may use other funds to cover the remainder of the cost differential.

3. Where the APCO deems necessary, grant awards may be adjusted to amounts lesser than the incremental cost of the project. In a given year, the District may designate a cost effectiveness cap which is less than the CARB approved maximum cost effectiveness limit.

VII. GENERAL PROGRAM ADMINISTRATION

A. Roles & Responsibilities
The NCUAMQD’s Carl Moyer Program is administered under the Permitting & Planning (P&P) Division, which is under direct supervision of the Permitting & Planning Manager. The Carl Moyer Program is managed by the CMP Coordinator, who acts as the contact for all stakeholders (e.g. staff, ARB, applicants, etc.), and is the responsible party for day to day operations of the District’s Carl Moyer Program.

<table>
<thead>
<tr>
<th>Position</th>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Air Pollution Control Officer</td>
<td>Executive Officer</td>
<td>Executes grant agreements. Approves disbursement of funds, etc. Obtains governing board approval.</td>
</tr>
<tr>
<td>Permitting &amp; Planning Manager</td>
<td>Supervisor</td>
<td>Reviews and approves program documents; oversees and assists staff as needed, and communicates with executive staff regarding progress of the grant.</td>
</tr>
<tr>
<td>Air Pollution Specialist</td>
<td>Coordinator</td>
<td>Reviews and evaluates project applications; conducts project inspections; tracks funds and applications; drafts project forms; participates in Carl Moyer meeting; and communicates with</td>
</tr>
</tbody>
</table>
upper management on project status and program documents.

<table>
<thead>
<tr>
<th>Role</th>
<th>Department</th>
<th>Task</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial &amp; HR Administrator</td>
<td>Funding</td>
<td>Manages grant fund accounts and drafts reimbursement checks.</td>
</tr>
<tr>
<td>Executive Assistant</td>
<td>Marketing</td>
<td>Assists in marketing and solicitations.</td>
</tr>
<tr>
<td>Special Projects Coordinator</td>
<td>Support</td>
<td>Updates District's Grant Webpage. Acts as the CMP Coordinator back-up when needed.</td>
</tr>
<tr>
<td>Air Pollution Inspectors</td>
<td>Support</td>
<td>Assists in inspections as needed.</td>
</tr>
</tbody>
</table>

B. Program Timelines

California Air Resource Board has established a consistent timeline for each year’s funding and reporting cycle. This timeline allows for award, commitment and expenditure of state funds to meet state fiscal requirements. State fiscal policy requires two years for ARB to encumber funds and four years for the local district to liquidate those funds.

The timeline for each year of funds is as follows:

- **By the end of January**: ARB will send out an application packet to the air districts.

- **By end of March**: Air districts apply to ARB for funds.

- **By the end of April**: ARB notifies air districts of final awards.

- **By end of May**: Air districts return signed grant agreements.

- **June 30 of the Following Year**: Target date for contracts to be executed.

- **June 30 of the Second Year**: Deadline for air districts to receive fund disbursements.

- **June 30 of the Fourth Year**: Deadline for air districts to liquidate funds.

The NCUAQMD implementation timeline to meet the ARB’s required deadlines for applying for local funding, and commitment and expenditure of those funds is determined annually by the Air Pollution Control Officer.

C. Commitment of Funds to Projects

After the application has been deemed complete, the NCUAQMD shall perform a project review in order to determine funding eligibility. Such a review shall include but not be limited to: preparation of emission estimates and cost effectiveness calculations, verification of equipment certification, District scoring methodology, and assignment of ranking number. Once final selection of projects to receive awards has been completed and approved by district management, commitment of funds can take place. The applicant shall receive correspondence extending an offer of award for a specified amount from the District to which the applicant may respond either verbally or in writing. Upon
acceptance, the project shall be so designated in the CARL database. After project selection above is completed, contracts are fully executed by the applicant and the APCO, on behalf of the NCUAQMD. The district is required to commit state funds one year from June 30th of the year the district has accepted the ARB Grant Agreement allocation.

D. Project Post-Inspection and Dismantle Inspection
NCUAQMD Moyer staff will conduct a post-inspection after it receives notice from the grantee and/or dealership that the project has been completed (e.g. vehicle/equipment has been delivered, engine installed, etc.). The staff conducting the inspection will fill-out the inspection form corresponding to the project type. The staff will verify the vehicle/equipment inspected is consistent with what is documented in the contract. The project vehicle/equipment will be further documented thru photographs. The required photos to be taken will be listed in the inspection form.

The dismantle inspection may take place on the same day of the post-inspection, or at a later date (Refer to Guidelines for dismantle inspection timeline requirements). The staff conducting the inspection will fill-out the inspection form corresponding to the project type. The staff will verify the vehicle/equipment destruction meets the requirements set forth in the current guidelines. The project vehicle/equipment destruction will be documented thru photographs. The required photos to be taken will be listed in the inspection form.

E. Expenditure of Funds
NCUAQMD Moyer staff conducts necessary post-inspection as described in Section D, prior to payment for a project or equipment. Following the post-inspection, the grantee or dealership submits the “Notice of Completion & Reimbursement Invoice,” along with the original or certified copy of the original invoice. The Moyer staff reviews and compares the “Notice of Completion & Reimbursement Invoice” to each invoice(s) to verify that only the eligible costs are reimbursed; ineligible costs are excluded. After review of the Notice, review of the post project inspection report, and review of each invoice(s) submitted, the program manager’s recommendation for payment is forwarded to the APCO for final approval. Fiscal staff then issues a draft on the designated checking account. The draft is authorized by the APCO or a Division Manager.

- **Eligible Costs** – Eligible costs are only for equipment/parts that are required to ensure the effective installation and functioning of the project, and are not part of typical vehicle or equipment maintenance or repair. According to the CMP Guidelines, sales and excise taxes and the installation and transport costs for hardware are eligible for funding at NCUAQMD’s discretion. The District considers these items to be eligible costs. For labor expenses paid, the invoice must detail the number of hours charged and the hourly wage. See Guidelines for additional specification of eligible costs.

- **Ineligible Costs** – Ineligible costs are costs that are not required for the installation and function of the project. Ineligible costs may include tires, axles, paint, brakes, radios, bucket attachment, and mufflers. See Guidelines for additional specification of ineligible costs.
F. Project Audits
The NCIAQMD audits at least five percent (5%) or thirty (30) active projects (whichever is less) of projects. In addition, NCIAQMD audits include all of the projects whose owners fail to report annually. NCIAQMD Moyer staff completes the audit and the list of projects subject to audit in a given year will be identified when the annual work plan is prepared and submitted for management approval.

At a minimum, the audits shall include verification that the engines paid for are still operational in the same equipment and meet the mileage, fuel usage, or hours of operation indicated on the executed contract. As required by the Guidelines, the NCIAQMD completes the audits by checking the serial number of the engine; witnessing the engine operate; and checking the odometer, hour meter/usage device, fuel receipts, or electronic monitoring unit (EMU).

If any audited project is more than thirty percent (30%) below or above an annual average of the level of use outlined in the executed contract, the NCIAQMD will take appropriate action to ensure the emissions benefits are realized and captured during the term of the contract. In addition, the NCIAQMD will audit all of the other engines owned by the same participant and included in the same Carl Moyer Program funded project. NCIAQMD may extend the contract in order to receive the calculated emission reduction benefit.

G. Nonperforming Projects
The NCIAQMD will work with nonperforming project grantees to ensure that they met the project requirements and achieve the emission reductions as described in the District’s Policies and Procedures. Projects that are determined to be nonperforming will be notified by the District that they are not meeting the obligations of their contract, either in the form of a letter or email. The notification will request a response from the grantee prior to determining repercussions for nonperformance. The NCIAQMD may also require that the grantee submit to supporting documentation to show usage, such as Past Due Annual Usage Reports. An audit inspection may also be conducted to verify that the engine and/or equipment is operational.

When a project is determined to be nonperforming, as outlined in the 2017 revised The Carl Moyer Program Guidelines Volume 1, Chapter 3, the District may choose one of the following options:

- **Off-Road Contract Extension** – This option only applies to contracts that have been executed prior to August 15, 2008.

- **Recapturing Funds** – If the applicant fails to fulfill obligations of the contract, the District may seek either full or a pro-rated portion of the funds in accordance with the current Guidelines.

- **Usage Threshold and Waiver Procedure** – Projects where the average usage over a three (3) year period is less than 70% of the activity required in the contract, the District may choose one of options described briefly below (See Chapter 3,
Section BB.4 of 2017 Carl Moyer Program Guidelines Volume 1 for a more detailed description).

- Extend the project contract for additional years (precluding overlap with an applicable rule implementation requirement).
- Return funds in proportion to the loss in emission reductions.
- Transfer of ownership and contract obligations to another entity.
- Grant a usage waiver, without penalty, to the grantee for a defined time period.

- **Funds Recaptured Following ARB Enforcement** – Program funds recaptured from a project grantee as a result of a settlement agreement executed by ARB shall be returned to the air district that granted the funds.

**H. Reporting**

All grantees are required via contract terms to produce an annual report for the project. Requirements and format of these reports is included in the boilerplate contract language. The annual report is generated from the District’s CMP database and a copy is found in the Appendix. Grantees are required to submit annual reports to the NCUAQMD by January 31st of each year until termination of the contract. Grantees shall retain all records and data for activities performed under this Agreement for at least two (2) years after the expiration of the contract term, and for at least three (3) years after final payment under this Agreement or until all state and federal audits are completed for the fiscal year, whichever is later.

The District will report all project information into the CARL database, either via CARL forms or batch import, sufficient to populate the required data fields and to calculate covered emission reductions and cost-effectiveness for source categories where required. Whenever a contract between the NCUAQMD and a project proponent is amended to change engine information, deliverables, timeline, funding source, etc., the database must be updated accordingly. The air district will ensure the information in CARL is complete, correct, and supported by documentation.

The NCUAQMD is also required to report to ARB on the status of Carl Moyer Program funding each year, via the Yearly Report. To be accepted, this report must be signed and certified by the APCO, the Financial & Human Resources Administrator, and Carl Moyer Program Manager. Certification must indicate that the project and fiscal information contained in the report is accurate and complete.

**Yearly Report**

Each year by June 30th, ARB will make available the Yearly Report, which will be due to ARB by or before August 29th. The Yearly Report, as described in the 2017 revised *The Carl Moyer Program Guidelines Volume 1*, will include the following required information:
• Output generated by the Required Reports Utility of CARL for the default years specified in the Utility.

• Contract execution and liquidation status of Moyer Program funds, including match funds, earned interest funds, multi-district and State Reserve funds, RAP funds, and other funds for which the air district has a Moyer Program obligation during the fiscal years covered by the report. Funds will be reported relative to the progress milestones identified in Sections N and O below.

• A funding summary by project type of non-match projects funded with AB 923 $2 MV fees when no SIP credit is claimed. Projects funded with AB 923 $2 DMV fee funds not used as match and not claimed for SIP credit need not be entered into CARL, but the air district will summarize in the Yearly Report the amounts of such funds expended for each of the project categories identified in Section H.1.

• For the most recent fiscal year, additional funds available to the Moyer Program from the following sources. These funds will be included in the target for the funding year due for liquidation in four years unless the air district directs ARB staff to include them in an earlier year target.

  ▪ In the event the District begins utilizing interest bearing accounts, the amount of any interest accrued on Moyer Program funds held in local accounts. An air district may choose to designate in the Yearly Report all or a portion of this interest for remittance to ARB.

  ▪ Funds recaptured from liquidated projects, including funds provided back to the air district following ARB enforcement actions, identified by project name and funding year.

  ▪ Non-grant revenue earned for the Moyer Program by the air district, such as from the sale of scrapped engines or equipment.

• A list of any projects identified as non-performing and a brief narrative of any related enforcement actions.

• The portion of match funds to be met through in-kind contributions, as provided in Section I.5.

Project File Set-Up and Maintenance

The NCUAQMD maintains documentation of solicitation and project selection by Moyer Year, as well as documentation of the administration of the program including fiscal files, and project and application files.

• An administration file is created for each Moyer Year. Each file contains at a minimum the following: ARB grant award and authorization, copy of
NCUAQMD approved application, contract and forms, Requests for Proposals (RFP) solicitation, financial files (eq. copies of grant checks from ARB, etc.), Carl Moyer meeting attendance memo, project audit memo, outreach and project selection information. Financial files are kept in the Administration/ Program files for three years after all of the project awarded funding for that year have fulfilled their contract terms.

- Project files at a minimum contain the following: application and estimated project cost, cost effectiveness spreadsheet, original contract, pre/post inspection forms and photographs, original or certified copy of invoice, and annual reports. Program files (which include financial information) are kept for the life of the contract plus three (3) years, in both hard copy and digital form.

- The Applications which are not selected for funding are retained for two (2) years.

VIII. COORDINATION WITH ARB

ARB has assigned a staff liaison for each district. As of March 2018, the liaison assigned to NCUAQMD is:

Fernando Berton, Air Resources Board
Air Pollution Specialist
Air Resources Board
Mobile Source Control Division
916.445.3516
fernando.berton@arb.ca.gov

A complete list of the Carl Moyer Program ARB District Liaisons and Incentive Program Contacts (e.g. TIMBER, Off-Road VIP, etc.) may be downloaded from the Carl Moyer Program Clean Air Reporting Log (CARL) database server (http://www.arb.ca.gov/app/cmp/index.php).

NCUAQMD’s Carl Moyer Program staff who regularly interface with ARB Carl Moyer Program staff will document any correspondence with regarding ARB interpretations, clarification, guidance or possible deviations from the Carl Moyer Program Guidelines. All documentation shall be kept in the Carl Moyer Program project files.

