



Environmental  
Protection Agency



## OHIO DIESEL EMISSIONS REDUCTION GRANT PROGRAM

### **Diesel Emissions Reduction Grant (DERG) Program for Equipment Replacement, Repower, Retrofit and Anti-Idle**

#### **Request for Proposals February 17, 2012**

The State of Ohio Environmental Protection Agency (Ohio EPA) is soliciting proposals from all public sector and private sector (with a public sponsor) diesel fleets that will undertake vehicle/equipment replacement, repower, or retrofit for the purpose of emissions reduction. Fleets may also apply for idle reduction equipment.

Ohio EPA  
Diesel Emissions Reduction Grant Program  
Office of Environmental Education  
50 W. Town St. Suite 700  
Columbus, OH 43215  
Email: [derg@epa.state.oh.us](mailto:derg@epa.state.oh.us)  
Website: <http://www.epa.ohio.gov/oef/derg.aspx>

# Ohio Diesel Emissions Reduction Grant (DERG) Program For Equipment Replacement, Repower, Retrofit & Anti-Idle

## Table of Contents

### **SECTION 1: REQUEST FOR PROPOSALS (RFP) OVERVIEW**

- 1.1 RFP Time Table
- 1.2 Ohio Environmental Protection Agency (Ohio EPA)
- 1.3 Project Background

### **SECTION 2: PROGRAM REQUIREMENTS**

- 2.1 Fund Reimbursement Policy
- 2.2 Twenty Percent Match Requirement
- 2.3 Advertising and Bid Procedures
- 2.4 Record Maintenance
- 2.5 Non-Performance

### **SECTION 3: APPLICATIONS**

- 3.1 Project Application
- 3.2 Communication and Inquiries

### **SECTION 4: ELIGIBILITY**

- 4.1 Project Type
- 4.2 CMAQ Program Eligibility
- 4.3 Ineligible Costs

### **SECTION 5: PROJECT TYPES**

- 5.1 Vehicle/Equipment Replacement
- 5.2 Equipment Repower (Engine Replacement)
- 5.3 Equipment Retrofit
- 5.4 Anti-Idle Equipment

### **SECTION 6: PROJECT SELECTION CRITERIA**

### **SECTION 7: GENERAL REQUIREMENTS**

- 7.1 Cost of Proposal
- 7.2 Confidentiality

### **SECTION 8: APPENDICES**

- Appendix A: Diesel Emissions Reduction Grant Application
- Appendix B: DERG Eligibility Chart by Vehicle Type
- Appendix C: Map of CMAQ Eligible Counties and Townships in Ohio
- Appendix D: Sample Public-Private Partnership Agreement
- Appendix E: Required Forms
  - Ohio Shared Services Vendor Information Form
  - IRS Form W-9
- Appendix F: Additional Guidance for Applicants

## **SECTION 1: REQUEST FOR PROPOSALS (RFP) OVERVIEW**

### **1.1 RFP Time Table**

Release of RFP:	February 17, 2012
Bidder Conference Calls:	March 8, 10:00 a.m., March 14, 1:00 p.m.
Deadline to Submit Proposals:	March 30, 2012, 5:00 p.m.
Announcement of Award:	May 15, 2012

Awarded projects cannot commence until nearly three months from the deadline date due to the time required for review and fiscal administration of the grants. DERG funds may not be used to reimburse grant recipients for any grant expenses, including equipment purchased, prior to execution of the grant contract. Applicants should plan accordingly for making equipment purchases and installations.

The Committee reserves the right to adjust the dates listed above, for whatever reasons it deems appropriate. The Committee also reserves the right to request additional information to assist in the review process or to reject any and all applications and make no awards under this program or make fewer and smaller awards than anticipated or to fund partial projects.

### **1.2 Ohio Environmental Protection Agency (Ohio EPA)**

The Ohio EPA is a trusted leader and environmental steward using innovation, quality service and public involvement to ensure a safe and healthy environment for all Ohioans. The Agency's mission is to protect the environment and public health by ensuring compliance with environmental laws and demonstrating leadership in environmental stewardship.

### **1.3 Project Background**

The Ohio EPA in partnership with the Ohio Department of Transportation (ODOT) proudly announces the fourth round of the Diesel Emissions Reduction Grant (DERG) Program. Invited to apply are all public diesel engine fleets and private diesel engine fleets with a public sponsor (Public-Private Partnerships) that will undertake vehicle/equipment replacement, repower, retrofit, or installation of anti-idle equipment for the purpose of emissions reduction. Public-Private Partnerships (PPP) are defined in the Federal Highway Administration (FHWA) Congestion Mitigation and Air Quality (CMAQ) Improvement Program Guidance dated October 20, 2008. [http://www.fhwa.dot.gov/environment/air\\_quality/cmaq/policy\\_and\\_guidance/cmaq08gd.pdf](http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/cmaq08gd.pdf). An example of an acceptable PPP agreement is provided in Appendix D of this document.

Funds will be made available under the DERG program, from the Ohio Department of Transportation FHWA CMAQ Program federal appropriation fund. The CMAQ Program is authorized through the federal Safe, Accountable, Flexible and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU).

The DERG Committee makes all project selections and funding decisions. The Committee consists of staff from the Ohio EPA and ODOT.

The total funding available for this competitive funding round opportunity through June 30, 2012 is \$10,000,000.00 in federal CMAQ funds. Each application must contain a request for at least twenty thousand dollars (\$20,000) to be considered.

## **SECTION 2: PROGRAM REQUIREMENTS**

### **2.1 Fund Reimbursement Policy**

**DERG is a reimbursement program and applicants must provide non-federal funding to cover expenses as they are incurred.** Projects selected for funding will be reimbursed *up to the amount approved for that project* upon proper documentation of payment for eligible expenses.

### **2.2 Twenty Percent Match Requirement**

For projects that are selected, up to eighty percent (80%) of project costs may be eligible for reimbursement from CMAQ funds. Applicants are required to provide a minimum twenty percent (20%) in matching funds. Matching funds cannot be from federal funds or from in-kind services.

### **2.3 Advertising and Bid Procedures**

**Projects selected to receive funding must comply with all competitive bid standards.** Applicants must employ advertising and bid procedures as approved by Ohio EPA and ODOT.

### **2.4 Record Maintenance**

Successful applicants will be required to maintain financial documentation for a period of five years. Additionally, records regarding the utilization and maintenance must be kept for the useful life of the vehicle/equipment.

### **2.5 Non-Performance**

Grant recipients will be required to submit progress reports every six months. If Ohio EPA determines that a recipient is not making satisfactory progress, or has

not submitted any invoices for reimbursement within two years from the date of initial grant award, Ohio EPA may, in consultation with the Ohio Department of Transportation and the Federal Highway Administration, revoke the grant and reallocate the funds to the next highest ranked project applicant.

## SECTION 3: APPLICATIONS

### 3.1 Project Application

**Applications must be received by the Ohio EPA no later than 5:00 p.m. on March 30, 2012.** Proposals must be submitted in hard copy. No fax or e-mail submittals will be accepted. Late submittals will not be considered. Applicants who do not receive email confirmation of receipt of their application within two business days should call 614-644-2873 or email [derg@epa.state.oh.us](mailto:derg@epa.state.oh.us).

Applicants must provide one original and 2 copies of the application package, including an original signature from the Authorizing Agent (preferably in blue ink) on the certification statement. Original may be single-sided or double sided, copies should be double sided

By mail:

Ohio EPA  
Office of Environmental Education  
P.O. Box 1049  
Columbus, OH 43216-1049  
(614) 644-2873

By courier or delivery:

Ohio EPA  
Office of Environmental Education  
50 W. Town Street, Suite 700  
Columbus, OH 43215  
(614) 644-2873

Applications may also be delivered to Ohio EPA District Offices in Bowling Green, Dayton, Logan, or Twinsburg before **4:30 p.m.** on the deadline day. Please call Ohio EPA or consult the Ohio EPA Web page, <http://www.epa.ohio.gov/directions.aspx> for directions to the district office near you.

An applicant whose proposal is not funded may re-submit the proposal in a subsequent grant cycle. If the vendor quote is still in force and there are NO changes to the proposal from the previous cycle, the applicant may request that Ohio EPA reactivate the same proposal in the next grant cycle, by sending a request in writing to the address above, or by email to [derg@epa.state.oh.us](mailto:derg@epa.state.oh.us). Ohio EPA will provide confirmation in writing that the proposal is being reactivated. If you do not receive confirmation within a few days that your request was received, please phone the Office of Environmental Education at (614) 644-2873. If there are any changes to the proposal, including changes to price quotes or to the list of vehicles and equipment being proposed, the applicant should revise and submit a new proposal.

Those who are awarded a grant under this program may submit a new proposal during a subsequent grant cycle. Each new proposal will be reviewed based upon the criteria set forth in these guidelines, and in relation to the quality of other proposals received during the same grant cycle.

### 3.2 Communication and Inquiries

Prior to the deadline for submission, at least two conference calls will be scheduled for questions from prospective applicants. Call information and notes will be posted on Ohio EPA's DERG Website at: <http://www.epa.ohio.gov/oeef/derg.aspx>. Prospective applicants are also encouraged to contact program staff members [Alan.Harness@epa.state.oh.us](mailto:Alan.Harness@epa.state.oh.us) at (614) 644-4838 with technology questions, or [Carolyn.Watkins@epa.state.oh.us](mailto:Carolyn.Watkins@epa.state.oh.us) at (614) 644-3768 with financial questions.

## SECTION 4: ELIGIBILITY

### 4.1 Project Type

Project types eligible for funding under DERG include the replacement, repower, retrofit, and/or installation of anti-idle equipment, of diesel powered public fleets<sup>1</sup> and Public-Private Partnership (PPP) fleets<sup>2</sup>. Projects funded under this program must affect surface transportation system travel consistent with the FHWA's October 20, 2008 CMAQ Program Guidance<sup>3</sup>. Projects must result in reductions of oxides of nitrogen (NO<sub>x</sub>) and/or fine particulate matter (PM<sub>2.5</sub>) emissions from pollutant sources. A chart summarizing eligibility by vehicle type is provided in Appendix B.

**Projects must utilize verified emission reduction technologies as determined by the United States Environmental Protection Agency (USEPA) or the California Air Resources Board (CARB).**

### 4.2 CMAQ Program Eligibility

Prior to final project selection by the DERG committee, the FHWA must issue a formal CMAQ program eligibility determination on each proposed project.

---

<sup>1</sup> Including but not limited to: school buses, mass transit vehicles, refuse collection trucks, government fleets.

<sup>2</sup> Including but not limited to: short haul trucks, locomotives and non-road construction equipment.

<sup>3</sup> Non-road vehicles or construction equipment must be working on surface transportation construction projects (Title 23) based in Ohio nonattainment or maintenance areas to be eligible. Only those costs associated with the vehicle/equipment components that produce emissions will be considered for funding. FHWA's CMAQ program guidance is available at [www.fhwa.dot.gov/environment/air\\_quality/cmaq/policy\\_and\\_guidance/cmaq08gd.pdf](http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/cmaq08gd.pdf).

FHWA's eligibility determinations are based on documentation project sponsors prepare describing the project scope, its consistency with FHWA's CMAQ program eligibility guidance, and a quantitative analysis of the mobile source emission reductions that will result from project implementation.

FHWA's CMAQ program guidance is available at [http://www.fhwa.dot.gov/environment/air\\_quality/cmaq/policy\\_and\\_guidance/cmaq08gd.pdf](http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/cmaq08gd.pdf)

CMAQ program eligibility documentation includes the following items:

- Narrative description of the project scope
- Narrative description of project's consistency with FHWA CMAQ eligibility guidance (see page 22 of CMAQ Guidelines)
- Project location
- Project cost
- Project sponsor
- Quantitative analysis of mobile source emission reductions resulting from project implementation using USEPA's Diesel Emission Quantifier (DEQ) tool at <http://www.epa.gov/cleandiesel/quantifier>. In using this tool, applicants should set the parameters to include an estimate of the total cost effectiveness of the project, and include this estimate with their application.

**Equipment must be operated in PM<sub>2.5</sub> and/or Ozone nonattainment or maintenance areas of Ohio for at least sixty-five percent (65%) of the time. Grant recipients will be required to provide documentation that this criterion is met for a period of no less than five years following installation of the equipment.**

A map of eligible Ohio PM<sub>2.5</sub> and Ozone nonattainment and maintenance counties and townships is included in Appendix C and posted at: <http://www.epa.ohio.gov/portals/42/documents/dergeligible2011.pdf>.

Ohio counties (or parts of counties) that are either in nonattainment or maintenance status as determined by US EPA. A project must be located in at least one of these counties or geographic locations (in the case of partial counties) in order to be considered for CMAQ funding

Adams (p)	Cuyahoga	Lake	Portage
Allen	Delaware	Lawrence	Scioto
Ashtabula	Fairfield	Licking	Stark
Belmont	Franklin	Lorain	Summit
Butler	Gallia (p)	Lucas	Trumbull
Clark	Geauga	Madison	Warren
Clermont	Greene	Mahoning	Washington
Clinton	Hamilton	Medina	Wood
Columbiana	Jefferson	Miami	
Coshocton (p)	Knox	Montgomery	

(p) = partial PM2.5 nonattainment county

### 4.3 Ineligible Costs

*Ineligible* costs include but may not be limited to:

- Operating expenses and fuel costs, including incremental costs of fuel.
- Any project required by any law or other legally binding agreement.
- Work done or purchases made prior to official notice of project funding approval and notice of FHWA project authorization.
- Costs incurred for work or purchases not included in the approved project scope.
- Installation costs incurred from in-kind services or by an unauthorized vendor.
- Administrative costs.

## SECTION 5: PROJECT TYPES

Type	Description	Limitations	Maximum Funding
Vehicle/Equipment Replacement	Replacing old vehicles/equipment with new vehicles/equipment, including replacing with hybrid or alternatively fueled vehicles as identified in section 301 of the 1992 Energy Policy Act	New vehicles or equipment must meet newer emission standards than old vehicles or equipment. Verification that old vehicles or equipment have not been returned to service	80% of total project cost subject to provisions of CMAQ; less core or scrap value and less other governmental financial purchase contributions
Repower (Engine Replacement)	Removing the engine from a piece of equipment and replacing it with a new, rebuilt, or remanufactured engine	Engines must meet a newer emission standard; verification that old engine remanufactured or permanently destroyed	80% of equipment invoiced cost less core value or scrap value and 80% of installation by an outside vendor
Retrofit	Adding on emission reduction technologies to reduce pollution	Retrofit technology must be verified by US EPA or CARB	80% of equipment invoiced cost less core value or scrap value and 80% of installation by an outside vendor
Anti-Idle	Adding anti-idle technologies to reduce pollution	Retrofit technology must be verified by US EPA	80% of equipment invoiced cost less core value or scrap value and 80% of installation by an outside vendor

### 5.1 Vehicle/Equipment Replacement

Vehicle or equipment replacement<sup>4</sup> involves permanently removing an old vehicle or machinery from service, and replacing it with a new vehicle or

<sup>4</sup> Including but not limited to: long and short haul trucks, locomotives and non-road construction equipment. Non-road vehicles or construction equipment must be working on a surface transportation construction project (Title 23) based in Ohio nonattainment or maintenance areas to be eligible. Only those costs associated with the vehicle/equipment components that produce emissions will be considered for funding.

machinery, including hybrid or alternatively fueled vehicles as identified in section 301 of the 1992 Energy Policy Act. Because construction equipment tends to have a very long life span, and in the past decade the federal government has implemented increasingly stringent emission standards for both on-road and off-road diesel equipment, upgrading to new model year diesel equipment has a significant air quality benefit.

In order to be eligible for funding for vehicle or equipment replacement, the award recipient must verify that the machinery to be replaced is currently in proper working condition with at least five (5) years of remaining useful life. For public transit agency replacement projects, vehicles will follow the Federal Transit Administration (FTA) replacement guidelines posted at [http://www.fta.dot.gov/documents/Useful\\_Life\\_of\\_Buses\\_Final\\_Report\\_4-26-07\\_rv1.pdf](http://www.fta.dot.gov/documents/Useful_Life_of_Buses_Final_Report_4-26-07_rv1.pdf). Additionally, the replacement vehicle/equipment must be used for the same or similar purpose as the retired equipment.

Grant agreements involving replacements of a full vehicle or equipment will include a provision for disposal of the engine block through an OEM or authorized remanufacturer and a process to verify the retirement of this vehicle/equipment. The grant recipient will be required to provide documentation verifying that the old vehicle/equipment has not been returned to service. Grant recipients may use the "Congestion Mitigation and Air Quality Program Original Equipment Disposition Certification" form posted on the DERG program Website, <http://www.epa.ohio.gov/oeef/derg.aspx>

Eligible expenses for reimbursement for replacements under this program include:

- Invoice cost of a replacement vehicle (subject to FHWA eligibility approval) including delivery charges, less scrap value of decommissioned vehicle/equipment;
- Costs to remove and dispose of fluids in the decommissioned vehicle/equipment, less any payments received for reuse of such fluids; and
- Other costs directly related to the project, subject to prior approval.

Ohio EPA is primarily interested in supporting projects that result in direct reductions in emissions, and will consider funding infrastructure components allowable under CMAQ such as fueling stations only in conjunction with other project components that provide immediate emission reductions, such as vehicle or engine replacements. Proposals requesting funding for infrastructure components must demonstrate ownership or legal control of the property; demonstrate that the requested infrastructure is not already in place and reasonably accessible; and include in the narrative a description of all required local, state and federal permits and a realistic schedule for securing these

permits. Infrastructure components that Ohio EPA deems to have a time horizon longer than two years will not be considered.

The incremental cost of the new vehicle/machinery minus any core or scrap value and any other governmental financial purchase contributions will constitute the total cost of vehicle/machinery replacement.

**Note:** FHWA will not approve CMAQ funding to finance the entire cost of private fleet or public agency general services replacement vehicles. FHWA will approve CMAQ funding only for replacement vehicle components that contribute to the vehicles' emission characteristics. See FHWA's CMAQ guidance dated October 2008 posted at:

[http://www.fhwa.dot.gov/environment/air\\_quality/cmaq/policy\\_and\\_guidance/cmaq08qd.pdf](http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/cmaq08qd.pdf) and additional guidance issued April 6, 2011, posted at: ([http://www.fhwa.dot.gov/environment/air\\_quality/cmaq/policy\\_and\\_guidance/cmaqaltfuel.cfm](http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/cmaqaltfuel.cfm) )

## 5.2 Equipment Repower (Engine Replacement)

An equipment repower involves removing the engine from a piece of equipment and replacing it with a new, rebuilt, or remanufactured engine (including compressed natural gas or propane repowers). Because new engines meet more stringent emission standards than older engines, a repower can provide a significant air quality benefit without the cost of replacing an entire piece of machinery.