The ARB holds Carl Moyer Program Incentive Program Implementation (IPI) team meetings once a quarter, or as needed. These meetings give the NCUAQMD the opportunity to be involved in the formation of Technical Advisories and guideline modifications, to keep informed about other local district Carl Moyer Program activities, and to be informed on related ARB activities. All districts are required to attend at least two IPI meetings per year. NCUAQMD Carl Moyer Program Manager participates in the IPI meetings. Other NCUAQMD staff will participate as necessary.
IX. ARB OVERSIGHT

As part of their oversight responsibilities, ARB staff performs audits of NCUAQMD's implementation of the Carl Moyer Program. Audit of a NCUAQMD's program may involve other state agencies, such as the Department of Finance and State Bureau of Audits. Audits may be fiscal, programmatic, or both. NCUAQMD staff responsible for implementing the Carl Moyer Program include: the Air Pollution Control Officer, a Division Manager, an Air Pollution Specialist, and the Financial & Human Resource Administrator.

The Executive Office of the NCUAQMD hereby approves the District's Carl Moyer Memorial Incentive Grant Program – Guidelines, Policies & Procedures manual for the administration of the NCUAQMD's Carl Moyer Memorial Air Quality Standards Attainment Program.

[Signature]

Date: 8/19/19

Brian Wilson, APCO
APPENDIX
INCENTIVE GRANT FUNDING OPPORTUNITY
NCUAQMD 18’ - 19’ CARL MOYER PROGRAM

The California Air Resources Board has determined that pollution created by diesel powered engines represents a significant health risk. Additional regulations will be implemented over the next several years which are designed to reduce or eliminate this risk. Owners of medium and heavy duty equipment including agricultural tractors, trucks, loaders, dozers, cranes, and marine vessels will be required to purchase new vehicles or make substantial modifications to existing equipment. The Carl Moyer Memorial Air Quality Standards Attainment Program (Carl Moyer Program) is a grant program that funds the replacement of older gross polluting engines and machinery with new cleaner-than-required engines and equipment. The North Coast Unified Air Quality Management District (NCUAQMD) has allocated $500,000 for the 2018-2019 cycle to fund replacement projects for equipment in the following categories:

**On-Road** – Medium & Heavy Duty Trucks
- **Voucher Incentive Program** (VIP) - Replacement of 2002 or older units with new or used models that are 2007 or newer
- **Retrofit** – ARB-verified retrofits for Heavy Duty Trucks

**Off-Road** – Cranes, Dozers, Earth Movers, Agricultural Tractors etc.
- **Off-Road Equipment Replacement Program** – Replacement of equipment powered by uncontrolled engines with new units
- **Repower** – Installation of new engines

**Marine** – Engine Repower of Commercial Fishing Vessels

The District will accept hand delivered or postmarked applications beginning June 1st 2018 through June 30th 2018. **NO FAXES** will be accepted. Applications and additional information is available on the District website at [www.ncuaqmd.org](http://www.ncuaqmd.org) or by contacting District staff at (707) 443-3093.

*Please print clearly or type all information on this application and on all*
Appendix B: Sample Application Form – Marine Vessel

Attachments. (See Application Checklist on pg 3) Fill out one application for each engine or piece of equipment. All information necessary for completing this application is available in 2017 Carl Moyer Program Guidelines. This document can be viewed at: http://www.arb.ca.gov/msprog/moyer/moyer.htm.

Please note that additional information may be requested from the applicant in order to process this application.

Purpose
This application is for incentive funds to offset the incremental cost of repowering (engine replacement) or retrofitting marine vessel engines. All projects must achieve emission reductions beyond all regulatory requirements and meets the minimum Carl Moyer Program eligibility criteria described in the 2017 Carl Moyer Program.

Eligibility Criteria
To be eligible for funding, projects must meet the criteria described in the 2017 Carl Moyer Program Guidelines and all current Carl Moyer Program Advisories. These criteria include but are not limited to the following:

- Emission reductions obtained through Carl Moyer Program projects must not be required by any federal, state or local regulation, memorandum of agreement/understanding, settlement agreement, mitigation requirement, or other legal mandate.

- Projects must have a minimum cost-effectiveness of $30,000 per weighed ton of NOx, ROG, and PM10 reduced calculated in accordance with the cost effectiveness methodology in Appendix C of the 2017 Guidelines. The Project selection process is competitive with the most cost-effective projects to be given preference.

- The newer engine’s emissions must be surplus to the currently required United States Environmental Protection Agency (U.S. EPA) marine engine emission standard (i.e., Tier 2 or cleaner).
  - The new engine must be replacing an existing diesel engine and
  - Have a horsepower (hp) equal to or greater than 25 hp.

- Maximum Project Life:
  - The maximum project life for a marine vessel repower project is 16 years. A longer project may receive case-by-case approval if applicants provide justifying documentation. The maximum project life does not consider regulatory requirements and may be shorter.

- No emission reductions generated by the Carl Moyer Program shall be used as marketable emission reduction credits, or to offset any emission reduction obligation of any person or entity.
- No project funded by the Carl Moyer Program shall be used for credit under any federal or state emission averaging banking and trading program.
Appendix B: Sample Application Form – Marine Vessel

CARL MOYER AIR STANDARDS ATTAINMENT PROGRAM
MARINE VESSEL PROJECT
APPLICATION

Please print clearly or type all information on this application and on all Attachments. (See Application Checklist on pg 3) Fill out one application for each engine or piece of equipment. All information necessary for completing this application is available in 2011 Carl Moyer Program Guidelines. This document can be viewed at: http://www.arb.ca.gov/msprog/moyer/moyer.htm.

Please note that additional information may be requested from the applicant in order to process this application.

Purpose
This application is for incentive funds to offset the incremental cost of repowering (engine replacement), or retrofitting marine vessel engines. All projects must achieve emission reductions beyond all regulatory requirements, and meets the minimum Carl Moyer Program eligibility criteria described in the 2011 Carl Moyer Program.

Eligibility Criteria
To be eligible for funding, projects must meet the criteria described in the 2011 Carl Moyer Program Guidelines and all current Carl Moyer Program Advisories. These criteria include but are not limited to the following:

- Emission reductions obtained through Carl Moyer Program projects must not be required by any federal, state or local regulation, memorandum of agreement/understanding, settlement agreement, mitigation requirement, or other legal mandate.

- Projects must have a minimum cost-effectiveness of $17,720 per weighed ton of NOx, ROG, and PM10 reduced calculated in accordance with the cost effectiveness methodology in Appendix C of the 2011 Guidelines. The Project selection process is competitive with the most cost effective projects to be given preference.

- The newer engine’s emissions must be surplus to the currently required United States Environmental Protection Agency (U.S. EPA) marine engine emission standard (i.e., Tier 2 or cleaner).
  - The new engine must be replacing an existing diesel engine and
  - Have a horsepower (hp) equal to or greater than 25 hp.

- Maximum Project Life:
  - The maximum project life for a marine vessel repower project is 16 years. A longer project may receive case-by-case approval if applicants provide justifying documentation. The maximum project life does not consider regulatory requirements and may be shorter.

- No emission reductions generated by the Carl Moyer Program shall be used as marketable emission reduction credits, or to offset any emission reduction obligation of any person or entity.
- No project funded by the Carl Moyer Program shall be used for credit under any federal or state emission averaging banking and trading program.
Emission reduction technologies must be certified/verified by the ARB for sale in California and must comply with durability and warranty requirements. For the purposes of the Carl Moyer Program, a technology granted a conditional certification/verification by ARB is considered certified/verified.

Summary of Funding Opportunities

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Subject to ARB Rule</th>
<th>Moyer Funding Opportunities¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Barge, crew &amp; supply, dredge, excursion, ferry, towboat, tugboat, engine repower, remanufacture, retrofit or new purchase</td>
<td>Commercial Harbor Craft Regulation²</td>
<td>Limited opportunity</td>
</tr>
<tr>
<td>Fishing vessel or pilot/workboat engine repower, remanufacture, retrofit or new purchase</td>
<td>No</td>
<td>Not limited by regulation</td>
</tr>
<tr>
<td>Shore power - shore-side</td>
<td>Shore Power Regulation³</td>
<td>Very limited opportunity</td>
</tr>
<tr>
<td>Shore power - vessel retrofit</td>
<td>Shore Power Regulation³</td>
<td>Limited opportunity</td>
</tr>
</tbody>
</table>

¹ Limited opportunities means a fleet’s compliance status with the ARB regulation must be determined. Contact air district Moyer Program staff or consult fleet rule Carl Moyer Implementation Charts at: [http://www.arb.ca.gov/msprog/moyer/guidelines/supplemental-docs.htm](http://www.arb.ca.gov/msprog/moyer/guidelines/supplemental-docs.htm) in addition to these guidelines.

² Harbor Craft Regulation: [http://www.arb.ca.gov/ports/marinevess/harborcraft.htm](http://www.arb.ca.gov/ports/marinevess/harborcraft.htm)

³ Shore Power Regulation: [http://www.arb.ca.gov/ports/shorepower/shorepower.htm](http://www.arb.ca.gov/ports/shorepower/shorepower.htm)

Additional criteria may be found in the 2011 Carl Moyer Program Guidelines: Chapter 2, Chapter 3, and Chapter 12.
**Application Checklist**

*Please print clearly or type all information on this application and on all attachments.*

### Applicant Information
- **Company:**
- **Owner:**
- **Phone:**
- **Cell:**
- **Fax:**
- **Email:**

*Option: attach business card*

### Dealer Information
- **Dealership:**
- **Salesperson:**
- **Phone:**
- **Cell:**
- **Fax:**
- **Email:**

*Option: attach business card*

### Installer Information
- **Installer:**
- **Salesperson:**
- **Phone:**
- **Cell:**
- **Fax:**
- **Email:**

*Option: attach business card*

- Submit all supporting documentation listed under **Phase 1: Application Documents.**
- Complete one application for each engine repower.
- If the submitted application is incomplete, the application will be rejected.

**Phase 1: Application Requirements**

- [ ] Completed application (signed & dated in ink)
- [ ] Quote and specification sheet (s) for the replacement engine/equipment signed and dated by the Dealership.
  - [ ] Owner is listed as buyer
- [ ] Quote and specification sheet (s) for the installation of the engine/equipment signed and dated by the Installer.
  - [ ] Owner is listed as buyer
- [ ] EPA Certificate of Conformity and/or ARB Executive Order for replacement engine *(preferred)*, which demonstrates the engine meeting current model year California emission standards.
- [ ] **TRANSMISSION REPLACEMENT:** Case by Case determination is required if transmission components are to be replaced. If transmission replacement required, include the following:
  - [ ] Documentation from engine dealer/installer justifying the necessity of a new transmission
  - [ ] Quote and specification sheet (s) for the replacement and installation of the transmission signed and dated by the Dealer/Installer.
    - [ ] Owner is listed as buyer
- [ ] Proof of vessel registration using one of following forms of documentation (copy or photograph):
  - [ ] United States Coast Guard Documentation Number *and/or*
  - [ ] California vessel registration (CF) number and a copy of the California Department of Fish and Game license *and/or*
  - [ ] Lloyd’s/International Maritime Organization (IMO) number
# Appendix B: Sample Application Form – Marine Vessel

## A. APPLICANT INFORMATION

1. **Company name/ Organization name/ Individual name:**

2. **Business type:**

3. **Contact name and title:**

4. **Person with contract signing authority (if different from above):**

5a. **Business mailing address and contact information:**

   **Street:**

<table>
<thead>
<tr>
<th>5b. City:</th>
<th>5c. State:</th>
<th>5d. Zip code:</th>
</tr>
</thead>
</table>

5e. **Phone:**  

   ( )

5f. **Fax:**  

   ( )

5g. **E-mail:**

6. **How many engines are being applied for?**

7. **Total funding amount requested in this application:**

## B. PROJECT DESCRIPTION

1. **Vessel name:**

2a. **Vessel berth location address (if different than business address):**

   **Street:**

<table>
<thead>
<tr>
<th>2b. City:</th>
<th>2c. State:</th>
<th>2d. Zip code:</th>
</tr>
</thead>
</table>

3. **Description of work performed by vessel:**

   - [x] commercial fishing
   - [ ] charter fishing
   - [ ] crew and supply
   - [ ] ferry excursion
   - [ ] pilot
   - [ ] tow
   - [ ] tug
   - [ ] work
   - [ ] other: ________________

4. **Does this vessel remain in port?**

   - [x] Yes
   - [ ] No

5. **Annual Hours of Operation:**

6. **Percent Operation in California Waters:**

7. **Percent Operation in District Waters:**

8. **Project Life:**

   - [x] Maximum
   - [ ] Other: ___________ years
Appendix B: Sample Application Form – Marine Vessel

### C. MARINE VESSEL AND EXISTING (OLD) ENGINE INFORMATION

#### VESSEL INFORMATION:

1. Vessel Type/Function:

2. Vessel Make:

3. Vessel Model:

4. Vessel Model Year:

5. U.S. Coast Guard Documentation Number:

6. Lloyds Register / IMO Ship ID Number:

7. Does this vessel have a wet exhaust system?
   - Yes
   - No

#### PROPULSION ENGINE (BASELINE) INFORMATION:

1. Engine Make:

2. Engine Model:

3. Engine Model Year:

4. Engine Horsepower:

5. Engine Serial Number:

6. Engine Displacement (Ltr/cyl):

7. Engine Tier:
   - Uncontrolled
   - Tier 1
   - Tier 2

8. Engine Family (if applicable):

9. Certificate Number (if applicable):

#### AUXILIARY ENGINE (BASELINE) INFORMATION:

1. Engine Make:

2. Engine Model:

3. Engine Model Year:

4. Engine Horsepower:

5. Engine Serial Number:

6. Engine Displacement (Ltr/cyl):

7. Engine Tier:
   - Uncontrolled
   - Tier 1
   - Tier 2

8. Engine Family (if applicable):

9. Certificate Number (if applicable):

10. Fuel Type:
   - Diesel
## D. MARINE VESSEL ENGINE REPOWER INFORMATION

### PROPULSION ENGINE (REDUCED EMISSION) INFORMATION:

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Engine Make:</td>
<td>2. Engine Model:</td>
<td>3. Engine Model Year:</td>
</tr>
<tr>
<td>7. Engine Tier:</td>
<td>8. Engine Family:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Tier 2 (check with District)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Tier 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Other:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Certificate Number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Fuel Type:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Diesel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Other:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### AUXILIARY ENGINE (REDUCED EMISSION) INFORMATION:

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Engine Make:</td>
<td>2. Engine Model:</td>
<td>3. Engine Model Year:</td>
</tr>
<tr>
<td>7. Engine Tier:</td>
<td>8. Engine Family:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Tier 2 (check with District)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Tier 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Other:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Certificate Number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Fuel Type:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Diesel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Other:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### REPLACEMENT EQUIPMENT QUOTED COST:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1a. Propulsion Engine Cost (Engine block &amp; components only):</td>
<td>2a. Auxiliary Engine Cost (Engine block &amp; components only):</td>
</tr>
<tr>
<td>1b. Installation Cost (labor, keel cooler, wiring exhaust, etc.):</td>
<td>2b. Installation Cost (labor, keel cooler, wiring exhaust, etc.):</td>
</tr>
</tbody>
</table>

---

**MARINE VESSEL PROJECT APPLICATION**

---

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---

Carl Moyer – Guidelines, Policies & Procedures  
Revised August 2019
# Appendix B: Sample Application Form – Marine Vessel

## E. Transmission Information (if applicable)

**Existing Transmission Information:**

<table>
<thead>
<tr>
<th>1. Transmission Make:</th>
<th>2. Transmission Model:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Transmission Model Year:</th>
<th>5. Transmission Serial Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Replacement Transmission Information:**

<table>
<thead>
<tr>
<th>1. Transmission Make:</th>
<th>2. Transmission Model:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Transmission Model Year:</th>
<th>5. Transmission Serial Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Replacement Transmission Quoted Cost:**

<table>
<thead>
<tr>
<th>7. Transmission Cost:</th>
<th>8. Installation Cost (labor, parts):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## F. Retrofit Information (optional)

1. ARB-verified Retrofit Device Manufacturer:

2. Retrofit Device Make:

3. Retrofit Device Model:

4. Retrofit Device Serial Number:

5. Retrofit Device Executive Order Number:

6. ARB – Verified Retrofit:

   - [ ] Level 3

7. Cost of Retrofit:

8. Installation Cost:

9. Cost of Maintenance for Life of Project (optional):

## G. Funding Amount Requested

1. Total Amount Requested for this Project:
   
   - [ ] Maximum Amount Allowable
   
   - [ ] Other: $__________________________

---

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H. FUNDING DISCLOSURE

1. Have any engines or vehicles listed in this application applied for or have been awarded Carl Moyer Program funding or other grants?
   □ Yes
   □ No

2. If "yes," please fill in the boxes below:

   Agency applied to:

   Date/Number of Agency Solicitation:

   Funding Amount Requested:

   Equipment Identification:

   Old Engine Serial Number:

   Status of Project:

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

Printed Name of Responsible Party: ____________________________ Title: ____________________________

Signature of Responsible Party: ____________________________ Date: ____________________________

I. THIRD PARTY CERTIFICATION

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

Printed Name of Third Party: ____________________________ Title: ____________________________

Signature of Third Party: ____________________________ Date: ____________________________
CARL MOYER AIR STANDARDS ATTAINMENT PROGRAM
MARINE VESSEL PROJECT
AIR DISTRICT REVIEW CHECKLIST

<table>
<thead>
<tr>
<th>Applicant Information</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Company:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Owner:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cell:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fax:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project ID #:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grant Amount: $</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cost Effectiveness: $</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Dealer Information</th>
<th>Installer Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dealership:</td>
<td>Installer:</td>
</tr>
<tr>
<td>Salesperson:</td>
<td>Salesperson:</td>
</tr>
<tr>
<td>Phone:</td>
<td>Phone:</td>
</tr>
<tr>
<td>Cell:</td>
<td>Cell:</td>
</tr>
<tr>
<td>Fax:</td>
<td>Fax:</td>
</tr>
<tr>
<td>Email:</td>
<td>Email:</td>
</tr>
</tbody>
</table>

- Verify that the following information/documents are included in the application.

- **Application Requirements**
  - Completed application (signed & dated in ink)
  - Quote and specification sheet(s) for the replacement engine/equipment signed and dated by the Dealership.
    - Owner is listed as buyer
  - Quote and specification sheet(s) for the installation of the engine/equipment signed and dated by the Installer.
    - Owner is listed as buyer
  - EPA Certificate of Conformity and/or ARB Executive Order for replacement engine (*preferred*), which demonstrates the engine meeting current model year California emission standards.
  - Proof of vessel registration using one of following forms of documentation (copy or photograph):
    - United States Coast Guard Documentation Number *and/or*
    - California vessel registration (CF) number and a copy of the California Department of Fish and Game license *and/or*
    - Lloyd’s/International Maritime Organization (IMO) number
  - **TRANSMISSION REPLACEMENT:** Case by Case determination is required if transmission components are to be replaced. If transmission replacement required, include the following:
    - Documentation from engine dealer/installer justifying the necessity of a new transmission
    - Quote and specification sheet(s) for the replacement and installation of the transmission signed and dated by the Dealer/Installer.
Appendix C: Sample Application Completeness Check Sheet – Marine

☐ The marine vessel operates in California coastal waters.
☐ Existing engine(s) is equal to or below Tier 2 emission standards. (At least a 15 percent NOx reduction relative to the baseline engine.)
☐ Existing engine is diesel.
☐ Existing engine has an horsepower (hp) equal to or greater than 25 hp.

☐ The replacement engine(s) horsepower is no more than a 40 percent increase of the existing equipment engine.
☒ The replacement engine(s) is certified to meet U.S. EPA Tier 2 marine emission standards or cleaner.

☐ Project cost effectiveness does not exceed current limit: $17,720 per weighted ton of NOx + ROG + combustion PM10.

Work performed by Vessel:
☐ commercial fishing
☐ charter fishing
☐ crew and supply
☐ ferry excursion
☐ pilot
☐ tow
☐ tug
☐ work
☐ other: ________________

Phase 2: Grant Requirements (After applicant has received an Award Letter)

Inspection Requirements
☐ Pre-Inspection
  ☐ Date Conducted: ________________

☐ Replacement Equipment Post Inspection
  ☐ Date Conducted: ________________

☐ Dismantle Inspection
  ☐ Date Conducted: ________________

Contract
☐ Project Evaluation

Case by Case Request (if applicable, may be required for transmission replacement)
  ☐ Date CARB Approved: ________________ CARB#: ________________

☐ Contract
  ☐ Reviewed by: ________________ Date: ________________
  ☐ Signed by: ________________ Date: ________________
Phase 3: Project Completion

Payment Reimbursement

☐ Memo/ Letter from applicant requesting reimbursement.

☐ Final invoices for eligible costs, eligible costs include:

1. The capital cost of the new engine.
2. Purchase of or modifications to the cooling system; fuel and exhaust system; wiring, panel, and harness system; power take-offs; propulsion control system; gauges and alarms; and radiator and ventilation, if attached to or integral to the functioning of funded engine.
3. Costs related to the purchase and/or installation of a new transmission
4. Frames needed to be extended or other parts needed to be cut or modified in order to accommodate the new engine, as well as paint or coating needed to protect those specific areas that were cut or modified.
5. Tax and transport for eligible parts or costs.
6. Labor for installation of or modification to parts eligible for funding.

☐ Memo Verifying Project Completion

☐ Reviewed by: ___________________ Date: ______________

☐ Signed by: ___________________ Date: ______________

☐ Funds Disbursement – put copy of check for project file

☐ Date: ___________ Check #: ___________

Record Keeping

☐ Enter into CARL

☐ Initial: ___________________ Date: ______________

☐ PDF completed project file

☐ Initial: ___________________ Date: ______________
## Appendix D: Sample Project Fund Tracking

### Balance Sheet for Awards & Funding

<table>
<thead>
<tr>
<th>Date</th>
<th>Project</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/1/2019</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Project Funds

<table>
<thead>
<tr>
<th>Project</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$30,000.00</td>
</tr>
</tbody>
</table>

### Fund Balances

<table>
<thead>
<tr>
<th>Fund</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$30,000.00</td>
</tr>
</tbody>
</table>

### Revised Funds on hand (All Funds)

<table>
<thead>
<tr>
<th>Fund</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$30,000.00</td>
</tr>
</tbody>
</table>

### Total Balances

<table>
<thead>
<tr>
<th>Total</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$30,000.00</td>
</tr>
</tbody>
</table>

### Fiscal Year

#### 2019-2020

<table>
<thead>
<tr>
<th>Project</th>
<th>Project Funds</th>
<th>Revised Funds on hand (All Funds)</th>
<th>Total Balances</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$30,000.00</td>
<td>$30,000.00</td>
<td>$30,000.00</td>
</tr>
</tbody>
</table>

---

**Carl Moyer – Guidelines, Policies & Procedures**

**Revised August 2019**

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**Page 38**

---
July 17, 2017

Rory Smith
1850 Trillum Place
McKinleyville, CA 95519

Re: Application for Carl Moyer Year 19 Funds – Award Letter

Dear Rory Smith:

Congratulations! The North Coast Unified Air Quality Management District (NCUAQMD) has pre-selected the project proposed in your application for funding in the amount of $80,000.00.

To be eligible for funding the following must be completed:

1. Pre-Inspection conducted by District staff.
2. Submission of supporting documents, which are listed on page 3 of your application packet, Application Checklist.

Qualified applicants will be notified via phone once the pre-inspection has been completed, and supporting documents have been received. A draft contract will arrive via post shortly after notification, approximately 5 to 10 business days.

Please note, that new equipment, parts, and services cannot be ordered or purchased before the contracts are executed (signed by both parties).

If you wish to participate in the program, please contact Deborah Paselk at the District office by calling (707) 443-3093 x128 prior to close of business on August 2, 2017 to schedule a “Pre-Inspection” of the equipment.

Sincerely,

Deborah Paselk
Air Pollution Specialist
(707) 443-3093 x128
dpaselk@ncuaqmd.org
Appendix F: Sample All-In-One Inspection Form – Marine Vessel

North Coast Unified Air Quality
Management District
2300 Myrtle Avenue, Eureka, CA 95501
Telephone (707) 443-3093 FAX (707) 443-3099
http://www.ncuaqmd.org

<table>
<thead>
<tr>
<th>PROJECT INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROJECT ID:</td>
</tr>
<tr>
<td>DATE/TIME:</td>
</tr>
<tr>
<td>VESSEL NAME:</td>
</tr>
<tr>
<td>VESSEL TYPE/FUNCTION:</td>
</tr>
<tr>
<td>□ commercial fishing</td>
</tr>
<tr>
<td>□ charter fishing</td>
</tr>
<tr>
<td>□ crew and supply</td>
</tr>
<tr>
<td>□ tow</td>
</tr>
<tr>
<td>□ ferry excursion</td>
</tr>
<tr>
<td>□ plct</td>
</tr>
<tr>
<td>□ work</td>
</tr>
<tr>
<td>□ Other:</td>
</tr>
<tr>
<td>PROJECT TYPE:</td>
</tr>
<tr>
<td>□ Repower – Main engine w/o Transmission</td>
</tr>
<tr>
<td>□ Repower – Auxiliary engine</td>
</tr>
<tr>
<td>□ Repower – Main engine w/ Transmission</td>
</tr>
<tr>
<td>□ Other:</td>
</tr>
<tr>
<td>COMPANY INFORMATION:</td>
</tr>
<tr>
<td>Company Name:</td>
</tr>
<tr>
<td>Owner/Contact Name:</td>
</tr>
<tr>
<td>Address:</td>
</tr>
<tr>
<td>City, State, Zip:</td>
</tr>
<tr>
<td>Phone No.:</td>
</tr>
<tr>
<td>Cell No.:</td>
</tr>
<tr>
<td>INSPECTION LOCATION:</td>
</tr>
<tr>
<td>Address:</td>
</tr>
<tr>
<td>City, State, Zip:</td>
</tr>
<tr>
<td>TYPE OF INSPECTION:</td>
</tr>
<tr>
<td>□ Pre-Inspection</td>
</tr>
<tr>
<td>□ Dismantle</td>
</tr>
<tr>
<td>□ Post-Inspection</td>
</tr>
<tr>
<td>ATTACHED PICTURES ARE LEGIBLE:</td>
</tr>
<tr>
<td>□ Yes</td>
</tr>
<tr>
<td>□ No</td>
</tr>
</tbody>
</table>

| VESSEL AND ENGINE INFORMATION: |
| Vessel Make: |
| Vessel Model: |
| Vessel Model Year: |
| U.S. Coast Guard Documentation Number: |
| Lloyds Register / IMO Ship ID Number: |
| Does this vessel have a wet exhaust system? |
| □ Yes |
| □ No |

| MAIN ENGINE INFORMATION: |
| Existing Engine |
| Replacement Engine |
| Engine Make: |
| Engine Model: |
| Engine Model Year: |
| Date of Manufacture: |
| Engine Serial Number or Air District ID Number: |
| Engine Horsepower: |
| Engine operational? |
| □ Yes |
| □ No |
| Fuel used? |
| □ Diesel |
| □ Other: |
| Engine Family Number: |
| For Dismantle Inspection ONLY: |
| Engine Destroyed? |
| □ Yes |
| □ No |

| AUXILIARY ENGINE INFORMATION: |
| Existing Engine |
| Replacement Engine |
| Engine Make: |
| Engine Model: |
| Engine Model Year: |
| Date of Manufacture: |
| Engine Serial Number or Air District ID Number: |
| Engine Horsepower: |
| Engine operational? |
| □ Yes |
| □ No |
| Fuel used? |
| □ Diesel |
| □ Other: |
| Engine Family Number: |
| For Dismantle Inspection ONLY: |
| Engine Destroyed? |
| □ Yes |
| □ No |
North Coast Unified Air Quality
Management District
2300 Myrtle Avenue, Eureka, CA 95501
Telephone (707) 443-3093  FAX (707) 443-3099
http://www.ncuaqmd.org

**Transmission Information**

<table>
<thead>
<tr>
<th>Transmission Make</th>
<th>Transmission Model</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transmission Model Year</td>
<td>Transmission Serial Number</td>
</tr>
</tbody>
</table>

**Required Photographs**
- Digital photos should be clear images with a minimum of 640x480 capture resolution.

<table>
<thead>
<tr>
<th>Pre-inspection of existing engine</th>
<th>Post inspection of replacement engine</th>
</tr>
</thead>
<tbody>
<tr>
<td>Right side of vessel</td>
<td>Right side of vessel</td>
</tr>
<tr>
<td>Left side of vessel</td>
<td>Left side of vessel</td>
</tr>
<tr>
<td>USCG or IMO/Lloyd’s number</td>
<td>USCG or IMO/Lloyd’s number</td>
</tr>
<tr>
<td>Overall engine compartment and overall view of engine</td>
<td>Overall engine compartment and overall view of engine</td>
</tr>
<tr>
<td>Engine serial number – etch tag or stamp on block</td>
<td>Engine Information – tag(s)</td>
</tr>
<tr>
<td>Transmission – top view (if applicable)</td>
<td>Engine make</td>
</tr>
<tr>
<td>Transmission serial number (if applicable)</td>
<td>Engine model</td>
</tr>
<tr>
<td>Engine start-up – stack/flashast</td>
<td>Engine serial number</td>
</tr>
<tr>
<td>Engine engaged – water at rear of vessel</td>
<td>Engine family number</td>
</tr>
<tr>
<td>Dismantle inspection of existing engine</td>
<td>Transmission – top view (if applicable)</td>
</tr>
<tr>
<td>Overall view of engine</td>
<td>Transmission serial number (if applicable)</td>
</tr>
<tr>
<td>Engine serial number – etch tag or stamp on block</td>
<td>Engine start-up – stack/flashast</td>
</tr>
<tr>
<td></td>
<td>Engine engaged – water at rear of vessel</td>
</tr>
</tbody>
</table>

**Comments:**

I certify under penalty of perjury that: (1) the information provided above is accurate, (2) the pictures are of the inspected equipment (3) the pictures clearly depict the inspected equipment, and (4) that I understand that this inspection form is incorporated in the agreement with the North Coast Unified Air Quality Management District.