To be eligible for funding, new engines must be verified by US EPA or CARB as agreed to by US EPA. Information on verified engines may be found at: <http://epa.gov/cleandiesel/verification/verif-list.htm> and <http://www.arb.ca.gov/diesel/cv.htm>

Eligible rebuilt or remanufactured engine components must meet or exceed Original Equipment Manufacturer (OEM) specifications.

In order to be eligible for funding for equipment repower, the award recipient must verify that the equipment to be repowered is currently in proper working condition. Before receiving reimbursement, the award recipient must document that the engine was removed and shipped to an authorized remanufacturing center, or that the engine in the old equipment has been permanently destroyed so that it cannot be sold or reused.

Eligible expenses for reimbursement for repower under this program include:

- Invoice cost of new engine including delivery charges, less the replaced engine's core or scrap value;
- Invoice cost of additional equipment that must be installed with the new engine;

- Costs to remove and dispose of hazardous fluids less any payments received for reuse of such fluids;
- Installation costs **if installed by an authorized outside vendor**;
- Reengineering costs by an authorized outside vendor, **if** the vehicle or equipment must be modified for the new engine to fit; and
- Other costs directly related to the project, subject to prior approval. See section 5.1 pertaining to infrastructure components.

The cost of purchasing and installing the new engine and required equipment minus the core value will constitute the cost of the equipment repower.

### 5.3 Equipment Retrofit

An equipment retrofit involves installation of an emission-reduction technology in an existing piece of equipment. To be eligible for funding, retrofit technologies must be verified by USEPA or CARB as agreed to by USEPA. Information on verified technologies may be found at:

<http://epa.gov/cleandiesel/verification/verif-list.htm> and <http://www.arb.ca.gov/diesel/cv.htm>

Eligible expenses for reimbursement for retrofits under this program include:

- Invoice cost of retrofit kit or add-on device including delivery charges;
- Invoice cost of additional equipment that must be installed;
- Installation costs if installed by an authorized outside vendor;
- Reengineering costs by an authorized outside vendor, if the vehicle or equipment must be modified for the retrofit, less any scrap or resale value; and
- Other costs directly related to the project, subject to prior approval.

### 5.4 Anti-Idle Equipment

Anti-idle equipment consists of installation of idling reduction technologies in order to reduce pollution. Information on some available **technologies deemed verified by USEPA** may be found at: <http://epa.gov/cleandiesel/verification/verif-list.htm>. Unverified technologies that have provided demonstrated emissions reductions may be eligible under this RFP upon approval by FHWA. Applicants must submit information that supports the emissions reduction benefits of unverified technologies.

Current available unverified technologies include but are not limited to:

- Auxiliary power units (APU)
- Battery powered HVAC units (BP HVAC)
- Direct fired heater/bunk heater unit (DFH)
- Energy recovery systems (ERS)

Eligible expenses for reimbursement for anti-idle equipment under this program include:

- Invoice cost of anti-idle kit or add-on device including delivery charges;
- Installation costs if installed by an authorized outside vendor;
- Reengineering costs by an authorized outside vendor, if the vehicle or equipment must be modified for the anti-idle technology; and
- Other costs directly related to the project, subject to prior approval.

## **SECTION 6: PROJECT SELECTION CRITERIA**

**Due to the competitiveness of the program, not all eligible projects will receive awards.**

DERG program project applications will be evaluated consistent with the FHWA CMAQ guidance eligibility criteria and ranked consistent with the scoring parameters below.

**Equipment must be operated in PM<sub>2.5</sub> and/or Ozone nonattainment or maintenance areas of Ohio for at least sixty-five percent (65%) of the time. Funded projects will be required to provide documentation that this criterion is met for a period of no less than five years following installation of the equipment.**

For PPPs, partnerships must have a legal, written agreement executed between the public agency and the private or non-profit entity before a CMAQ-funded project application can be approved for funding. These agreements should be developed under relevant State contract law and should specify the intended use for CMAQ funding; the roles and responsibilities of the participating entities; and how the disposition of land, facilities, and equipment will be carried out should the original terms of the agreement be altered (e.g., due to insolvency, change in ownership, or other changes in the structure of the PPP). **If an applicant is a PPP, a copy of the required written agreement clearly identifying the partners must be included at the time the application is submitted, or the application will not be evaluated. A copy of the final *signed and executed* agreement must be provided no later than 30 days after the application deadline, or the application will not receive further consideration. A sample template for a public-private partnership agreement is provided in Appendix D.**

The evaluation of eligible applications will be based on the following parameters:

- a). **Projected emission reductions of particulate matter (PM<sub>2.5</sub>) and/or oxides of nitrogen (NO<sub>x</sub>), reported in kilograms per day.** The project score will be based on reductions of NO<sub>x</sub> and PM<sub>2.5</sub> emissions. **(0-30 points NO<sub>x</sub>; 0-30 points PM 2.5)**

- b). Cost effectiveness of the emission reductions: The total reimbursable cost requested in the application will be divided by the estimated total emission reduction of PM<sub>2.5</sub> and NOx to determine the cost effectiveness of the project, in dollars per kilogram of reduced emissions. **(0-40 points)**

Ohio EPA also **strongly** encourages applicants to follow the guidance issued by US EPA for the federal *Diesel Emissions Reduction Program (DERA): Technologies, Fleets and Projects Information*, posted at: <http://www.epa.gov/cleandiesel/documents/420p11001.pdf>. This guidance lays out the kinds of things Ohio EPA will be looking for in the application project descriptions for various types of diesel projects, and the specific kinds of documentation that DERG grant recipients will be expected to provide and maintain.

Another very help tool is US EPA's *Tips for a Successful Diesel Retrofit Project*, posted at: <http://www.epa.gov/cleandiesel/tools/tips-for-success.htm#project>.

## **SECTION 7: GENERAL REQUIREMENTS**

### **7.1 Cost of Proposal**

The cost of preparing and submitting proposals in response to this RFP are solely the responsibility of the applicant. The program shall not reimburse or contribute, in any way, to the cost of the preparation and delivery of the proposal.

### **7.2 Confidentiality**

All information submitted in response to this RFP shall be public information unless a statutory exception exists which would thereby determine that the information cannot be released to the public. Any information submitted with the proposal, which the applicant feels is a trade secret must be conspicuously designated as such and shall be treated accordingly if the information is determined to be a trade secret under the laws of the State of Ohio. It is the applicant's sole duty to identify and mark such passages it deems to be trade secrets. All submitted proposals will become the property of the Ohio EPA and any information submitted in response to this proposal will not be returned to the applicant.

## **SECTION 8: APPENDICES**

- Appendix A: Diesel Emissions Reduction Grant Application
- Appendix B: DERG Eligibility Chart by Vehicle Type
- Appendix C: Map of CMAQ Eligible Counties and Townships in Ohio
- Appendix D: Sample Public-Private Partnership Agreement
- Appendix E: Required Forms
  - Ohio Shared Services Vendor Information Form
  - IRS Form W-9
- Appendix F: Additional Guidance for Applicants

## Appendix A: DERG Application Form



# OHIO DIESEL EMISSIONS REDUCTION GRANT PROGRAM

## ***Application Form***

*For Office Use Only:*

*Application Number:* \_\_\_\_\_ *Date Received:* \_\_\_\_\_

### **Section 1. Contact Information for Applicant**

**Table 0-1.** *Please provide contact information for the applicant organization's **Authorizing Agent** (person who is authorized to sign the grant contract on behalf of the organization).*

a. Full name of Organization:	
b. Federal Employer Identification Number (EIN):	
c. Street Address:	
d. City:	
e. State:	
f. Zip Code:	
g. County:	
h. Name of person serving as Authorizing Agent:	
i. Authorizing Agent Phone Number:	
j. Authorizing Agent E-mail Address:	

**Table 0-2.** *Contact Information for **Project Director** (person who will oversee the purchase or installation of equipment and implementation of the project).*

a. Project Director (Primary Contact):	
b. Title:	
c. Street Address:	
d. City:	
e. State:	
f. Zip Code:	
g. Phone:	
h. Fax:	
i. E-mail Address:	
j. Alternative or Additional Contacts (Name, Title, Phone, Email):	

**Table 0-3.** *Contact Information for applicant's **Fiscal Agent** (organization treasurer or person who will prepare financial reports of grant expenditures)*

a. Fiscal Agent:	
b. Title:	
c. Street Address:	
d. City:	
e. State:	
f. Zip Code:	
g. Phone:	
h. Fax:	
i. E-mail Address:	
j. Alternative or Additional Contacts (Name, Title, Phone, Email):	

## Section 2. Applicant Certifications

### Certification Questions

1. Does the applicant and/or company have any outstanding financial liabilities with state or local governments in Ohio? Does the applicant and/or company owe: a.) Any delinquent taxes to the State of Ohio (the "State"), a state agency or a political subdivision of the State such as a city or county? b.) Any monies to the State or a state agency for the administration or enforcement of the environmental laws of the State? c.) Any other monies to the State, a state agency or a political subdivision of the State that are past due? d.) Is the company the subject of any existing tax lien?  
 Yes                       No
2. Have the applicant, related companies, or any officers: a.) been convicted of a felony b.) Been convicted of or enjoined from any violation of state or federal securities law? c.) been a party to any consent order or entry with respect to an alleged state or federal securities law violation? d.) been a defendant in a civil or criminal action?  
 Yes                       No