Signature: __________________________ Date: ______________________
Authorized Name: __________________________
Air District / Dealership: __________________________
Address: __________________________
City, State, Zip: __________________________
Phone No: __________________________

2 | Page  INSPECTION FORM – MARINE VESSEL PROJECT
MEMORANDUM

TO: Brian Wilson, APCO

FROM: Deborah Paselk, Air Pollution Specialist

SUBJECT: Carl Moyer Program Grant Application for Year 14 Funding; Rory Smith F/V “High Seas” Grant CMP#-22

DATE: January 23, 2018

The AQMD received a CMP application from Rory Smith, for an main engine repower and transmission replacement for the marine vessel “High Seas.” The application for Carl Moyer Year 14 Funds was reviewed in accordance with the 2011 Carl Moyer Program Guidelines Chapter 12 – Marine Vessels, current as of July 11, 2014. For evaluation purposes, the “Pacific Pride” was considered as a commercial fishing craft.

A review of equipment was performed and emission calculations were prepared. The project partially funded at $80,000.00 (62% of $129,248.00) would have a cost effectiveness of $2,609.41 per ton of pollutants emitted when operated in the District 80% of the time.

General Program Vessel Requirements

<table>
<thead>
<tr>
<th>Requirement</th>
<th>How Satisfied</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete application submitted within deadline AQMD</td>
<td>A complete signed application was received June 17, 2017.</td>
</tr>
<tr>
<td>Emission reductions obtained through project must not be required by regulatory action</td>
<td>Staff review of regulations – There are currently no federal, state, or local regulations requiring commercial fishing vessels to comply with new emissions standards. EPA harbor craft emission requirements pertain to new engines manufactured after 2004.</td>
</tr>
<tr>
<td>No emission reductions shall be used as marketable credits</td>
<td>Contract with so specify. AQMD will not award credits</td>
</tr>
<tr>
<td>Projects funded after January 1st 2007 shall use ARB low-sulfur diesel fuel</td>
<td>Contract will require Contractor to fuel vessel with only low sulfur diesel and maintain records for inspection purposes.</td>
</tr>
</tbody>
</table>
Coast Guard or IMO/Lloyd’s number must be provided for the vessel | 55A555
---|---
Project cost effectiveness must not exceed $17,080.00 per weighted ton of NOx + ROG + PM10. | Cost effectiveness calculated at $2,609.41 see attached emission calculations.
Project must have a minimum life of three years and must be for the entire term of the number of year used to determine cost effectiveness. Because the engine displacement is less than 5.0 liters per cylinder, the maximum project life is 16 years. | For purposes of cost effectiveness calculation, the project life was 11 years. The contract shall be of identical length.
Marine vessel activity considered for emission calculation shall only occur within California Coastal Waters. | The applicant has stated that his fishing activity occurs within the zone identified on Figure 12-1 California Coastal Water Boundaries Chapter 12 of the Guidelines.
Project vessels must be equipped with an EMU to track activity and location for the project life. Unit cost, installation, and data summarization may be included in the grant amount. | This requirement was made optional by ARB for Year 14 projects. The District chose not to require.

Re-power & Scrap Requirements

<table>
<thead>
<tr>
<th>Requirement</th>
<th>How Satisfied</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacement engine must be certified to at least US EPA Tier 2 marine engine standards. If less than 100 hp, must be Tier 3 after 1/1/2009.</td>
<td>The engine is greater than 100 hp and is certified to Tier 2 marine standards. Main - EPA Certificate CEX-MCI-12-06.</td>
</tr>
<tr>
<td>Replacement engine must provide a minimum of a15% NOx reduction over the baseline engine.</td>
<td>Default Emission Factors utilized by CARL for uncontrolled and Tier 2 engines which estimates greater than a 66% reduction. Engine Family: DCEXN011.AAB.</td>
</tr>
<tr>
<td>The existing (old) engine must be destroyed and rendered useless. The destruction of the engine must be documented by the AQMD seeing the destroyed engine or the receipt from the qualified vehicle salvage yard [2008 Guidelines Part III, Section 31]</td>
<td>Contract shall require applicant to destroy engine(s) in compliance with this section.</td>
</tr>
</tbody>
</table>

Eligible Equipment & Funding Levels

<table>
<thead>
<tr>
<th>Requirement</th>
<th>How Satisfied</th>
</tr>
</thead>
</table>
| Eligible Engine Components [Chapter 12, Section C.2. (D)] | **Main Engine**: Included items: front engine mounts, keel cooling, crankcase breather, air cleaner, etc. Sea trial was excluded. Cost estimated at $54,028.00. 
**Transmission**: Twin disc transmission housing, flexible coupling, mounting brackets, etc. As |
per CARB case by case Ref #2013-1 this project was approved. Cost estimated at $33,220.00.

**Misc Parts & Labor:** Removal and installation of main engine, removal and installation of transmission, etc. Cost $42,000.00

**Ineligible Expenses:** Sea trial charges ($1,000.00) are not eligible.

***Tax not assessed on commercial fishing vessels.

| Capital Cost of new engine cannot exceed 80% for a EPA Compliant marine Tier 2 emission level. May not exceed 85% for EPA Compliant marine Tier 3 emission level. [Chapter 12 Section B & C.2.]. **Note:** By 2016 to be EPA Compliant marine engines must be Tier 3 emission level. | Eligible expenses: Engine is Tier 2 and so is eligible for 80%. $ 129,248.00 @ 80% = $106,398.40 Recommended award $80,000.00 |
AGREEMENT BETWEEN
THE NORTH COAST UNIFIED AIR QUALITY MANAGEMENT DISTRICT AND
RORY SMITH OWNER OF THE COMMERCIAL FISHING VESSEL HIGH SEAS,
(COAST GUARD NUMBER 55A555)
FOR CARL MOYER GRANT FUNDS

This Agreement is entered into by and between the North Coast Unified Air Quality Management District, a unified air quality management district formed pursuant to California Health and Safety Code 40150, et seq. (“District”) and Rory Smith, the Owner of the High Seas; and is effective as of the date of the last party signing below (“Effective Date”).

RECITALS

WHEREAS, at its June 2013 Board Meeting, the Governing Board of the District (“Governing Board”) approved District participation in the Carl Moyer Memorial Air Quality Standards Attainment Program (“Moyer Program”) within its jurisdiction of Del Norte, Humboldt, and Trinity counties, California; and

WHEREAS, the Moyer Program provides incentives to fleet operators and individuals for the purchase and/or retrofit of heavy-duty vehicles operated at low-emission levels; and

WHEREAS, the District Governing Board has authorized funding up to $500,000 in qualified CAPCOA Carl Moyer Year 14 Program proposals within the District; and

WHEREAS, the District has distributed a public Request for Proposals for Moyer Program funding; and

WHEREAS, Contractor has submitted a Moyer Program proposal (“Contractor’s Project” or “Project”) more fully described in Exhibit “A,” attached hereto; and

WHEREAS, District has evaluated Contractor's Project and approved the Project for funding; and

WHEREAS, Contractor represents that the Project is NOT required by any local, state, and/or federal rule or regulation; and

WHEREAS, Contractor has certified that it has not received and has not applied for other Carl Moyer funding for this Project from either the California Air Resources Board or another Air District.

NOW, THEREFORE, based on the representations made in Contractor’s Project proposal, which are incorporated herein and made a material part hereof, the parties agree as follows:

1. GRANT AWARD

1.1. Services. Contractor is hereby awarded Carl Moyer Program funds for the purchase, installation, and maintenance of the equipment listed in Tables 1 and 2, in an amount not to exceed $80,000.00 (“Grant Award”). For purposes of contract administration, the project shall be divided into two phases: 1) Equipment Purchase & Installation and 2) Equipment Operation & Maintenance.
Table 1. Equipment Purchase & Installation - Project Phase I

<table>
<thead>
<tr>
<th>Device</th>
<th>Year/Make/Model</th>
<th>Serial Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vessel</td>
<td>1974 Commercial Fishing Vessel</td>
<td>55A555</td>
</tr>
<tr>
<td>Main Engine</td>
<td>1974 8V71 Detroit Diesel</td>
<td>7082-7000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Item</th>
<th>Year/Make/Model</th>
<th>Engine Family</th>
<th>Maximum Funds Authorized</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Engine</td>
<td>2013 Cummins QSM11 455&amp;</td>
<td>DCEXN011.AAB</td>
<td>$56,000</td>
</tr>
<tr>
<td></td>
<td>Twin Disc Transmission</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Installation</td>
<td>Engine supports, Parts &amp; Installation</td>
<td>N/A</td>
<td>$24,000</td>
</tr>
</tbody>
</table>

Table 2. Equipment Operation & Maintenance – Project Phase II

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Year / Make / Model</th>
<th>Serial Number</th>
<th>Maximum Funds Authorized</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle</td>
<td>1967 Commercial Fishing Vessel</td>
<td>55A555</td>
<td>$0.00</td>
</tr>
<tr>
<td>Engine</td>
<td>2013 Cummins QSM11 455&amp;</td>
<td>TBD</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

1.2 Additional Funding. Contractor shall be responsible for any additional financing required to fund the total cost of the Project in excess of the Grant Award, and shall provide satisfactory written evidence of such funding commitments to the District before placing purchase orders for the equipment and services as required in Section 3. In the event Contractor does not obtain funding for the total cost of the Project(s), the District reserves the right to terminate or renegotiate this Agreement.

1.3 Reduced Grant Award. In the event the actual cost of Equipment replacement/retrofit and maintenance is less than the amount estimated in Tables 1 and 2, the District will reduce the funds paid to Contractor by an amount equal to the cost savings.

2. CONTRACTOR REPRESENTATIONS

2.1 Emission Reduction Credits. Contractor understands and acknowledges that receipt of the Grant Award prohibits Contractor from applying for any form of emission reduction credits for the Project including but not limited to: Emission Reduction Credit (ERC), and Mobile Emission Reduction Credit (MERC) for all time from the District or any other Air Quality Management or Air Pollution Control District.

2.2 Voluntary Act. Contractor hereby asserts and agrees that the purchase of the Equipment listed in Tables 1 & 2 is a voluntary act; and that District has made no representations or guarantees to the Contractor regarding the quality, condition or proposed use of the replacement Equipment purchased by the Contractor.
Appendix H: Sample Project Contract (Agreement) – Marine Vessel

2.3 **No Additional Funds.** Contractor shall not apply for nor accept additional funds for Contractor’s Project or the equipment funded by this Agreement. Prohibited funding sources shall include but not be limited to: tax credits, deductions, other Carl Moyer Program funding, and AB118 funding.

3. **PHASE 1 - EQUIPMENT PURCHASE & INSTALLATION, PERFORMANCE TIMETABLE**

3.1 **Placement of Purchase Order.** Contractor shall place purchase orders for the Equipment listed in Tables 1 & 2 within sixty (60) calendar days from the Effective Date of this Agreement.

   (1) Contractor shall submit a copy of the purchase order(s) to the District no later than sixty (60) days from the Effective Date of this Agreement.

   (2) Failure to place a purchase order within sixty (60) days of the Effective Date will result in the automatic forfeiture of the Grant Award and termination of the Agreement. No extensions to the sixty (60) day period will be granted. However, if the Grant Award is forfeited, the applicant may reapply for grant funds during the next opportunity notice period, if any.

3.2 **Completion of Equipment Installation.** Contractor shall complete the installation of the equipment listed in Table 1 no later than June 28, 2018.

   (1) Upon removal of the existing (old) engine, the Contractor shall destroy it by rendering it unfit for further use (scrap) in accordance with current Carl Moyer Program Guidelines and District policy.

   (2) Contractor shall contact the District to schedule a “post–project” inspection after the Equipment listed in Tables 1 & 2 has been installed and is in good working order. A minimum of 72 hours advance notice is required to schedule post-project inspection appointments.

   (3) After completion of the post-project inspection by the District, the Contractor shall submit to the District a “Notice of Completion of Equipment Purchase and Installation.” Said Notice must be submitted no later than fifteen (15) days after installation is completed.

3.3 **Request for Payment.** After submitting the Notice of Completion of Equipment Purchase and Installation, and no later than July 15, 2013 Contractor shall submit to the District a “Request For Final Payment” together with supporting documentation which shall include an itemized statement of work completed and proof of Contractor's liability insurance as described in Section 6. **NO EXTENSIONS WILL BE GRANTED.**

3.4 **Payment of Funds.** The District will process Contractor’s Request For Final Payment within 5 days of receipt to verify its contents. The District will transmit the Grant Award to the Contractor within thirty (30) calendar days of verification.