**If you have answered yes to any of the above, please provide a detailed explanation including, but not limited to the location, amounts, and case identification numbers (if applicable) on a separate sheet.**

3. Public-Private Partnerships (PPP) must have a legal, written agreement in place between the public agency and the private or non-profit entity before a CMAQ-funded project may be implemented. These agreements should be developed under relevant State contract law and should specify the intended use for CMAQ funding; the roles and responsibilities of the participating entities; and how the disposition of land, facilities, and equipment will be carried out should the original terms of the agreement be altered (e.g., due to insolvency, change in ownership, or other changes in the structure of the Public Private Partnerships). I am a PPP and have attached the required documentation to this application.  
 Yes                       No

### Certification Statement

*Instructions: Please have the Authorizing Agent read the Statement of Certification below, **check every applicable box**, and sign the certification statement in Table 2-1, row a. Submit one paper copy of this application with an original signature in Table 2-1, row a (and an original signature in Table 2-2, row a if the applications is being submitted by a Public Private Partnership), and two paper copies of the signed application.*

I certify that to the best of my knowledge the information contained in this application and in the supplemental material is correct and complete. I certify that the funding

requested satisfies the eligibility requirements for this Program as represented in the Request for Proposals and related materials. I certify that I understand that the funding under this Program is subject to restrictions and other conditions listed in the Program Request for Proposals, including (inter alia):

- The applicant will use the funding under this Program for the specific purposes defined in the Program Request for Proposals.
- The applicant certifies that the vehicles and equipment to be purchased, repowered, or retrofitted with pollution control or anti-idle equipment under this Program conform to the Program requirements defined in the Program Description.
- The applicant will maintain the pollution control equipment for a minimum period of five years from the date of installation. As needed, the applicant will avail itself of the warranty in order to ensure that the equipment funded under this Program remains in good working order for at least five years following installation.
- The applicant will not use funding under this Program to purchase hardware or services for which the applicant has received, or will receive, payment from another source or under another program.
- The applicant will submit a closing activity and fiscal report to Ohio EPA or the Ohio Department of Transportation upon completion of the project, and an interim progress report every six months for the duration of the project if required by the terms of the grant contract.
- The applicant will provide the Ohio EPA and Ohio Department of Transportation access to vehicles and equipment being funded by this Program, facilities where the vehicles and equipment are located, and documentation related to funding received from this Program, based on reasonable notice of a request for such access.
- The applicant will use only fuel that is compatible with the equipment purchased or installed with funding from the Program, per the manufacturer's specifications.
- The applicant has received approval from the organization's governing body, to apply and make use of the funding under this program.
- The applicant will follow applicable state and federal guidelines to competitively procure the products and services funded under this project.
- At the time of fund disbursement, the applicant will have in place an emission reduction program, such as an anti-idling program, to reduce air pollution emissions.
- Where applicable under ORC 3517.13(I) or ORC 3517.13(J), the applicant's Authorizing Agent or spouse has not made, within the two previous years, one or more contributions totaling in excess of \$1,000 to the Governor or his campaign committees.
- Where applicable, the applicant is in compliance with the Federal Drug-Free Workplace Act of 1988 (41 USC Section 701, et seq.); state ethics laws and conflict of

interest laws; and state regulations covering non-discrimination in hiring and affirmative action (ORC 125.111).

I authorize Ohio EPA to make any necessary inquiries to verify the information that I have presented. I acknowledge that the information in this application is not confidential and may be released as required by the Program.

As an authorized agent of the Applicant, I hereby submit this Application to the State of Ohio, Environmental Protection Agency. I understand that any false statement in this record may subject the Applicant and Signer to criminal prosecution. I understand that additional information may be requested. I also understand that this document in no way constitutes a commitment of funds by the State of Ohio for any of its programs.

I hereby represent and certify that the foregoing and attached information, to the best of my knowledge and belief, is true, complete and accurately describes the proposed activity/project for which the financial assistance is being sought. I am aware of Ohio Revised Code Sections 9.66(C) and 2921.13(D)(1) which outline penalties for falsification which could result in the return of all monies received and the forfeiture of all current and future financial assistance benefits as well as a fine of not more than \$1,000 and/or a term of imprisonment of not more than one hundred and eighty (180) days. I further agree to inform the Ohio Environmental Protection Agency of any changes in the foregoing information, which may occur prior to the time the Applicant, and the Ohio Environmental Protection Agency or Ohio Department of Transportation execute an Agreement. Further, I hereby authorize the Ohio Environmental Protection Agency to contact the Ohio Department of Transportation to confirm statements contained within this application and to review applicable confidential records.

The undersigned warrants, certifies and represents that certain information in their application may be subject to the Open Public Records Act.

**Table 2-3. Applicant Certification Signature**

a. Signature of Applicant Authorizing Agent:	
b. Date:	
c. Name ( <i>typed</i> ):	
d. Title or relationship to applicant organization:	
e. Contact Information ( <i>If different than the person identified in Table 1-1 of the Application</i> ):	

**Table 2-2. Co-Applicant Certification Signature** (Required if the applicant is a Public-Private Partnership)

a. Signature of Co-Applicant:	
b. Date:	
c. Name ( <i>typed</i> ):	
d. Title or relationship to applicant organization:	
e. Contact Information:	

### Section 3: Budget Estimate

<b>Funding</b>	
***Please include a detailed budget estimate	
Identify source for 20% match	_____
Expected date to enter into contract	_____
Total Project Cost	\$ _____
Less Core/Scrap Value	- \$ _____
Revised Total Project Funding Request	\$ _____
80% of Revised Project Cost	\$ _____
20% of Revised Project Cost	\$ _____
Funding Requested	\$ _____
***Attach an itemized vendor estimate for the proposed project. Note: the vendor's estimate does not constitute a commitment to award the project to this vendor. DERG projects will be awarded consistent with federal, state and local government competitive bidding procedures.	

### Section 4: Scope of Project

Select Project Type (check all that apply):

Vehicle/Equipment Replacement
  Equipment Repower
  Equipment Retrofit
  Anti-Idle Equipment

Attach required Scope of Project and descriptions as defined below to this application. Incomplete applications will not be scored.

## **Vehicle/Equipment Replacement**

The grant will cover a portion of the cost to replace vehicle/machinery with a new piece of vehicle/machinery, minus the scrappage value of the old vehicle/machinery. The vehicle/machinery to be replaced must be in working order, have at least five years of remaining useful life, and will be permanently removed from service when the new vehicle/machinery is received. The selected technology must be verified by either US EPA or CARB to reduce engine NOx and/or PM 2.5 diesel engine emissions.

Project agreements involving replacements of full vehicle should include a provision for disposal of the engine block through/by an OEM or authorized remanufacturer and a process to verify the retirement of this vehicle/machinery.

On-road transportation vehicles, non-road vehicles and construction vehicles/machinery working on a surface transportation construction project within an Ohio nonattainment or maintenance area will qualify under this project if the equipment is operated at least 65% of the time in nonattainment or maintenance areas.

Non-road vehicles or construction equipment must be working on a surface transportation construction project (Title 23) within an Ohio nonattainment or maintenance area to be eligible. Only those costs associated with components that produce emissions will be considered.

### **Scope of Project**

- Describe the size, location, and type of project and how it is consistent with FHWA CMAQ eligibility guidance. The emission reductions methodology must be defined, and the calculations and results shown below in the details section.
- The existing engine to be replaced must be in working order.
- List the percent (%) and duration (years) of equipment operation in the nonattainment and maintenance areas.
- If a commitment is being made by the public entity or end-user to use biodiesel or other alternative fuels in the diesel engine fleets, documentation of the percent of use must be attached to this application.

### **Detailed Description of Vehicle/Machinery Replacement**

- Describe the vehicle/machinery (VIN #) to be replaced and how and when it is used.
- Describe the vehicle/machinery to be acquired and how and when it will be used.
- Include quantitative analysis of mobile source emission reductions resulting from project implementation.
- Show the complete costs, emission reduction (both PM2.5 and NOx), emission reduction/\$ ratios, and all detailed calculations that support your application for these grant funds.
- **Attach any supplemental engineering data sheets, and any detailed support information to aid your application.**

## **Equipment Repower**

The grant will reimburse a portion of the cost to purchase and install a lower emissions engine and associated equipment, minus the scrappage value of the old engine. The new or repowered engine must be verified by either US EPA or CARB to reduce engine NOx and/or PM 2.5 diesel engine applications.

Project agreements involving a replacement of a higher emissions engine should include a provision for disposal of the engine block and a process to verify the retirement of the older engine.

On-road transportation vehicles, non-road vehicles and construction equipment working on a surface transportation construction project within an Ohio nonattainment or maintenance area will qualify under this project if it is operated at least 65% of the time in nonattainment or maintenance areas.

### **Scope of Project**

- Describe the size, location, and type of project and how it is consistent with FHWA CMAQ eligibility guidance. The emission reductions methodology must be defined, and the calculations and results shown below in the details section.
- The existing engine to be replaced must be in working order.
- List the percent (%) and duration (years) of equipment operation in the nonattainment and maintenance areas.
- If a commitment is being made by the public entity or end-user to use biodiesel or other alternative fuels in the diesel engine fleets, documentation of the percent of use must be attached to this application.

### **Detailed Description of Equipment Repower**

- Describe the equipment (VIN #) to be repowered and how and when it is and will be used.
- Include quantitative analysis of mobile source emission reductions resulting from project implementation.
- Show the complete costs, emission reductions (both PM2.5 and NOx), emission reductions/\$ ratios, and all detailed calculations that support your application for these grant funds.
- **Attach any supplemental engineering data sheets, and any detailed support information to aid your application.**

## **Equipment Retrofit**

The grant will reimburse a portion of the cost to purchase and install retrofit technologies.

On-road transportation vehicles, non-road vehicles and construction equipment working on a surface transportation construction project within an Ohio nonattainment or maintenance area will qualify under this project if it is operated at least 65% of the time in nonattainment or maintenance areas.

The selected technology must be verified by either US EPA or CARB to reduce engine NOx and/or PM 2.5 diesel engine applications.

### **Scope of Project**

- Describe the size, location, and type of project and how it is consistent with FHWA CMAQ eligibility guidance. The emission reductions methodology must be defined, and the calculations and results shown below.
- List the percent (%) and duration (years) of equipment operation in the nonattainment and maintenance areas.
- If a commitment is being made by the public entity or end-user to use biodiesel or other alternative fuels in the diesel engine fleets, documentation of the percent of use must be attached to this application.

### **Detailed Description of Equipment Retrofit**

- Describe the existing fleet or equipment and the retrofit technology to be used.
- Include quantitative analysis of mobile source emission reductions resulting from project implementation, using USEPA's Diesel Emission Quantifier (DEQ) tool at <http://www.epa.gov/cleandiesel/quantifier> . In using this tool, be sure to set the parameters to include an estimate of the total cost effectiveness of the project..
- Show the complete costs, emission reductions (both PM2.5 and NOx), emission reductions/\$ ratios, and all detailed calculations that support your application for these grant funds.
- **Attach any supplemental engineering data sheets, and any detailed support information to aid your application.**

## **Anti-Idle Equipment**

The grant will reimburse a portion of the cost to purchase and install anti-idle technologies. If applicable, the documentation of legal contract compliance must be supplied with this application.

On-road transportation vehicles, non-road vehicles and construction equipment working on a surface transportation construction project within an Ohio nonattainment or maintenance area will qualify under this project if it is operated at least 65% of the time in nonattainment or maintenance areas. Unverified technologies that have provided demonstrated emission reductions may be eligible under this RFP upon approval by FHWA as submitted by ODOT.

Applicants must submit information that supports the emission reductions benefits of unverified technologies.

### **Scope of Project**

- Describe the size, location, and type of project and how it is consistent with FHWA CMAQ program eligibility guidance. The emission reductions methodology must be defined, and the calculations and results shown below.
- List the percent (%) and duration (years) of equipment operation in the nonattainment and maintenance areas.
- If a commitment is being made by the public entity or end-user to use biodiesel or other alternative fuels in the diesel engine fleets, documentation of that commitment must be attached to this application.

### **Detailed Description of Anti-Idle Equipment**

- Describe and list the equipment with the anti-idle technology to be used. Include quantitative analysis of mobile source emission reductions resulting from project implementation.
- Show the complete costs, emission reductions (both PM2.5 and NOx), emission reduction/\$ ratios, and all detailed calculations that support your application for these grant funds.
- **Attach any supplemental engineering data sheets, and any detailed support information to aid your application.**

## Section 5. Application Checklist

*Please check all applicable components that are included in your application. Incomplete applications will not be scored.*

### Applicant Information

- \_\_\_\_\_ Appendix A: Application Form – one with original signature(s) and two copies
- \_\_\_\_\_ Detailed Budget Estimate
- \_\_\_\_\_ Detailed explanation to Appendix A's Questions 1 and/or 2 (if applicable)
- \_\_\_\_\_ Scope of Project with description of size, location, and type of project. Explain how it is consistent with FHWA CMAQ eligibility guidance regarding emission reductions methodology
- \_\_\_\_\_ Ohio Shared Services Vendor Information Form – completed with original signature
- \_\_\_\_\_ IRS Form W-9 completed with original signature
- \_\_\_\_\_ Public-Private Partnership Agreement (if applicable) – if not yet signed, a signed and executed copy must be provided within 30 days of application submittal

### Technical Information

- \_\_\_\_\_ Detailed description and list of vehicles and/or equipment as requested in Section 5 of the RFP for the type of project being proposed.
  - \_\_\_\_\_ Percent of time that each grant-funded vehicle or piece of equipment is expected to operate in the CMAQ-eligible non-attainment areas of Ohio.
- Report containing the information requested in Section 6, items a and b of the RFP, including:
- \_\_\_\_\_ Projected emission reductions of particulate matter and/or oxides of nitrogen, reported in kg/day from USEPA's Diesel Emissions Quantifier tool;
  - \_\_\_\_\_ Cost effectiveness of the emission reductions, from USEPA's Diesel Emissions Quantifier tool; and
  - \_\_\_\_\_ All calculations and supporting documentation included

Appendix B: DERG Eligibility Chart by Vehicle Type

DERG Eligibility						
Vehicle Type	Replacement		Repower	Retrofit	Anti-Idle <sup>3</sup>	
	Full	Partial				
<b>Public On-Road Vehicles</b>						
School bus	X		X	X	X	
Refuse truck	X		X	X	X	
Government fleet (general services)		X	X	X	X	
Government fleet (roadway maintenance)	X <sup>2</sup>		X	X	X	
Mass transit vehicle	X		X	X	X	
<b>Private On-Road Vehicles</b>						
Short haul truck		X	X	X	X	
Shuttle		X	X	X	X	
Bus		X	X	X	X	
<b>Public Off-Road Vehicles</b>						
Tractor	X		X	X	X	
Earthmover	X		X	X	X	
<b>Private Off-Road Vehicles</b>						
Title 23 construction equipment		X	X	X	X	
<b>Private Alternative Fuel Vehicle (AFV)</b>						
Short haul truck		X <sup>1</sup>	X	X	X	
Shuttle		X <sup>1</sup>	X	X	X	
Bus		X <sup>1</sup>	X	X	X	
<b>Freight</b>						
Locomotive		X	X	X	X	
Maritime <sup>4</sup>		X	X	X	X	

<sup>1</sup> Only 80% of the cost difference between the AFV and comparable conventional fuel vehicle is eligible. Source: CMAQ Program Guidance, pg17

<sup>2</sup> In addition to vehicles used for roadway maintenance, other vehicles that provide a dominant transportation function are eligible for full replacement; this includes paratransit, freeway courtesy vans/towtrucks, incident management patrol vehicles, and others. Source: FHWA Memo, Federal Cost Principles, April 2011.

<sup>3</sup> Anti-idle projects technologies include: direct-fired heaters, auxiliary power units (APUs), or automatic engine idle systems.

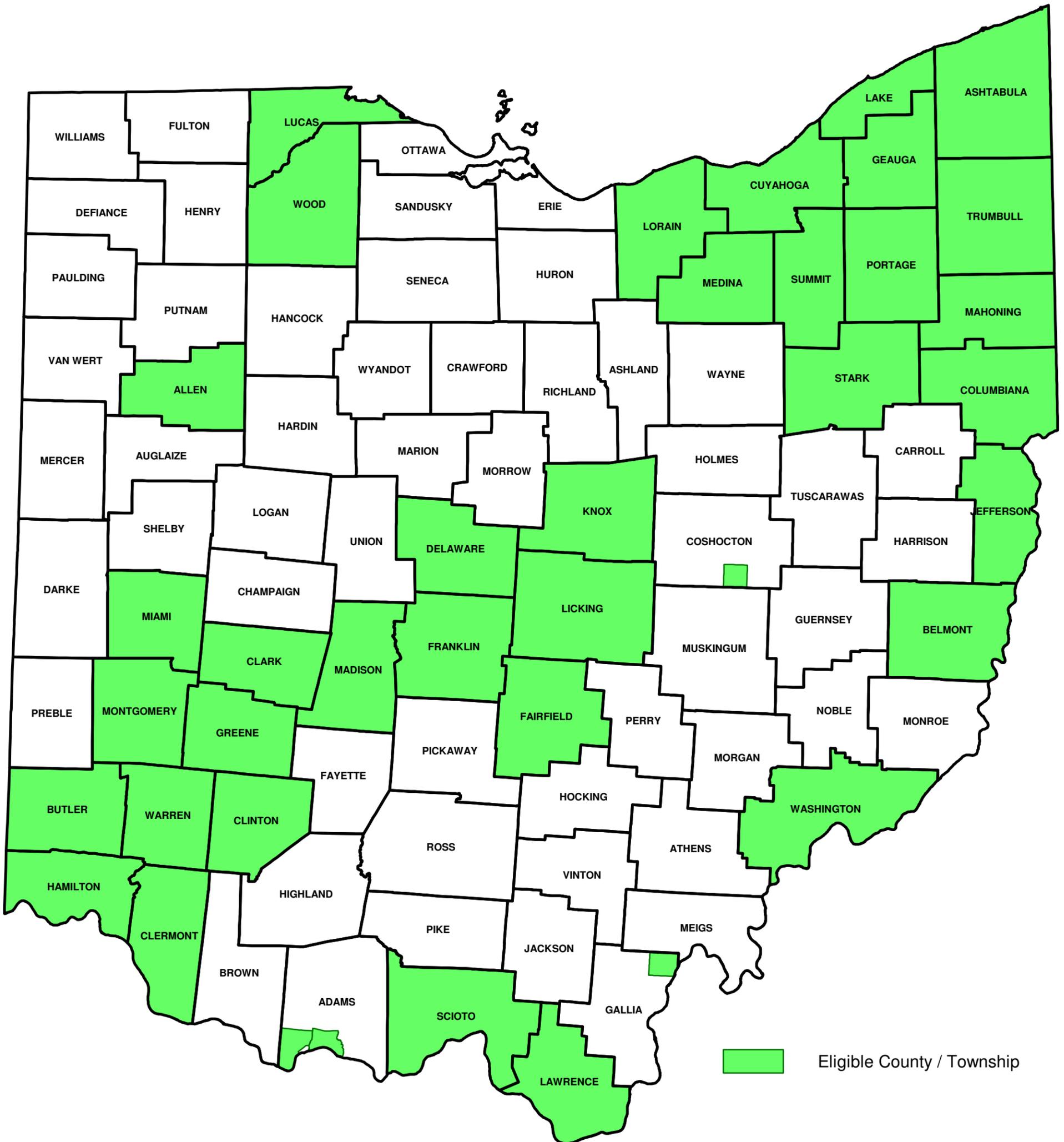
<sup>4</sup> Maritime projects must demonstrate the emission reductions will be in proximity to and primarily benefiting, a nonattainment or maintenance area.