4. **PHASE 2 - EQUIPMENT OPERATION & MAINTENANCE, PERFORMANCE CRITERIA**

4.1 **CARB Certified Low Sulfur Diesel.** Contractor shall only fire the engine with California Air Resources Board (CARB) certified low sulfur diesel.

4.2 **Manufacturer’s Specifications.** Contractor shall operate and maintain the vehicle and engine according to manufacturer’s specifications for optimum performance. Contractor shall not tamper with the engine nor with any of the engine components.

4.3 **Operation Within District Boundaries.** For purposes of satisfying hour usage requirements of this section, only hours of operation which occur in California Waters as defined in the most recent version of the Carl Moyer Program Guidelines, shall accrue towards satisfaction of the usage requirements.
4.4 **Recording Hours of Operation.** Contractor shall operate the vessel and engine only when the engine operating hours are recorded by a properly functioning hour meter. The non-resettable hour meter shall have a minimum display capability of 9,999 hours.

4.5 **Annual Hours of Operation Required.** Contractor shall make reasonable efforts to utilize the vehicle and engine. Should the engine hours of operation fall below 2,500 hours in any given reporting period (calendar year), Contractor shall identify the cause, reason, or explanation in writing and forward to the District as part of the Annual Report. In the event that reasonable efforts are not made, District reserves the right to demand the return of a prorated portion of the funds provided to Contractor.

4.6 **Total Minimum Hours of Operation Required.** During the Term, Contractor shall operate the vessel and engine in combination for a minimum of 27,500 hours. Only the hours that the equipment is operated within the District boundaries shall accrue towards the minimum required amount. In the event the equipment is operated less than 27,500 hours, the District reserves the right to demand the return of a prorated portion of the funds provided to Contractor. The proration shall be based upon actual hours operated in accordance with this Agreement.

4.7 **Annual Reporting.** Contractor shall submit annual written reports to the District by January 30th of each year of the Agreement, in a form substantially similar to the sample report attached hereto as Exhibit B (“Annual Report”). The Annual Report shall identify the Carl Moyer Project number, the equipment utilized, the number of vehicle hours operated, the location of the hours operated (% in California and District), the quantity of fuel consumed, any down time and cause, and any details regarding maintenance.

4.8 **Completion of Equipment Operation and Maintenance Phase.** No sooner than eleven (11) years after the date of Contractor’s Notice of Completion of Equipment Installation, and no later than 30 days after full satisfaction of the requirements of the Equipment Operation and Maintenance Phase of this Agreement, Contractor shall submit written a Notice of Completion of the Equipment Operation and Maintenance Phase to the District. The District will review and provide a written determination to the Contractor within 30 days after receipt of said Notice as to whether Contractor has satisfied all operation and maintenance requirements of this Agreement; and, in such event, Contractor shall be released from further obligation under this Agreement.

5. **CONDITIONS OF GRANT FUND DISBURSEMENT**

5.1 **Payment in Arrears Only.** The District will reimburse Contractor in arrears after receipt and verification of Contractor’s Request for Final Payment.

5.2 **Sales and Use Taxes.** The amount to be paid to Contractor under this Agreement shall not be applied to any sales or use taxes incurred pursuant to this Agreement, if any, including any such taxes due on equipment purchased by Contractor. District shall bear no financial obligation for and Contractor shall not receive additional grant funding for reimbursement of such taxes and shall not decrease work to compensate thereof.

5.3 **Contractor’s Responsibility for Expenses.** It is understood that all expenses incidental to Contractor’s performance of services under this Agreement shall be borne exclusively by Contractor, including all Contractor’s administrative costs.

5.4 **Allowable Expenditures.** Only expenditures incurred by Contractor in the direct performance of this Agreement will be reimbursed by District. Allowable expenditures under this Agreement are identified in Section 1 of this Agreement.

5.5 **Final Claims.** All final claims for reimbursement shall be submitted by Contractor concurrently with the Notice of Completion of Equipment Purchase & Installation. No action will be taken by District on claims submitted fifteen (15) days beyond the Notice of Completion of Equipment Purchase & Installation date.

6. **INSURANCE**
Appendix H: Sample Project Contract (Agreement) – Marine Vessel

6.1 Without limiting District’s right to obtain indemnification from Contractor or any third parties, Contractor, at its sole expense, shall maintain in full force and effect insurance throughout the term of this Agreement for the following:

   (1) General liability – as specifically required by the District.
   (2) Workers compensation insurance in accordance with California Law.

6.2 Contractor shall provide District with a summary of its insurance coverage and amounts along with its Request for Final Payment. In the event Contractor fails to keep in effect at all times insurance coverage as herein provided, District may, in addition to other remedies it may have, suspend or terminate this Agreement upon the occurrence of such event.

7. RECORDS, AUDITS, INSPECTIONS

7.1 Records Available for Inspection. Contractor shall at any time during regular business hours and as often as District may deem necessary, make available to District and the California Air Resources Board (“ARB”) for examination and inspection the equipment purchased in whole or in part with Grant Award funds, and its records and data with respect to the matters covered by this Agreement. Contractor shall, upon request by District or ARB, permit District or ARB to audit and inspect all of such equipment, records and data necessary to ensure Contractor’s compliance with the terms of this Agreement.

7.2 Records Retention. Contractor shall retain all records and data for activities performed under this Agreement for at least two (2) years after the expiration of the contract term, and for at least three (3) years after final payment under this Agreement or until all state and federal audits are completed for the fiscal year, whichever is later. If this agreement exceeds Ten Thousand Dollars ($10,000), Contractor shall be subject to the examination and audit of the Auditor General for a period of three (3) years after final payment under contract (Government Code Section 10532).

8. TERM AND TERMINATION OF AGREEMENT

8.1 Term. This Agreement shall begin upon the date of the last party signing below and, unless cancelled or amended according to the provisions contained within the Agreement, shall terminate no sooner than eleven (11) years after the date of Contractor’s Notice of Completion of Equipment Purchase & Installation, upon Contractor’s completion of the performance criteria in Section 3, Equipment Operation and Maintenance, Performance Criteria, as verified by the District (“Term”).

8.2 Extension. Should the Contractor fail to achieve the performance criteria listed in Section 4, Equipment Operation and Maintenance, Performance Criteria, Contractor may apply for an extension of the Term not to exceed 365 days, which may be granted by the APCO, in its discretion, for good cause.

8.3 Termination Prior to Disbursement of Funds. Either party may terminate this Agreement at any time prior to transfer of grant funds by giving written notice of termination to the other party, which shall specify the effective date thereof. Notice of termination under this paragraph shall be given at least thirty (30) days before the effective date of such termination. Notwithstanding the above, failure to execute this Agreement in a timely manner may result in cancellation of the grant award without notice.

8.4 Contractor Default. The APCO may immediately suspend or terminate this Agreement, in whole or in part, and cancel or withhold payment of any grant fund where the APCO determines that any one of the following has occurred:

1. There has been an illegal or improper use of funds;
2. Contractor has intentionally misrepresented material facts to the District in its application for funding, in its use of funds and/or in its use of equipment funded by the Agreement;
3. Contractor has failed to comply with any term of this Agreement;
Appendix H: Sample Project Contract (Agreement) – Marine Vessel

4. Contractor has submitted substantially incorrect or incomplete reports; or improperly performed services.

In the event of a Contractor Default, the APCO may demand full repayment of any finds already paid, or prorate the required repayment, in accordance with the District’s Carl Moyer Guidelines, Policies and Procedures, and with the California Air Resources Board Carl Moyer Guidelines.

8.5 **No Waiver of Breach.** In no event shall any payment by District constitute a waiver by District of any breach of this Agreement or any default which may then exist on the part of Contractor. Neither shall such payment impair or prejudice any remedy available to District with respect to the breach or default. District shall have the right to demand of Contractor the repayment to District of any funds disbursed to Contractor under this Agreement which in the judgment of District were not expended in accordance with the terms of this Agreement. Contractor shall promptly refund any such funds upon demand. In addition to immediate suspension or termination, District may impose any other remedies available at law, in equity, or otherwise specified in this Agreement.

9. **MISCELLANEOUS**

9.1 **Indemnification.** Contractor shall indemnify, defend and hold harmless the District, its officers, employees, agents, and successors-in-interest against any and all claims, suits or actions (including attorney fees, court costs and expert fees) resulting from any breach of the responsibilities required on Contractor by this Agreement or which are related in any way to the vehicle(s) for which financial assistance or other incentives are received from the District by Contractor.

9.2 **Notices and Contact.** All notices required by this Agreement shall be given in writing and will be effective when served by personal delivery, upon confirmation of receipt by the recipient when sent by e-mail or facsimile transmission, or four (4) calendar days after being deposited, postage prepaid, registered or certified, in the United States mail, to the relevant address(es) or facsimile number as set forth below. Either party may change Notice and Contact information at any time by written notice. All communication to the Air District shall reference the Project Number.

<table>
<thead>
<tr>
<th>CONTRACTOR</th>
<th>DISTRICT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rory Smith, Owner</td>
<td>Brian Wilson, APCO</td>
</tr>
<tr>
<td>F/V High Seas</td>
<td>North Coast Unified Air Quality Management District</td>
</tr>
<tr>
<td>1850 Trillium Place</td>
<td>707 L Street</td>
</tr>
<tr>
<td>Mckinleyville, CA 95519</td>
<td>Eureka, CA 95501</td>
</tr>
</tbody>
</table>

9.3 **Entire Agreement.** This Agreement represents the entire Agreement of the parties with respect to the subject matter described in this Agreement, and no representation, warranties, inducements or oral agreements have been made by any of the parties except as expressly set forth herein, or in other contemporaneous written agreements.

9.4 **Amendment:** This Agreement may not be changed or modified except in writing and signed by the parties hereto.

9.5 **Independent Contractor.** None of the Grantee's agents, subcontractors or employees shall be construed as agents or employees of the Air District.

9.6 **Assignment.** This Agreement may not be assigned, transferred, hypothecated, subcontracted or pledged by Grantee without the express prior written consent of the Air District. Assignment of this Agreement must be a
Appendix H: Sample Project Contract (Agreement) – Marine Vessel

condition of transfer of the vehicles retrofitted with the retrofit device identified in Attachment A to any successor organization to the Grantee.

9.7 **Severability.** Should any part of this Agreement be declared unconstitutional, invalid, or beyond the authority of either party to enter into or carry out, such decision shall not affect the validity of the remainder of this Agreement which shall continue in full force and effect; provided that, the remainder of this Agreement can, absent the invalid portion(s), reasonably be interpreted to give effect to the intentions of the parties.

9.8 **Political Activity Prohibited.** None of the funds, materials, property, or services provided under this Agreement shall be used for any political activity, or to further the election or defeat of any candidate for public office contrary to federal or state laws, statutes, regulations, rules, or guidelines.

9.9 **Conflicts.** Any conflict between the terms and conditions of this Agreement and the Exhibits incorporated herein shall be resolved by giving precedence first to the text of this Agreement, and second to Exhibit A to this Agreement.

9.10 **Right to Claim Emission Reductions.** The Air District retains the exclusive right to claim any emission reduction credits under state or federal law that might result from emissions reduced by the Project implemented pursuant to this Agreement. The emissions reduced by the Project may not be used by the Grantee to comply with any local, state, or federal air pollution regulation or law, or used to fulfill the Grantee’s obligations pursuant to a legal settlement.

9.11 **Conflict of Interest.** No officer, employee, or agent of District who exercises any function of responsibility for planning or carrying out the services provided under this Agreement shall have any direct or indirect personal financial interest in this Agreement. Contractor shall comply with all federal and state conflict of interest laws, statutes, and regulations, which shall be applicable to all parties and beneficiaries under this Agreement and any officer, agent, or employee of District.

9.12 **Grant Publicity.** Contractor shall acknowledge the District as a funding source for the Project in any press release, promotion, outreach, or other publicity related to the equipment covered by this Agreement.

9.13 **Governing Law.** This Agreement shall be governed in all respects by the laws of the State of California. Venue for any action arising out of this Agreement shall only be in Humboldt County, California.

9.14 **Transfer of Equipment.** Contractor shall notify the District in writing within 15 days of any transfer, sale, gift or other conveyance of ownership of the Equipment listed in Tables 1 and 2. Said notice shall identify the equipment transferred, and the name and physical address of the person(s) assuming ownership. This Agreement, including all covenants and conditions contained herein, shall be binding upon and inure to the benefits of the parties, including their respective successors-in-interest, assigns, and legal representatives.

9.15 **Attorneys Fees.** In the event the District is required to enforce any terms or conditions of this Agreement by court action, it shall be entitled to an award of attorney’s fees and costs.

9.16 **Time is of the Essence.** It is understood that for Contractor’s performance under this Agreement, time is of the essence. The parties reasonably anticipate that Contractor will, to the reasonable satisfaction of District, complete all activities provided herein within the time schedule outlined in the attachments to this Agreement, provided that Contractor is not caused unreasonable delay in such performance.

9.17 **Third Party Beneficiary Rights.** Notwithstanding anything else stated to the contrary herein, it is understood that Contractor’s services and activities under this Agreement are being rendered only for the benefit of the District and no other person, firm, corporation, or entity shall be deemed an intended third-party beneficiary of this Agreement. Contractor acknowledges that it has been made aware of the California Air Resources Board enforcement authority over the Carl Moyer Program and the cited California Health and Safety Code section.
IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed as of the date of the last party signing below.