**Full replacement**-FHWA will participate in 80% of the full vehicle replacement costs

**Partial replacement**-FHWA will participate in 80% of the costs associated with the components of the replacement vehicle that reduce emissions, this typically includes the engine and engine management software

Appendix C: Map of CMAQ-Eligible Counties and  
Townships in Ohio

# CMAQ Program Eligible Counties & Townships



Appendix D: Sample Public-Private Partnership  
Agreement

## **Public-Private Partnership Agreement Sample Template**

This Public – Private Partnership Agreement (the “Agreement”), made effective as of \_\_\_\_\_, 2012, by and between the [Name of public entity], (“\_\_\_\_\_”), and \_\_\_\_\_ (“Company”), with principal offices at \_\_\_\_\_.

### **Background**

A. The Ohio Environmental Protection Agency (“Ohio EPA”) administers a Diesel Emissions Reduction Grant program (“DERG”) pursuant to Section 122.861 of the Ohio Revised Code. The DERG Program provides grant funding to replace or upgrade diesel equipment through a variety of technologies which are installed on equipment to reduce the consumption of diesel fuel and reduce air pollution emissions. The DERG Program requires that any private company applying for DERG funding enter into an appropriate Public – Private Partnership Agreement.

B. Company desires to work with \_\_\_\_\_ as the public sponsor of a proposed DERG project, and \_\_\_\_\_ is willing to participate in the DERG Program as the Public Sponsor for Company for the proposed project further described in this Agreement (the “DERG Project”).

**NOW, THEREFORE**, in consideration of the foregoing and the mutual promises and the covenants and agreements set forth below, the parties agree as follows:

### **1. DERG Program Requirements**

1.1 Company shall abide by all applicable rules, regulations, and requirements of the DERG Program. Failure of Company to do so shall result in the termination of this Agreement, at which time Company shall immediately repay to [public sponsor] and/or Ohio EPA all grant funds Company received in connection with the DERG Program, together with any interest or penalties that may be assessed as a result of Company’s failure to comply with applicable requirements. Notwithstanding the foregoing, if and to the extent repayment of grant funds is affirmatively waived by Ohio EPA, the Ohio Department of Transportation, and the Federal Highway Administration (FHWA), Company shall not be required to repay amounts covered by such a waiver.

1.2 Without limiting the generality of the foregoing, Company shall abide by all federal requirements pertaining to 23 USC Section 149(e) under the Congestion Mitigation and Air Quality (CMAQ) Improvement Program and all related CMAQ Program rules and regulations.

At the request of [public sponsor] or Ohio EPA, Company shall certify in writing to Ohio EPA that Company has complied in all aspects with the CMAQ Program requirements as they relate to the DERG Project; such certification shall be signed by an officer of Company.

## **2. DERG Project**

Company intends to apply for a grant from the DERG Program to support the following DERG Project: [insert project description].

## **3. Roles and Responsibilities of Public Sponsor**

3.1 [Public sponsor] shall coordinate with Ohio EPA and Company as required to facilitate administration of any grants Ohio EPA may award to Company through the DERG Program. This coordination may include, but not be limited to, any of the following tasks and duties as required:

- (a) Acting as project sponsor for Company;
- (b) Acting as a pass-through agent (at the discretion of Ohio EPA) to provide DERG funds to Company;
- (c) Monitoring compliance with DERG Program and CMAQ Program rules, including, but not limited to, procurement in accordance with federal requirements and performance by the Company of ongoing obligations to maintain equipment purchased or improved with DERG funds in active use in the location specified by the DERG grant agreement; and
- (d) Assisting Ohio EPA in various other administrative tasks which may be required by the DERG Program.

## **4. Roles and Responsibilities of Company**

4.1 Company shall coordinate with Public Sponsor as necessary and useful to ensure compliance with requirements of the DERG Program and CMAQ Program. Such coordination may include, but is not limited to, any of the following tasks:

- (a) Complying with any and all requirements of the DERG Program and CMAQ Program;
- (b) Owning and maintaining any equipment purchased with DERG funding;
- (c) Providing Ohio EPA and [public sponsor] with such information and certifications about the operations, performance, and location of equipment purchased or improved with DERG funding as may be requested from time to time; and
- (d) Providing the matching share of funding as required by the DERG Program.

## **5. Termination**

The terms and conditions of this Agreement shall remain in force and effect until the terms and conditions of any DERG Program grant funding received by Company, including, but not limited to, ongoing compliance obligations under the CMAQ Program rules, expire.

**6. Miscellaneous**

6.1 Assignment. Neither this Agreement, nor any rights, duties nor obligations described in this Agreement, shall be assigned or subcontracted by Company without the prior written consent of [public sponsor], Ohio EPA, and FHWA, which shall not be unreasonably withheld. In the event that [public sponsor], Ohio EPA, and FHWA approve an assignment, each and all of the terms and conditions of this Agreement shall extend to the benefit of the successors and assigns of Company.

6.2 Governing Law. This Agreement shall be governed by the laws of the State of Ohio as to all matters, including but not limited to matters of validity, construction, effect and performance.

6.3 Forum and Venue. All actions regarding this Agreement shall be forumed and venued in a court of competent subject matter jurisdiction in Franklin County, Ohio.

6.4 Entire Agreement. This Agreement and any documents referred to herein constitute the complete understanding of the parties and merge and supersede any and all other discussions, agreements and understandings, either oral or written, between the parties with respect to the subject matter hereof.

6.5 Severability. Whenever possible, each provision of this Agreement shall be interpreted in such a manner as to be effective and valid under applicable law, but if any provision of this Agreement is held to be prohibited by or invalid under applicable law, such provision shall be ineffective only to the extent of such prohibition or invalidity, without invalidating the remainder of such provisions of this Agreement.

**IN WITNESS WHEREOF**, the parties have caused this Agreement to be executed by their authorized representatives effective as of the date first above written.

**COMPANY:**

**[Public Sponsor]:**

BY: \_\_\_\_\_

BY: \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

TITLE: \_\_\_\_\_

DATE: \_\_\_\_\_

DATE: \_\_\_\_\_

## Appendix E: Required Forms

- Ohio Shared Services Vendor Information Form  
*(to be filled out by applicant, not equipment vendor)*
  - IRS Form W-9



# VENDOR INFORMATION FORM

**All parts of the form must be completed by the vendor. Incomplete forms will be returned. The information must be legible. Ensure this is the latest version of the form at [www.ohiosharedservices.ohio.gov](http://www.ohiosharedservices.ohio.gov).**

**SECTION 1 – PLEASE SPECIFY TYPE OF ACTION**

- NEW **(W-9 OR W-8ECI FORM ATTACHED)**     CHANGE OF CONTACT PERSON/INFORMATON
- ADDITIONAL ADDRESS – (**A COPY OF AN INVOICE OR A LETTER INCLUDING THE ADDRESS IS REQUIRED**)
- CHANGE OF ADDRESS – (**PLEASE PROVIDE OLD ADDRESS BELOW OR ATTACH LETTER**)
- ADDRESS TO BE REPLACED:
- CHANGE OF TIN **(W-9 & LETTER OF CLARIFICATION OF CHANGE, WHICH INCLUDES NEW & OLD TIN IS REQUIRED)**
- CHANGE OF NAME **(W-9 & LETTER OF CLARIFICATION OF CHANGE, MUST INCLUDES NEW & OLD NAME IS REQUIRED)**
- CHANGE OF PAY TERMS     CHANGE OF PO DISPATCH METHOD     OTHER\_\_\_\_\_

**SECTION 2 – PLEASE PROVIDE VENDOR INFORMATION**

LEGAL BUSINESS OR INDIVIDUAL NAME: (MUST MATCH W-9 OR W-8ECI FORM)

---

BUSINESS NAME, TRADE NAME, DOING BUSINESS AS: (IF DIFFERENT THAN ABOVE)

---

FEDERAL EMPLOYER ID (EIN) OR SOCIAL SECURITY NUMBER (SSN):

--	--	--	--	--	--	--	--	--	--

**SECTION 3 – PLEASE PROVIDE COMPLETE ADDRESS**

ADDRESS:	COUNTY:
CITY:	STATE:      ZIP CODE:

**SECTION 4 – ADDITIONAL ADDRESS (IF MORE THAN 2 ADDRESSES, PLEASE INCLUDE A SEPARATE SHEET)**

ADDRESS:	COUNTY:
CITY:	STATE:      ZIP CODE:

**SECTION 5 – CONTACT INFORMATION & PERSON TO RECEIVE PURCHASE ORDER**

NAME:

WEBSITE:

PHONE: FAX: EMAIL:

PREFERRED METHOD OF BEING CONTACTED: (CHECK ONE)  PHONE  EMAIL

**SECTION 6 – INDIVIDUAL TO RECEIVE EMAIL NOTICE OF BID EVENTS - A USER ID & PASSWORD WILL BE SENT TO THE EMAIL ADDRESS BELOW**

NAME:

EMAIL: PHONE:

TO ADD AN ADDITIONAL OR REPLACE A STRATEGIC SOURCING CONTACT PERSON  
 ADDITIONAL CONTACT PERSON  REPLACE CONTACT PERSON (WILL BE MARKED INACTIVE)

NAME:

EMAIL: PHONE:

**SECTION 7 – PAYMENT TERMS (PLEASE CHECK ONE – IF NONE IS SELECTED THEN NET 30 WILL APPLY)**

2/10 NET 30  NET 30  NET 45  NET 60  NET 90

**SECTION 8 – PURCHASE ORDER DISTRIBUTION – OTHER THAN USPS MAIL**

EMAIL OR FAX:

**SECTION 9 – PLEASE SIGN & DATE**

PRINT NAME:

SIGNATURE: (DIGITAL SIGNATURES NOT ACCEPTED AT THIS TIME) DATE:

**SECTION 10 – STATE OF OHIO AGENCY CONTACT PERSON (AGENCY RECEIVING PAYMENTS FROM)**

AGENCY CONTACT NAME/EMAIL/PHONE:

COMMENTS:

**Note: This document contains sensitive information. Sending via non-secure channels, including e-mail and fax can be a potential security risk.**

<p><b>SUBMIT FORM TO:</b></p> <p><b>Mail:</b> Ohio Shared Services Attn: Vendor Maintenance P.O. Box 182880 Cols., OH 43218-2880</p> <p><b>Email:</b> <a href="mailto:vendor@ohio.gov">vendor@ohio.gov</a></p> <p><b>Fax:</b> 1 (614) 485-1052</p>	<p><b>QUESTIONS? PLEASE CONTACT:</b></p> <p><b>Phone:</b> 1 (877) OHIO - SS1 (1-877-644-6771) 1 (614) 338-4781</p> <p><b>Website:</b> <a href="http://www.ohiosharedservices.ohio.gov/">www.ohiosharedservices.ohio.gov/</a></p> <p><b>Email:</b> <a href="mailto:vendor@ohio.gov">vendor@ohio.gov</a></p>
--	--

## Request for Taxpayer Identification Number and Certification

**Give Form to the  
 requester. Do not  
 send to the IRS.**

<b>Print or type See Specific Instructions on page 2.</b>	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate  <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____  <input type="checkbox"/> Other (see instructions) ▶ _____	
	<input type="checkbox"/> Exempt payee	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code		
List account number(s) here (optional)		

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number									

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

#### Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,
- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a “saving clause.” Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

#### **Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

### **Updating Your Information**

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

### **Penalties**

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

### **Specific Instructions**

#### **Name**

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name/disregarded entity name” line.

**Partnership, C Corporation, or S Corporation.** Enter the entity's name on the “Name” line and any business, trade, or “doing business as (DBA) name” on the “Business name/disregarded entity name” line.

**Disregarded entity.** Enter the owner's name on the “Name” line. The name of the entity entered on the “Name” line should never be a disregarded entity. The name on the “Name” line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner's name is required to be provided on the “Name” line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the “Business name/disregarded entity name” line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

**Note.** Check the appropriate box for the federal tax classification of the person whose name is entered on the “Name” line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

**Limited Liability Company (LLC).** If the person identified on the “Name” line is an LLC, check the “Limited liability company” box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter “P” for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter “C” for C corporation or “S” for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the “Name” line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the “Name” line.

**Other entities.** Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

## Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
  2. The United States or any of its agencies or instrumentalities,
  3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
  4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
  5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
  7. A foreign central bank of issue,
  8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
  9. A futures commission merchant registered with the Commodity Futures Trading Commission,
  10. A real estate investment trust,
  11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
  12. A common trust fund operated by a bank under section 584(a),
  13. A financial institution,
  14. A middleman known in the investment community as a nominee or custodian, or
  15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 7 <sup>2</sup>

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [IRS.gov](http://IRS.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

**Signature requirements.** Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

**What Name and Number To Give the Requester**

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup> The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

\*Note. Grantor also must provide a Form W-9 to trustee of trust.

**Note.** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

**Secure Your Tax Records from Identity Theft**

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.**

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 1-877-IDTHEFT (1-877-438-4338).

Visit [IRS.gov](http://IRS.gov) to learn more about identity theft and how to reduce your risk.

**Privacy Act Notice**

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

## Appendix F: Additional Guidance for Applicants



## OHIO DIESEL EMISSIONS REDUCTION GRANT PROGRAM Additional Guidance for Applicants

*The following questions and answers are offered as general guidance to assist prospective grant applicants. All grant awards must comply with the federal CMAQ program requirements, so applicants should carefully follow the federal CMAQ policy and guidance posted at [http://www.fhwa.dot.gov/environment/air\\_quality/cmaq/policy\\_and\\_guidance/cmaq08gd.pdf](http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/cmaq08gd.pdf)*

*Ohio EPA also **strongly** encourages applicants to follow the guidance issued by US EPA for the federal Diesel Emissions Reduction Program (DERA): Technologies, Fleets and Projects Information, posted at <http://www.epa.gov/cleandiesel/documents/420p11001.pdf>. This guidance lays out the kinds of things Ohio EPA will be looking for in various types of diesel projects, and the specific kinds of documentation that DERG grant recipients will be expected to provide and maintain.*

*Another very helpful tool is US EPA's Tips for a Successful Diesel Retrofit Project posted at <http://www.epa.gov/cleandiesel/tools/tips-for-success.htm#project>.*

*For more detailed information on the cost-effectiveness of various diesel retrofit technologies, see US EPA's study, "The Cost-Effectiveness of Heavy-Duty Diesel Retrofits and Other Mobile Source Emission Reduction Projects and Programs" posted at: <http://www.epa.gov/cleandiesel/publications.htm>*

### **Introduction – Why Clean Diesel?**

According to US EPA, emissions from diesel exhaust can lead to serious health conditions like asthma and allergies, and can worsen heart and lung disease, especially in vulnerable populations such as children and the elderly. Diesel engines emit particulate matter (soot), nitrogen oxides which contribute to the production of ground-level ozone (smog) and acid rain; hydrocarbons; air toxics; and black carbon. These emissions can damage plants, animals, crops and water resources. For more information on the impacts of diesel emissions, see US EPA's National Clean Diesel Campaign Website at <http://www.epa.gov/cleandiesel/basicinfo.htm>. For additional information about recent research into health effects, consult US EPA's Health Assessment Document for Diesel Engine Exhaust, at <http://cfpub.epa.gov/ncea/cfm/recordisplay.cfm?deid=29060>

Ohio's state budget for state fiscal years 2012 and 2013 includes the allocation of \$20 million to fund the Diesel Emission Reduction Grant (DERG) program, offering \$10 million in funding for each round. Grants will be supported from the Federal Highway Administration's Congestion Mitigation and Air Quality (CMAQ) funding provided to the Ohio Dept. of Transportation (ODOT) and administered through a partnership between ODOT and Ohio EPA.

**The primary goal of the DERG grant program is to reduce harmful emissions from older diesel-powered vehicles operating on or along highways, or off-road construction equipment used in federally-funded Title 23 highway projects, to protect human health and improve air quality in the targeted Ohio counties and townships.** The DERG program is designed to assist in funding vehicle or engine replacements or repowers with new cleaner diesel technology, retrofits with emission controls, and/or the installation of anti-idling technologies.

### **What areas of Ohio are eligible for funding?**

Eligible applicants for the DERG program include public diesel fleets and private diesel fleets (with a public sponsor) who operate diesel vehicles and equipment **at least 65% of the time** on highways or on highway projects within the 38 Ohio counties or portions of counties that have been designated non-attainment or maintenance with respect to federal air quality standards for fine particulates (soot particles, PM<sub>2.5</sub>) or ozone. A map of eligible counties and townships is included in the DERG RFP and posted at <http://www.epa.ohio.gov/portals/42/documents/dergeligible2011.pdf>

Grant recipients will be required to provide written records documenting that the vehicle or equipment was operated at least 65% of the time in the designated ozone or PM<sub>2.5</sub> nonattainment or maintenance areas in Ohio. Written records must be maintained with the owner/operator of the approved project for a minimum 5 years.

### **Is there a match required?**

Yes. In general, these grants will **reimburse** up to 80% of the allowable project costs, and only for allowable equipment purchases or work conducted **after** the project has been approved and invoices for work completed have been submitted by the grant recipient and approved by Ohio EPA or ODOT. No federal funds of any kind can be used to meet the remaining 20% of the project cost. Grant applicants must explain the funding source that will be used to meet the 20% match, and demonstrate that they can cover the full cost of the project prior to approval of the reimbursement.

### **What kinds of diesel fleets are eligible for funding?**

The DERG eligibility chart included in the RFP and posted at <http://www.epa.ohio.gov/LinkClick.aspx?fileticket=Aaqc9CNtcTQ%3d&tabid=5227> summarizes grant funding eligibility actions for on-road and off-road vehicles operated by public sector and private sector (or non-profit) entities. Private sector and nonprofit sector applicants must apply through a public sector partner such as a local

government, regional council of governments, or state agency such as the Ohio Air Quality Development Authority, Ohio Rail Development Commission, or Ohio EPA.

### **What should be included when applying for replacement vehicles?**

Vehicle or equipment replacements are designed to obtain emission reductions by removing high-emitting vehicles or equipment from service, and replacing them with newer, cleaner vehicles or equipment.

For replacement vehicle projects, the project description section of the DERG application should discuss the specific points in section 6 of US EPA's *Diesel Emissions Reduction Program (DERA): Technologies, Fleets and Project Information* document, posted at <http://www.epa.gov/cleandiesel/documents/420p11001.pdf> including:

- Early replacement: showing that the vehicle is not being replaced as part of normal fleet turnover
- Replacement requirements: show that the replacement vehicle is serving the same function and has the same gross vehicle weight and similar horsepower as the original, and is being maintained in accordance with manufacturer specifications
- Show that the original vehicle or equipment is working properly and performing its intended function in normal duty service
- Explain how the applicant will ensure that the original vehicle or equipment is scrapped or remanufactured
- Grant recipients should have US EPA certificates of conformity for existing and new engines from the engine manufacturers before replacing the vehicle, to confirm the applicable emission standard or tier level.

Grant recipients funded under the DERG program will be expected to keep on file the kinds of documentation described in the file checklists in section 6 of the DERA information, and to produce this documentation upon request.

Applicants should pay careful attention to the different types of vehicles eligible for replacement in the DERG eligibility chart included in the RFP and posted at <http://www.epa.ohio.gov/LinkClick.aspx?fileticket=Aagc9CNtcTQ%3d&tabid=5227> . In the DERG program, “full replacement” means that DERG funds can be used to reimburse 80% of the full vehicle replacement costs. “Partial replacement” means that DERG funds can only be used to reimburse 80% of the costs associated with the components of the replacement vehicle that reduce emissions. This typically includes the engine and engine management software.

Under the DERG program, grant recipients for replacement projects will be reimbursed up to 80% of the total project cost subject to CMAQ restrictions, less the core value or scrap value and other governmental financial purchase contributions.

The Federal Transit Administration has published guidance on the Useful Life of Transit Buses and Vans, Report No. FTA VA-26-7229-07.1, posted at <http://www.fta.dot.gov/documents/Useful Life of Buses Final Report 4-26-07 rv1.pdf>

## **What should be included when applying for engine repowers and upgrades?**

In an engine repower, the existing engine is removed and replaced with a newer, cleaner engine configuration that meets a more stringent set of engine emissions standards. Engine repowers may use new engine configurations certified to emission standards, or remanufactured engines representative of a previously certified engine configuration. Engine Certification data and information can be found at <http://www.epa.gov/otaq/certdata.htm> .

Generally, an engine upgrade involves the removal of parts on a certified engine configuration and replacement with parts that cause the engine to represent an engine configuration which is certified to meet more stringent federal emission standards.

Only equipment that has been verified by either US EPA or the California Air Resources Board will be eligible for reimbursement with DERG funds. US EPA's Verified Technology List is posted <http://epa.gov/cleandiesel/verification/verif-list.htm>. The California Air Resources Board Verified Technology List is posted at <http://www.arb.ca.gov/diesel/cv.htm>

For engine repower or upgrade projects, the project description section of the DERG application should discuss the specific points in sections 5 and 7 of US EPA's *Diesel Emissions Reduction Program (DERA): Technologies, Fleets and Project Information*, posted at <http://www.epa.gov/cleandiesel/documents/420p11001.pdf> including:

- Replacement engine selection
- Pre- and post-emission standard levels for PM and NOx
- Certificates of Conformity
- How the applicant will ensure the old engine is scrapped or appropriately remanufactured
- How the applicant will insure that invoices will include all parts of the certified engine configuration
- Early repower: showing that the engine is not being repowered as part of normal fleet turnover
- Show that the original engine is working properly and performing its intended function in normal duty service
- To be considered cost effective, show that the engine has a high annual use (>1000 hours or 50,000 miles)
- Note the considerations listed in the DERA information for older trucks, non-road repowers, locomotive and marine repowers and upgrades, and alternative fuel repowers including hybrid, plug-in and electric vehicles.

Grant recipients funded under the DERG program will be expected to keep on file the kinds of documentation described in the file checklists in sections 5 and 7 of the DERA information, and to produce this documentation upon request.

Under the DERG program, grant recipients will be reimbursed up to 80% of the equipment invoiced cost, less the core value or scrap value, and up to 80% of the installation invoiced cost performed by an authorized outside vendor. A vendor authorized by the Original Equipment Manufacturer (OEM ) should be used for engine repowers. Work performed by a vendor or other party not authorized by the OEM is not eligible for reimbursement under CMAQ or the DERG program.

Note that locomotive and maritime projects will be considered based on their potential to reduce emissions along Ohio's highways.

### **What should be included when applying for retrofit projects?**

Eligible retrofit projects include exhaust emission controls and crankcase emission controls.

Exhaust emission controls (often called aftertreatment technologies or aftermarket technologies) include pollution control devices installed in the exhaust system. Common types of exhaust controls include diesel oxidation catalysts (DOCs), diesel particulate filters (DPFs), partial flow filters (PFFs) and selective catalytic reduction (SCR) systems.

Crankcase emission controls are technologies that filter gasses, particles and oil from the original crankcase vent tube so they are not released into the atmosphere.

Only retrofit equipment that has been verified by either US EPA or the California Air Resources Board will be eligible for reimbursement with DERG funds. US EPA's Verified Technology List is posted <http://epa.gov/cleandiesel/verification/verified-list.htm>. The California Air Resources Board Verified Technology List is posted at <http://www.arb.ca.gov/diesel/cv.htm>

For engine retrofit projects, the project description section of the DERG application should discuss the specific points in sections 2 and 3 of US EPA's *Diesel Emissions Reduction Program (DERA): Technologies, Fleets and Project Information*, posted at <http://www.epa.gov/cleandiesel/documents/420p11001.pdf> including:

- Ensuring the technology is verified for the specific engine type, model and year
- Ensuring that contract bid requests are written correctly to that an appropriate technology is purchased and installed,
- Ensuring that the retrofitted equipment will be properly maintained in accordance with manufacturer requirements
- Ensuring that the original vehicle is in proper condition prior to installation

Grant recipients funded under the DERG program will be expected to keep on file the kinds of documentation described in the file checklists in sections 2 and 3 of the DERA information, and to produce this documentation upon request.

Under the DERG program, grant recipients will be reimbursed up to 80% of the retrofit equipment invoiced purchase cost including delivery charges, and up to 80% of invoiced installation cost if performed by an authorized outside vendor. This may include re-engineering costs by an authorized outside vendor, if the vehicle or equipment must be modified for retrofit, less any scrap or resale value. Applicants with retrofit projects that may include re-engineering costs are encouraged to discuss the specifics with Ohio EPA before applying. A vendor authorized by the Original Equipment Manufacturer (OEM) should be used for retrofit projects. Work performed by a vendor or other party not authorized by the OEM is not eligible for reimbursement under CMAQ or the DERG program.

### **What should be included when applying for anti-idle projects?**

Idle reduction technologies reduce unnecessary idling of the main drive engine of diesel vehicles or equipment and/or are designed to provide services (such as heat, air conditioning, and/or electricity) to vehicles and equipment that would otherwise require the operation of the main drive engine while the vehicle is temporarily parked or remains stationary. Common types of idle reduction technologies that would be eligible under the DERG program include:

- Auxiliary Power Units (APUs) and Generator Sets
- Fuel Operated Heaters
- Shore connection systems and alternative maritime power
- Shore connection systems for Locomotives
- Electrified parking spaces

Only anti idle technologies that have been verified by US EPA will be eligible for reimbursement with DERG funds. US EPA's Verified Idle Reduction Technology List is posted at <http://www.epa.gov/smartway/technology/idling.htm>

For anti-idle projects, the project description section of the DERG application should discuss the specific points in section 4 of US EPA's *Diesel Emissions Reduction Program (DERA): Technologies, Fleets and Project Information*, posted at <http://www.epa.gov/cleandiesel/documents/420p11001.pdf> including:

- Ensuring the technology is verified for the specific application
- APU restrictions
- Ensuring that contract bid requests are written correctly so that an appropriate technology is purchased and installed

Grant recipients funded under the DERG program will be expected to keep on file the kinds of documentation described in the file checklists in section 4 of the DERA information, and to produce this documentation upon request.

Under the DERG program, grant recipients will be reimbursed up to 80% of the idle reduction equipment invoiced purchase cost including delivery charges, and up to 80% of invoiced installation cost if performed by an authorized outside vendor. This may include re-engineering costs by an authorized outside vendor, if the vehicle or

equipment must be modified for the anti-idle technology, less any scrap or resale value. Applicants with anti-idle projects that may include re-engineering costs are encouraged to discuss the specifics with Ohio EPA before applying.

Note that locomotive and maritime projects will be considered based on their potential to reduce emissions along Ohio's highways.

### **Additional Questions**

For additional information, prospective applicants for Ohio Diesel Emission Reduction Grants are encouraged to consult the program Website at <http://www.epa.ohio.gov/oeef/derg.aspx> , and contact [Alan.Harness@epa.state.oh.us](mailto:Alan.Harness@epa.state.oh.us) or 614-644-4838 with technology questions, or [Carolyn.Watkins@epa.state.oh.us](mailto:Carolyn.Watkins@epa.state.oh.us) or 614-644-3768 with financial questions.