NORTH COAST UNIFIED AIR QUALITY MANAGEMENT DISTRICT

_________________________________  Date: ______________________
Brian Wilson, APCO

CONTRACTORS

______________________________   Date: ___________________
Rory Smith, Owner
## Appendix I: Sample Reimbursement Invoice

**CARL MOYER AIR STANDARDS ATTAINMENT PROGRAM**  
**DEALERSHIP/CONTRACTOR**  
**NOTICE OF COMPLETION & REIMBURSEMENT INVOICE**

<table>
<thead>
<tr>
<th>Project Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Type:</td>
</tr>
<tr>
<td>Off-Road Equipment</td>
</tr>
<tr>
<td>Marine Vessel</td>
</tr>
<tr>
<td>Project ID #:</td>
</tr>
<tr>
<td>Grant Amount:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Dealer / Contractor Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company Name:</td>
</tr>
<tr>
<td>Dealership</td>
</tr>
<tr>
<td>Contractor / Owner</td>
</tr>
<tr>
<td>Owner / Contact Name:</td>
</tr>
<tr>
<td>Address:</td>
</tr>
<tr>
<td>City, State, Zip:</td>
</tr>
<tr>
<td>Phone No.:</td>
</tr>
<tr>
<td>Cell No.:</td>
</tr>
<tr>
<td>Federal Tax ID Number (Dealerships only):</td>
</tr>
</tbody>
</table>

Please reimburse the project listed above for the grants funds awarded to the project. Equipment has been purchased/installed, and a post inspection has been conducted by the District. Thank you.

**Signature**  
**Date**

**Print Name**  
**Date**

The following documents have been attached:

- Completed final invoice(s)
  - Replacement equipment
  - Labor for Installation, not including dry dock and/or sea trial costs (Marine Vessel only)
- Financing information (if applicable)
- Warranty information (Off-Road only)
Appendix J: Sample Annual Report

CARL MOYER AIR STANDARDS ATTAINMENT PROGRAM
ANNUAL USAGE REPORT
FOR CALENDAR YEAR ____________

<table>
<thead>
<tr>
<th>Contractor Information</th>
<th>□ Update Contractor Information (Strikeout incorrect information)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company/Owner:</td>
<td>Project ID #:</td>
</tr>
<tr>
<td>Address:</td>
<td>Project Title:</td>
</tr>
<tr>
<td>Phone:</td>
<td>Annual Required Hours:</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Email Address:</td>
<td></td>
</tr>
</tbody>
</table>

Section A: Engine Hours

<table>
<thead>
<tr>
<th>A. Engine Hour Meter Reading (Start):</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Engine Hour Meter Reading (End):</td>
<td>Date:</td>
</tr>
</tbody>
</table>

Total Engine Hours (Calendar Year): If below Annual Required, SEE SECTION D

Section B: Proof of Insurance (Off-Road Projects only, refer to Section 6 of Contract)

1. Do you have Liability Insurance? □ Yes □ No, SEE SECTION D
2. Do you have Worker’s Comp Insurance? □ Yes □ No, SEE SECTION D

Section C: Additional Requirements

- Marina Vessel, Ropework Projects
  1. Engine was operated in California Coastal Waters for (SEE pg 2 for map)... % of the Hours □ Yes □ No, SEE SECTION D
  2. The Engine was only fueled with CARB Certified Low Sulfur Diesel % of the Hours

- Off-Road Projects
  1. Vehicle was operated in California for % of the Hours
  2. Vehicle was operated in District for % of the Hours
  3. Operated and maintained in accordance with manufacturer’s specifications? □ Yes □ No, SEE SECTION D

Section D: Please, explain why you were unable to fulfill the contract requirements. ATTACH ADDITIONAL PAGES IF NECESSARY.

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Print Name</td>
<td>Date</td>
</tr>
</tbody>
</table>

1| Page
California Coastal Water Boundaries

(California coastal waters is defined as that area between the California coastline and a line starting at the California-Oregon border at the Pacific Ocean, thence to 42.0°N 125.5°W, thence to 41.0°N 125.5°W, thence to 40.0°N 125.5°W, thence to 39.0°N 125.0°W, thence to 38.0°N 124.5°W, thence to 37.0°N 123.5°W, thence to 36.0°N 122.5°W, thence to 35.0°N 121.5°W, thence to 34.0°N 120.5°W, thence to 33.0°N 119.5°W, thence to 32.5°N 118.5°W, and ending at the California-Mexico border at the Pacific Ocean.)
February 19, 2017

Rory Smith
1850 Trillum Place
McKinleyville, CA 95519

Re: Performance Milestones and Required Notice

Dear Rory Smith:

Thank you for your participation in the Carl Moyer Grant Program. According to District records, one of the performance milestones in your Moyer contract will be reached this year (see table below). The terms of your contract require that you provide information within 30 days after your “target date”. For your convenience, you may use the attached form Notice of Completion of the Equipment Operation and Maintenance to satisfy this requirement. The District will respond within 30 days of the mailing date.

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Performance Milestones</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Target Date</td>
</tr>
<tr>
<td>CMP 14-22</td>
<td>August 15, 2014</td>
</tr>
</tbody>
</table>

In the event that you did not meet the minimum hours of use requirement prior to the target date, please complete section B on the enclosed form and provide a written explanation.

If you have any questions, please contact me at the District office by calling (707) 443-3093 x128.

Sincerely,

Deborah Paselk
Air Pollution Specialist
(707) 443-3093 x128
dpaselk@ncuaqmd.org

Encl: Notice of Completion of the Equipment Operation and Maintenance
# Appendix K: Notice of Completion

## CARL MOYER AIR STANDARDS ATTAINMENT PROGRAM

**NOTICE OF COMPLETION**

**OF EQUIPMENT OPERATION AND MAINTENANCE**

<table>
<thead>
<tr>
<th>Contractor Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company/Owner:</td>
</tr>
<tr>
<td>Address:</td>
</tr>
<tr>
<td>Phone:</td>
</tr>
</tbody>
</table>

## Section A: Final Engine Hours

1. Final Hours?

2. Did you satisfy Agreement terms?
   - ☐ Yes, See Section C
   - ☐ No, See Section B

## Section B: Applying for Extension

3. Would you like to apply for an extension?
   - ☐ Yes, See # 4
   - ☐ No, I would like to be invoiced for prorated repayment amount

4. An extension of 365 days may be granted for good cause. In writing, tell the District why your contract should be extend, include why you were unable to fulfill the Agreement requirements. (Attach additional documents, if needed)

## Section C: Agreement Terms Satisfied

- A District employee will be contacting you to schedule a Final Inspection.
- As per your Agreement with the District, you are required to retain all records and data for activities performed for at least two (2) years after the expiration of the contract term.

---

**Signature**  
Date

**Print Name**  
Date

---

**NOTICE OF COMPLETION**
## Appendix L: Audit Inspection Form

### North Coast Unified Air Quality Management District
2300 Myrtle Avenue, Eureka, CA 95501
Telephone (707) 443-3093  FAX (707) 443-3099
http://www.ncuaqmd.org

### PROJECT INFORMATION

<table>
<thead>
<tr>
<th>Project ID#</th>
<th>Date/Time</th>
</tr>
</thead>
</table>

### PROJECT NAME/VESSEL NAME:

### PROJECT TYPE:

- [ ] Replacement – New
- [ ] Replacement – Used
- [ ] Retrofit
- [ ] Other:
- [ ] Repower – Main engine w/o Transmission
- [ ] Repower – Auxiliary engine
- [ ] Repower – Main engine w/ Transmission
- [ ] Other:

### EQUIPMENT TYPE:

- [ ] Tractor
- [ ] Forklift
- [ ] Skid steer
- [ ] Excavator
- [ ] Other:
- [ ] Commercial fishing
- [ ] Charter fishing
- [ ] Crew and supply
- [ ] Ferry excursion
- [ ] Pilot
- [ ] Other:

### COMPANY INFORMATION:

- **Company Name:**
- **Owner/Contact Name:**
- **Address:**
- **City, State, Zip:**
- **Phone No:**
- **Cell No:**

### INSPECTION LOCATION:

- **Address:**
- **City, State, Zip:**
- **Reason for Audit:**
  - [ ] Random/Annual
  - [ ] Nonperforming project
  - [ ] Other:
- **Attached Pictures are Legible:**
  - [ ] Yes
  - [ ] No

### EQUIPMENT AND ENGINE INFORMATION:

- **U.S. Coast Guard Documentation Number:**
- **Lloyds Register / IMO Ship ID Number:**
- **DOORS EIN (if applicable):**
- **Serial Number:**
- **Fleet ID:**
- **Make:**
- **Model:**
- **Model Year:**
- **Date of Manufacture:**
- **Equipment operational?**
  - [ ] Yes
  - [ ] No

### MAIN ENGINE INFORMATION:

- **Engine Make:**
- **Engine Model:**
- **Engine Model Year:**
- **Engine Serial Number or Air District ID Number:**
- **Engine Horsepower:**
- **Engine Family Number:**
- **Engine operational?**
  - [ ] Yes
  - [ ] No
- **Fuel used?**
  - [ ] Diesel
  - [ ] Other:
- **Hour Meter (Usage Survey date:______):**
- **Hour Meter (At time of inspection):**

---

1 Page

Audit Inspection Form
## Appendix L: Audit Inspection Form

### Auxiliary Engine Information

<table>
<thead>
<tr>
<th>Engine Make</th>
<th>Engine Model</th>
<th>Engine Model Year</th>
<th>Date of Manufacture</th>
<th>Engine Horsepower</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Engine Serial Number or Air District ID Number</th>
<th>Engine Family Number</th>
<th>Engine operational?</th>
<th>Fuel used?</th>
<th>Engine Horsepower</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
<td>Diesel</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Hour Meter (Usage Survey date: )</th>
<th>Hour Meter (At time of inspection):</th>
<th>Engine Horsepower</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Retrofit Device (Diesel Emission Control Device) Information

<table>
<thead>
<tr>
<th>Retrofit Device Make</th>
<th>Retrofit Device Model</th>
<th>Retrofit Device Model Year</th>
<th>Date of Manufacture</th>
<th>Retrofit Device Serial Number</th>
<th>Retrofit Device Executive Order Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Transmission Information

<table>
<thead>
<tr>
<th>Transmission Make</th>
<th>Transmission Model</th>
<th>Transmission Model Year</th>
<th>Transmission Serial Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Operational Condition & Record Retention

- Equipment able to start up
- Equipment capable of moving forward/backwards
- Time: In usable condition
- Steering wheel operational
- Auxiliary equipment operational
- Undercarriage structurally sound
- Fuel tank: Usable condition
- All equipment present
- Hour meter reading(s) taken and compared to Usage Survey (annual rpt)
- Logbooks, Usage Survey(s), Insurance does, and other project records reviewed
- Engine(s) able to start up
- Engine(s) engaged
- Overall engine(s) intact – no missing parts
- Overall transmission intact – no missing parts
- Logbooks, Usage Survey(s), Insurance does, and other project records reviewed.

### Comments:

- Comments:
- Comments:
- Comments:

---

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Audit Inspection Form
Appendix L: Audit Inspection Form

North Coast Unified Air Quality Management District
2300 Myrtle Avenue, Eureka, CA 95501
Telephone (707) 443-3093  FAX (707) 443-3099
http://www.ncuagmd.org

Required Photographs
- Digital photos should be clear images with a minimum of 640x480 capture resolution.

<table>
<thead>
<tr>
<th>Off-Road Equipment</th>
<th>Marine Vessel Replacement Engine</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Right side – hood down</td>
<td>☐ Right side of vessel</td>
</tr>
<tr>
<td>☐ Front – hood down</td>
<td>☐ Left side of vessel</td>
</tr>
<tr>
<td>☐ Left side – hood down</td>
<td>☐ USCG or IMO/Lloyd’s number</td>
</tr>
<tr>
<td>☐ Equipment serial number</td>
<td>☐ Overall engine compartment and overall view of engine</td>
</tr>
<tr>
<td>☐ Engine – left side</td>
<td>☐ Engine Information – tag(s)</td>
</tr>
<tr>
<td>☐ Engine – right side</td>
<td>☐ Engine make</td>
</tr>
<tr>
<td>☐ Engine Information – tag(s)</td>
<td>☐ Engine model</td>
</tr>
<tr>
<td>☐ Engine make</td>
<td>☐ Engine serial number</td>
</tr>
<tr>
<td>☐ Engine model</td>
<td>☐ Engine family number</td>
</tr>
<tr>
<td>☐ Engine serial number</td>
<td>☐ Transmission – top view (if applicable)</td>
</tr>
<tr>
<td>☐ Engine family number</td>
<td>☐ Transmission serial number (if applicable)</td>
</tr>
<tr>
<td>☐ DOORS EIN (if applicable)</td>
<td>☐ Engine start-up – stack w/exhaust</td>
</tr>
<tr>
<td>☐ Rear</td>
<td>☐ Engine engaged – water at rear of vessel</td>
</tr>
<tr>
<td>☐ Diesel emission control device (if available)</td>
<td></td>
</tr>
<tr>
<td>☐ Hour meter reading</td>
<td></td>
</tr>
</tbody>
</table>

Comments:

I certify under penalty of perjury that: (1) the information provided above is accurate, (2) the pictures are of the inspected equipment and (3) the pictures clearly depict the inspected equipment.

Signature: ___________________________  Date: ____________
Print Name: __________________________
Title: _______________________________
ON-Road Heavy-Duty Vehicles

The NCUAQMD shall follow the guidelines set forth in The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 4: On-Road Heavy Duty Vehicles and any revisions thereafter.

The on-road heavy-duty vehicles program incentivizes various types of projects to provide surplus emission reductions through either replacement or repower/conversion of on-road heavy-duty vehicles. Retrofits may also be eligible for funding on a case-by-case basis. Some of the project types can also be executed under other programs such as VIP On-Road and TIMBER.

Below is a summary of the project types that may qualify for funding, see the June 20, 2017 version of The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 4: On-Road Heavy Duty Vehicles for additional criteria and requirements.

Vehicle Project Types
Projects must include commercially available technologies certified by ARB to be cleaner than the baseline engine (unless otherwise noted). Project types and applications include:

A. Vehicle Replacements – The replacement of an older, dirtier vehicle with a newer, cleaner one. These projects may be funded through contracts or the VIP.

B. Repowers – Repowers involve the replacement of an older, dirtier engine with a newer, cleaner one. Repowers may be funded in various applications. However, due to technological constraints presented with the limited feasibility of newer engines with advanced emissions control equipment fitting into older chassis and maintaining durability, repowers with diesel engines are rare project types for trucks. Repowers with alternative fuel engines may not have the same technological constraints and may become more prevalent. To ensure durability, certain projects may require prototype testing. However, if the project has been previously completed by the manufacturer, prototype testing is not required. Air districts that wish to fund repowers must receive prototype testing results. The testing must comply with the engine manufacturer quality assurance process that is equivalent to an Original Equipment Manufacturer (OEM) package. In these cases, a prototype vehicle (or vehicles) is thoroughly reviewed and tested to ensure that the installation meets OEM requirements, and the successful prototype installation is then replicated in other vehicles with the same chassis and engine combination. Air districts may approve repower projects that meet the OEM quality assurance process described above, subject to the following:

1. Moyer Program funding may not be used for any costs associated with the prototype vehicle or vehicles.

2. Repower contracts may not be executed until the prototype testing specified by the engine manufacturer is successfully completed.
3. Written documentation from the engine manufacturer confirming that the prototype was successful must be maintained in the project file.

4. If the proposed repower has been done previously by the manufacturer on the same chassis/engine configuration, prototype testing is not required. The manufacturer must provide written confirmation that the previous work was performed successfully and met OEM requirements.

C. Conversions – Conversions involve the replacement or modification of the original engine or vehicle to include either a cleaner engine or other system that provides motive power and change of the fuel type used. Hybrid conversion systems using internal combustion engines must be certified according to “California Certification and Installation Procedures for Medium- and Heavy-Duty Vehicle Hybrid Conversion Systems.” The baseline engine model year for hybrid conversions must be 2010 or 06/20/2017 ON-ROAD VEHICLES newer. Tier 1 and Tier 2 certified conversion systems are certified to sell a limited number of units in California. The conversion system manufacturer must provide written confirmation that the funded vehicle would not exceed the certified allowable limit. All-electric conversion systems must receive an exemption Executive Order per Vehicle Code section 27156. The conversion system manufacturer must certify that the converted vehicle adheres to all applicable local, State, and federal requirements including safety standards issued by National Highway Traffic Safety Administration and California Highway Patrol (CHP).

Project Categories
Taking the above project types into consideration, the following categories may be eligible for funding:

A. Heavy-Duty Trucks and Buses: Heavy-duty diesel trucks and buses with gross vehicle weight ratings (GVWR) greater than 14,000 pounds (lbs.) are subject to the Statewide Truck and Bus Regulation. Replacement engines certified to the 2010 emissions standards or cleaner are eligible. For more information, see section C.2.(A).

B. School Buses: School buses as defined in Vehicle Code section 545 are subject to the Statewide Truck and Bus Regulation. They are required to be filtered unless operating under an ARB-issued extension up to January 1, 2018. Project types include replacements, repowers, and conversions. Replacement engines certified to the 2010 emissions standards or cleaner are eligible. For more information, see Section C.2.(B).

C. Transit Vehicles: Transit vehicles are subject to the Fleet Rule for Transit Agencies and must be compliant with final regulatory requirements. Project types for surplus reductions include replacements and repowers. All transit projects must use engines certified to optional low oxides of nitrogen (NOx) standards or cleaner. For more information, see Section C.2.(C).

D. Drayage Trucks: Drayage trucks are subject to the Statewide Drayage Truck Regulation. As of January 1, 2014, drayage trucks are required to be equipped with 2007 model year or newer engines. Therefore, engines older than model year 2007 are not eligible. Replacement engines certified to the 2010 emissions standards or cleaner are eligible. Cleaner technologies are currently being demonstrated, and may become available in the near future to enable
opportunities for more funding. For more information on drayage truck funding opportunities, see Section C.2.(D)

E. Solid Waste Collection Vehicles (SWCV): Vehicles equipped with 2006 and older engines are subject to the SWCV Regulation and must meet final regulatory requirements. Vehicles equipped with 2007 and newer 06/20/2017 4-4 ON-ROAD VEHICLES engines are subject to the Statewide Truck and Bus Regulation. All solid waste collection vehicle projects must use engines certified to optional low NOx standards or cleaner. For more information, see Section C.2.(E).

F. Public Agency and Utility Vehicles: Vehicles with GVWR over 14,000 lbs. owned by a municipality or utility that are equipped with engines certified to Particulate Matter (PM) emission standards greater than 0.01 grams per brake horsepower-hour (g/bhp-hr) are subject to the Fleet Regulation for Public Agencies and Utilities, except fleets that do not include any diesel engines. Engines are required to use the Best Available Control Technology as defined in the California Code of Regulations, title 13, section 2022.1(b). Private utilities become subject to the Statewide Truck and Bus Regulation starting January 1, 2021. Replacement engines certified to the 2010 emissions standards or cleaner are eligible.

G. Emergency Vehicles: Emergency vehicles are not subject to in-use emissions regulations. Eligible vehicles also include prisoner transport buses. Project types mainly include replacements. Replacement engines certified to the 2010 emissions standards or cleaner are eligible. For more information, see Section C.2.(F).

H. Case-by-Case Projects: These projects do not fall under any previously described category or do not meet all of the requirements of the Guidelines but otherwise provide real, surplus, quantifiable, enforceable, cost-effective emission reduction benefits in California for the entire project life. These may include transport refrigeration units (TRU), auxiliary power units (APU), and vehicles with 8,501-14,000 lbs. GVWR. For more information, see Section C.2.(G).

Infrastructure Projects
See Chapter 10 for details regarding applicant eligibility and project types for infrastructure projects in support of on-road applications. This includes infrastructure such as electrical charging (and solar-generated electricity) and alternative fuel stations for light, medium and heavy heavy-duty trucks. It also includes infrastructure for truck stop electrification, TRUs, transit vehicles, emergency vehicles, and school buses.
OFF-ROAD EQUIPMENT REPLACEMENT OPTION

The NCUAQMD shall follow the guidelines set forth in *The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 5: Off-Road Equipment* and any revisions thereafter.

The off-road equipment replacement option reduces emissions by replacing old, high polluting equipment with newer, cleaner equipment earlier than would have been expected through normal attrition. The option pertains to mobile, portable and stationary, off-road compression-ignition (CI or diesel), and large spark-ignition (LSI) projects such as construction, agricultural, and industrial equipment. The Carl Moyer Program funds may be used to offset part of the cost of the repowering existing equipment, replacement vehicle, verified diesel emission control system (VDECS) diesel retrofits, and infrastructure.

Below is a summary of the project types that may qualify for funding, see the June 20, 2017 version of *The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 5: Off-Road Equipment* for additional criteria and requirements.

**Projects Types Eligible for Funding**

The following off-road equipment projects may be eligible for funding.

A. **Repower of Existing Equipment** – The replacement of the existing engine with a newer emission-certified engine instead of rebuilding the existing engine to its original specifications.

B. **Retrofit Purchase** – The installation of an Air Resources Board (ARB) verified emission control system on an existing engine. Examples include, but are not limited to particulate filters and diesel oxidation catalysts.

C. **Equipment Replacement** – The purchase of new or used equipment with an engine certified to the current emission standard or Tier to replace an older, fully functional piece of equipment that is to be scrapped.

D. **Infrastructure** – See the infrastructure chapter (Chapter 10) for details regarding applicant eligibility and project types for infrastructure in support of off-road equipment. This includes infrastructure such as alternative fuel and charging stations for construction, cargo handling, and ground support equipment, as well as agricultural pump electrification.
Appendix Q: Marine Vessels

MARINE VESSELS

The NCUAQMD shall follow the guidelines set forth in *The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 7: Marine Vessels*, and any revisions thereafter. The marine vessels projects described Guidelines authorizes the ability to provide funding for engine repowers, remanufacture, retrofit, hybrid system, ship-side shore power projects, and marine vessel exhaust capture and control system. Funding to marine vessel projects may be limited by two regulations adopted by ARB: 1) Amendments to the Regulations to Reduce Emissions from Diesel Engines on Commercial Harbor Craft Operated Within California Waters and 24 Nautical Miles of the California Baseline (Commercial Harbor Craft regulation or CHC) and 2) Regulations to Reduce Emissions from Diesel Auxiliary Engines on Ocean-Going Vessels While At-Berth at a California Port (Shore Power Regulation).

Below is a summary of the projects types that may qualify for funding, see the June 20, 2017 version of *The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 7: Marine Vessels* for additional criteria and requirements.

**Projects Types Eligible for Funding**

A. **Engine Repower.** Replacing an old vessel engine with a newer, lower emission engine. Limited opportunities remain for those vessel engines subject to the in-use compliance requirements of the CHC regulation. Repower must be completed at least three years prior to the vessel’s in-use compliance date. Based on the vessel’s operation, the newer engine’s emissions must be surplus to the currently required United States Environmental Protection Agency (U.S. EPA) marine engine emission standard (i.e., Tier 3 or cleaner).

B. **Remanufacture Kit.** Kits are comprised of engine component parts that, when installed, reduce the engine’s emissions. Limited Moyer funding opportunities remain for those vessel engines subject to the in-use compliance requirements of the CHC. Remanufacture must be completed at least three years prior to the vessel’s in-use compliance date.

C. **Retrofit Device.** The installation of an ARB verified diesel emission control strategy (VDECS). This project type will be considered for funding on a case-by-case basis.

D. **Hybrid System.** The installation of an EPA verified hybrid system. A hybrid system implements various strategies (e.g. engine switching, electric power) to reduce emissions of NOx, ROG, and PM.

E. **Ship-Side Shore Power Projects.** The retrofit of a marine vessel to enable shore power connection. Ship-side shore power projects are not eligible unless the applicant can demonstrate that it will be surplus to the implementation requirements of ARB’s Shore Power Regulation. For marine infrastructure projects, including Shore-Side Shore power, see Chapter 10: Infrastructure.

F. **Marine Vessel Exhaust Capture and Control System.** The purchase of an EPA verified marine vessel exhaust capture and control system. EPA verifications of exhaust capture systems include specific percentage reductions of NOx and PM. In lieu of EPA verification an ARB Executive Order will suffice.
The NCUAQMD shall follow the guidelines set forth in *The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 10: Infrastructure*, and any revisions thereafter.

The infrastructure option described in the Guidelines authorizes the ability to provide funding for the installation of fueling and energy infrastructure to fuel or power covered sources. These fuel and power covered sources include but are not limited to on-road and off-road, agricultural and marine vessel emission sources.

Below is an excerpt of June 20, 2017 version of *Chapter 10: Infrastructure*.

### A. Funding

Funding Air quality management districts or air pollution control districts (air districts) determine project priority and select projects funded within their region. Below are the Maximum Percentage of Eligible Cost for Moyer Program Infrastructure Projects Maximum Percentage of Eligible Cost Infrastructure Projects are as follows:

- 50% All Projects
- 60% Publicly Accessible Projects
- 65% Projects with Solar/Wind Power Systems, where at least 50% of the energy must be generated by solar or wind.
- 75% Publicly Accessible Projects with Solar/Wind Power Systems, where at least 50% of the energy must be generated by solar or wind.
- 100% Public School Buses - Battery Charging and Alternative Fueling

### B. Projects Eligible for Funding

To be eligible for funding, are projects that provide fuel or powered to cover sources include but are not limited to the following:

1. **Battery Charging Station** – New, conversion of existing, and expansion to existing

2. **Alternative Fueling Station** – New, conversion of existing, and expansion to existing hydrogen and natural gas fueling stations.

3. **Stationary Agricultural Pump** – Pump electrification.


5. Additional projects may be considered on a case by case basis, such as residential battery charging stations doe low-income and multi-unit dwellings, as well as infrastructure for transport refrigeration units and truck stop electrification.

### C. Eligible Applicants

Public and private entities are eligible to apply unless otherwise stated. Public entities include but are not limited to State, metropolitan, county, city, multiple county district (eg. water district), school district, university, and federal agencies/ organizations. Private entities include but are not
Appendix R: Infrastructure

limited to private organizations and corporations. Out of state applicants are eligible to apply provided that the infrastructure is situated in California.

D. Eligible Costs
Eligible costs are limited to the purchases and installation of the equipment for power delivery or fueling directly related to the infrastructure project. The eligible costs listed below must utilize commercially available technologies.

1. Eligible project costs include:
   a. Cost of design and engineering, (i.e. labor, site preparation, American Disabilities Act accessibility, signage).
   b. Cost of Equipment (e.g. charging/fueling units, electrical parts, energy storage equipment materials).
   c. Cost of installation directly related to the construction of the station.
   d. Meter/dataloggers.
   e. On-site power generation systems that fuels or powers covered sources (i.e. solar and wind generation equipment).

2. Optional discretionary costs (air district’s choice):
   a. Federal, sales, and other taxes.
   b. Shipping and delivery costs.
   c. Fees incurred pre-contract execution (i.e. permits, design, engineering, site preparation), license fees, environmental fees, commissioning fees (safety testing), and onsite required safety equipment.
   d. Consulting fees associates with the preparation of Environmental Assessment, Environmental Impact Statement, Environmental Impact Report, or other California Environmental Quality Act (CEQA) documents, etc.

E. Ineligible Costs
In eligible costs include but are not limited to:

1. Existing station upgrades.
2. Fuel and energy costs.
3. Non-essential equipment hardware.
4. Operation cost (e.g. operational fees, maintenance, repairs, improvements, spare parts).
5. Extended warranty.
6. Insurance.
7. Data collection and reporting.
8. Grantee administrative costs.
9. Legal fees.
10. Real estate property purchases/leases.
11. Performance bond costs.
12. Construction management.
13. Storm water plan costs.
15. Testing and soil sampling.
Appendix R: Infrastructure

16. Hazardous materials, including permitting, handling, and disposal.

F. Project Eligibility Criteria
The minimum qualifications for infrastructure projects are listed below. All projects must also conform to the both the requirements General Criteria (The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 2) and Program Administration (The Carl Moyer Program Guidelines 2017 Revisions Vol.1, Chapter 3). The District may impose additional requirements.

1. General Criteria
   a. The project must be installed and located in California.
   b. The project must comply with all federal, State, local laws and requirements including environmental and fire codes. For instance, air districts may need to perform CEQA review and obtain approval prior to funding a project.
   c. A publicly accessible infrastructure project must be solicited and selected through a competitive bidding process that has been approved by the air district board.
   d. Work must be performed by a licensed contractor.
   e. For projects that contain Moyer Program funding for both infrastructure and engine replacement and repower within the same contract, only the cost of the engine replacement or repower will be considered when performing a cost-effectiveness calculation.
   f. Publicly accessible station must at a minimum be accessible to be public daily during regular business hours.
   g. Equipment and parts must be new. Remanufactured or refurbished equipment and parts are not eligible.
   h. Except for stationary agricultural pump projects, completed Uniform Commercial Code-1 Financing Statement Form must be submitted by the air district to the California Secretary of State for infrastructure projects with a grant funding amount of $50K or greater. The financing statement must list the air district as the secured party.

2. Battery Charging Station
   a. Chargers must be a level 2 and higher to support non-residential stations.
   b. Publicly accessible light-duty charging stations must use a valid and universally accepted charge connector protocol (e.g. Society of the Automotive Engineers (SAE), CHAdeMO).
   c. Charger must be certified by a nationally Recognized Testing Laboratory (e.g. Underwriter’s Laboratories, Intertek) located at https://www.osha.gov/dts/otpca/nrtl/nrtlList.html.
   d. Equipment must have a least a one year warranty.

3. Stationary Agricultural Pump – To be eligible for funding, infrastructure must directly power a zero-emission stationary agricultural pump funded by the air district with Moyer Program funds, including match.
4. **Shore Power**
   a. Funding is available to install shore-side electrical grid-based power at a berth that receives visits solely by vessels not subject to the control requirements of ARB’s Shore Power regulation (Title 17, California Code Regs., section 93118.3).
   b. Shore-side projects meeting the eligibility criteria of the Goods Movement Program are eligible for the Moyer Progema funding only a case-by-case basis. Moyer Program project funds cannot be co-funded with Proposition 1B Goods Movement Program Funds.

5. **Alternative Fueling Station** – Equipment must have at least three year warranty.

G. **Applicant Requirements**

A. **General Criteria**
   a. The applicant must be able to demonstrate to the air district that the applicant can obtain all required land use permits from agencies needed to install and operate the station.

   b. For a publicly accessible station, the applicant must provide a description of the geographic location, including an aerial map (i.e. satellite view from an internet based map or city/county map) and specific street address of the proposed station.

   c. Applicants must demonstrate that they either own the land on which the project will be located, or control it through a long-term lease, easement or other legal arrangement, for the duration of the project life. For a proposed project where the land is not owned by the applicant, an executed lease agreement or letters of commitment lasting for the duration of the project life must be signed by property owners /authorized representatives and must be submitted with the application.

   d. Applicants must be able to provide documentation that power or fuel is being provided to the site (e.g. application, payment to the local utility company for power installation, or contract).

B. **Shore Power**
   a. Applicants who own/operate at a terminal must submit a copy of the Initial Terminal Plan per Section (g) of the ARB’s Shore Power Regulation (Title 17, California Code Regs, Section 93118.3). All subsequent project reports to air districts must include a copy of the terminal plan in order to evaluate compliance with the project contract.

   b. Only a port authority, terminal operator, or marine vessel owner may apply to receive Moyer Program funding for shore power projects.
OFF-ROAD VOUCHER INCENTIVE PROGRAM (ORVIP) ADMINISTRATIVE PLAN

A. Program Approval
The Governing Board, via resolution, has authorized the APCO to administer the program as necessary. Acceptance and expenditure of VIP funds is authorized annually by the Governing Board through the budget adoption process.

B. Dealer Selection
The NCUAQMD maintains an active outreach program for the solicitation of eligible Dealers within the tri-county air basin. In order to reach all potential dealers within the counties of Humboldt, Del Norte and Trinity, the NCUAQMD utilizes its website as one of the mediums of communication. Annually, upon acceptance of the VIP award, the District published notification/solicitation in each of the local newspapers of daily circulation in all three counties. Direct contact is made by conducting a search of local phone directories, attendance at industry events, announcements were made at District Governing Board meetings. The NCUAQMD also contacted neighboring Air Districts whom provided contact information for prospective dealers.

C. Dismantler Selection
The NCUAQMD maintains an active outreach program for the solicitation of eligible Dismantlers within the tri-county air basin. In order to reach all potential dealers within the counties of Humboldt, Del Norte and Trinity, the NCUAQMD utilizes its website as one of the mediums of communication. Annually, upon acceptance of the VIP award, the District published notification/solicitation in each of the local newspapers of daily circulation in all three counties. Direct contact was made by conducting a search in the local phone books, at industry events, along with public service announcements were made at District Governing Board meetings. The NCUAQMD also contacted neighboring Air Districts whom provided contact information for prospective dismantlers.

D. Payment Process
Upon receipt of a complete Dealer Reimbursement Package, the NCUAQMD will start the disbursement process and issue a check within ten (10) business days.

E. Documentation
The NCUAQMD will document the activities and progress of the Off-Road Voucher Incentive Program (ORVIP) by using approved forms,

F. Audits
The District has chosen to allow properly trained and qualified dealership personnel to perform the pre-inspection, post-inspection, and pre-dismantle inspections of equipment. ALL dismantle inspections will be performed by the District, and may do an additional inspection (pre-inspection, post-inspection and/or pre-dismantle), if required. If the dismantler is located in outside of the District’s boundaries the inspections may be conducted by outside District personnel (eq. Northern Sonoma, Siskiyou County, Lake County).
Appendix R: Off-Road Voucher Incentive Program Administrative Plan

The District will audit a minimum of five percent (5%) of all inspection performed at random intervals throughout the implementation timeline. The audit will consist of field visits, record verification, and office conferences if necessary. The District will prepare a report of findings for each audit conducted; a copy of the report will be forwarded to the dealer and a copy will be maintained on file at the District.

1. Dealer Training
The District is in regular contact with Carl Moyer Liaison (See Section VIII. Coordination with ARB). When developing the District training program, the District determined the curriculum based upon abbreviated Dealer responsibilities. Training will be conducted prior to signing the necessary Dealer agreement and will include:
   - A PowerPoint Presentation followed by an open-book quiz, which covers:
     - Required Forms,
     - Inspections,
     - Procedure for Reimbursement, and
     - Additional Resources.

2. Dismantler Training
The District is in regular contact with Carl Moyer Liaison (See Section VIII. Coordination with ARB). When developing the District training program, the District determined the curriculum based upon abbreviated Dismantler responsibilities. Training will be conducted prior to signing the necessary (Dealer/Dismantler) agreement and will include:
   - A PowerPoint Presentation followed by an open-book quiz, which covers:
     - Required Forms,
     - Vehicle Delivery, and
     - Acceptable Methods of Destruction.

G. Outreach
The NCUAQMD actively solicits participants through our outreach program which consist of:
- NCUAQMD website.
- NCUAQMD Facebook page.
- Notification and solicitation in each of the local newspapers.
- Public service announcements at Governing Board meetings.
- Direct contact with dealers in area.
- Contact with other air districts.
ON-ROAD VOUCHER INCENTIVE PROGRAM
(VIP) ADMINISTRATIVE PLAN

1. Program Approval
The Governing Board, via resolution, has authorized the APCO to administer the program as necessary. Acceptance and expenditure of VIP funds is authorized annually by the Governing Board through the budget adoption process.

2. Dealer Selection
The NCUAQMD maintains an active outreach program for the solicitation of eligible Dealers within the tri-county air basin. In order to reach all potential dealers within the counties of Humboldt, Del Norte and Trinity, the NCUAQMD utilizes its website as one of the mediums of communication. Upon acceptance of the VIP award, the District published notification/solicitation in each of the local newspapers of daily circulation in all three counties. Direct contact is made by conducting a search of local phone directories, attendance at industry events, announcements were made at District Governing Board meetings. The NCUAQMD also contacted neighboring Air Districts whom provided contact information for prospective dealers.

3. Dismantler Selection
The NCUAQMD maintains an active outreach program for the solicitation of eligible Dismantlers within the tri-county air basin. In order to reach all potential dealers within the counties of Humboldt, Del Norte and Trinity, the NCUAQMD utilizes its website as one of the mediums of communication. Upon acceptance of the VIP award, the District published notification/solicitation in each of the local newspapers of daily circulation in all three counties. Direct contact was made by conducting a search in the local phone books, at industry events, along with public service announcements were made at District Governing Board meetings. The NCUAQMD also contacted neighboring Air Districts whom provided contact information for prospective dismantlers.

4. Payment Process
Upon receipt of a complete Dealer Reimbursement Package, the NCUAQMD will start the disbursement process and issue a check within ten (10) business days.

5. Documentation
The NCUAQMD will document the activities and progress of the Voucher Incentive Program by using the CARB approved forms

6. Audits
The District has chosen to allow properly trained and qualified dealership personnel to perform the pre-inspection, post-inspection, and pre-dismantle inspections of equipment. ALL dismantle inspections and one additional inspection required (pre-inspection, post-inspection and/or pre-dismantle) shall be perform by the District. The dismantle inspection and/or the one additional inspection may be conducted by an outside District if it outside the NCUAQMD boundaries. Inspections will be conducted in accordance with the On-Road VIP Guidelines.

7. Dealer Training
The District is in regular contact with Carl Moyer Liaison (See Section VIII. Coordination with ARB). When developing the District training program, the District determined the curriculum based upon abbreviated Dealer responsibilities. Training will be conducted prior to signing the necessary Dealer agreement and will include:

- A PowerPoint Presentation followed by an open-book quiz, which covers:
  - Required Forms,
  - Vehicle Delivery, and
  - Procedure for Reimbursement

8. Dismantler Training

The District is in regular contact with Carl Moyer Liaison (See Section VIII. Coordination with ARB). When developing the District training program, the District determined the curriculum based upon abbreviated Dismantler responsibilities. Training will be conducted prior to signing the necessary (Dealer/Dismantler) agreement and will include:

- A PowerPoint Presentation followed by an open-book quiz, which covers:
  - Required Forms,
  - Vehicle Delivery, and
  - Acceptable Methods of Destruction.

9. Outreach

The NCUAQMD actively solicits participants through our outreach program which consist of:

- NCUAQMD website
- NCUAQMD Facebook page
- Notification and solicitation in each of the local newspapers
- Public service announcements at Governing Board meetings
- Direct contact with dealers in area
- Contact with other air districts
TRUCK IMPROVEMENT/MODERNIZATION BENEFITTING EMISSION REDUCTIONS (TIMBER) PROGRAM ADMINISTRATIVE PLAN

1. Program Approval
The Governing Board, via resolution, has authorized the APCO to administer the program as necessary. Acceptance and expenditure of Truck Improvement/Modernization Benefitting Emission Reductions (TIMBER) Program funds is authorized annually by the Governing Board through the budget adoption process.

2. Dealer Selection
The NCUAQMD maintains an active outreach program for the solicitation of eligible Dealers within the tri-county air basin. In order to reach all potential dealers within the counties of Humboldt, Del Norte and Trinity, the NCUAQMD utilizes its website as one of the mediums of communication. Upon acceptance of the TIMBER award, the District published notification/solicitation in each of the local newspapers of daily circulation in all three counties. Direct contact is made by conducting a search of local phone directories, attendance at industry events, announcements were made at District Governing Board meetings. The NCUAQMD also contacted neighboring Air Districts whom provided contact information for prospective dealers.

3. Dismantler Selection
The NCUAQMD maintains an active outreach program for the solicitation of eligible Dismantlers within the tri-county air basin. In order to reach all potential dealers within the counties of Humboldt, Del Norte and Trinity, the NCUAQMD utilizes its website as one of the mediums of communication. Upon acceptance of the TIMBER award, the District published notification/solicitation in each of the local newspapers of daily circulation in all three counties. Direct contact was made by conducting a search in the local phone books, at industry events, along with public service announcements were made at District Governing Board meetings. The NCUAQMD also contacted neighboring Air Districts whom provided contact information for prospective dismantlers.

4. Payment Process
Upon receipt of a complete Dealer Reimbursement Package, the NCUAQMD will start the disbursement process and issue a check within ten (10) business days.

5. Documentation
The NCUAQMD will document the activities and progress of the TIMBER Voucher Program by using the CARB approved forms, and by entering participant data into the CARL database. Exceptions:
- Incomplete application package will be rejected, and dealerships will be notified via the post and email using the CARB approved form letter. Incomplete application package(s) that the dealer/applicant wishes to supplemental with missing data will be held on to by the District, unless other requests are made. The ten (10) day review period will start once the missing application package data is received by the District.

6. Audits
The District has chosen to perform ALL dismantle inspections and one additional inspection required (pre-inspection, post-inspection and/or pre-dismantle). The dismantle inspection and/or the one
Appendix R: TIMBER Program Administrative Plan

additional inspection may be conducted by outside District if it outside the NCUAQMD boundaries. Inspections will be conducted in accordance with the TIMBER Guidelines.

7. Dealer Training
The District is in regular contact with Carl Moyer Liaison (See Section VIII. Coordination with ARB). When developing the District training program, the District determined the curriculum based upon abbreviated Dealer responsibilities. Training will be conducted prior to signing the necessary Dealer agreement and will include:

- A PowerPoint Presentation followed by an open-book quiz, which covers:
  - Required Forms,
  - Inspections,
  - Procedure for Reimbursement, and
  - Additional Resources.

8. Dismantler Training
The District is in regular contact with Carl Moyer Liaison (See Section VIII. Coordination with ARB). When developing the District training program, the District determined the curriculum based upon abbreviated Dismantler responsibilities. Training will be conducted prior to signing the necessary (Dealer/Dismantler) agreement and will include:

- A PowerPoint Presentation followed by an open-book quiz, which covers:
  - Required Forms,
  - Vehicle Delivery, and
  - Acceptable Methods of Destruction.

9. Outreach
The NCUAQMD actively solicits participants through our outreach program which consist of:

- NCUAQMD website.
- NCUAQMD Facebook page.
- Notification and solicitation in each of the local newspapers.
- Public service announcements at Governing Board meetings.
- Direct contact with dealers in area.
- Contact with other air districts.