



Volkswagen NO_x Mitigation Settlement: Diesel Emission Mitigation Program Application Form Instructions

The light duty zero emission vehicle infrastructure program will launch at a later date. There will be separate forms for light duty zero emission vehicle infrastructure projects when that incentive program launches.

Application Form Instructions: Complete all sections of the application form including the Fleet Information Worksheet Attachment A if applicable.

Part I: Applicant Information

- **Applicant/Organization Name and Address:** Provide the name and address of the government or business entity applying for the grant.
- **Authorized Representative:** Provide the name, title and contact information of the authorized representative who will have signatory authority for the proposed project.¹
- **Additional Contact:** Provide contact information for any additional person or persons with whom DEEP will have routine contact regarding the status of the project, if different from the authorized representative.
- **Previous Applications:** Indicate whether the Applicant has previously applied to DEEP for other clean diesel or EV charger grants (e.g. DERA or EVConnecticut) and if multiple applications are being submitted for this incentive program. Indicate how many projects and for which categories.
- **Number of Applications:** Indicate if multiple applications are being submitted for this incentive program. If multiple applications are being submitted, indicate how many projects.
- **Project Funding Type:** Indicate the type of project funding being requested. Select Government-Owned if the Applicant is a State of Connecticut or local government agency (including a school district, municipality, city, county, special district, transit district, joint powers authority, or port authority, owning fleets purchased with

¹ By providing an e-mail address, an applicant is agreeing to receive official correspondence from the department concerning the subject application. Please set your security settings to ensure delivery of e-mails from "ct.gov" addresses. In addition, it is important that you notify the department if your e-mail address changes. Applicants must promptly notify the department of any change to submitted contact information (e.g., contact person, physical address, phone number or e-mail address).

government funds), and a tribal government or native village. Otherwise, select Privately-Owned

Part II: Project Information

A. Project Summary:

- **Proposed Project Title:** Provide a title for the proposed project.
- **Anticipated Dates:** Provide an anticipated project start date and end date.
- **Project Summary:** Provide a brief summary of the project, including community and air quality benefits. This is the opportunity for the Applicant to promote the energy, environmental and economic benefits of the proposed project. *(If form is filled electronically, the cell will expand, use separate page(s) if completing the form manually.)*
 - **Vehicle/Equipment/Engine Use:** Indicate the use of the vehicle/equipment/engine being replaced or repowered.
 - **Area of Operation:** Indicate the geographical area in which the vehicle/equipment/engine spends the majority of its time operating. *(This may be different from the applicant's business address.)*

B. Project Documentation

- **Project Category:** Select only one of the project categories listed by checking the associated box. Only one category should be selected per application. If applying for more than one project category, use a separate form for each.
- Complete the applicable subsection for the selected project category and provide the listed documentation required:
 - B.1 Replacement or Repower of On-Road Heavy Duty Vehicles
 - B.2. Replacement or Repower of Non-Road Equipment
 - B.3. Repower or Engine Upgrade for Commercial Marine Vessels
 - B.4. Shorepower for Ocean-Going Vessels
 - B.5. Replacement or Repower of Locomotives (Freight Switchers)
- **EV Charging Infrastructure:** Complete **only** if the applicant is replacing vehicles, engines or equipment with an electric equivalent and installing associated charging infrastructure
 - Provide the type, brand, model, number of chargers, and number of outlets of any associated charging equipment being installed.
 - Provide the name of the facility, street address, and/or latitude/longitude of the proposed location of this project.
 - Applicants must have site control² over the location of the proposed EV charging station installation site. Documentation of ownership may be requested.

² Site Control means (1) ownership of, a leasehold interest in, or a right to develop a site for the purpose of constructing the EV Charging Station; (2) an option to purchase or acquire a leasehold site for such purpose; or (3) an exclusivity or other business relationship between the Applicant and the entity having the right to sell, lease or grant the Applicant the right to possess or occupy a site for such purpose. Documentation of ownership may be requested for verification.

- Provide specification sheets for equipment for the EV charging infrastructure.
- Provide all estimates for equipment, site preparation, installation and labor for the EV charging infrastructure.
- While public access is not required for the charging stations installed in conjunction with EV replacements/repowers under this grant, if the charging stations will be publicly-accessible, the Applicant may be subject to the conditions of Public Act 16-135, the relevant portions of which are codified in [Section 16-19f](#), [Section 16-19ggg](#), and subsection b of [Section 43-3](#) of the Connecticut General Statutes.³

C. Proposed Budget for Replacement/Repower Projects:

- Provide the number of new vehicles/equipment/engines being purchased; the type of vehicle (e.g. front loader refuse truck), make, model and year of each new vehicle/equipment/engine; and the total cost for each group of vehicles/equipment/engines being purchased. *(For example, if replacing six Type C school buses, in the first row of the table enter the make, model and year of the replacements as a group. If you are replacing a combination of Type C and Type B school buses, enter the Type B school buses info in the second row of the table. This would also apply for a combination of heavy and medium-duty trucks, etc.)*
- Provide the installation cost (labor and materials) of the vehicle/equipment/engine.
- If EV charging infrastructure is being installed as part of a project that is repowering/replacing with new electric vehicles/equipment/engines, provide the cost of equipment, labor and materials for the site preparation and installation of the charging stations. Note that it is not unusual for the site preparation and installation costs to exceed the cost of the charging equipment.
- Describe any other expenses anticipated for the project and enter the cost. Examples might include transformer upgrades or installing cable and conduit to provide for additional EV charging stations in the future. Note that these “Other” costs may not be eligible for funding.
- Provide answers to the questions for project costs including:
 - Anticipated VW Grant Award
 - Grantee Cost Share
 - Do you anticipate a down payment and if so how much?
 - Balance of Vehicle/Equipment/Engine Cost after down payment - the Balance of Vehicle/Equipment Costs can be calculated by subtracting the down payment from the project total (Remaining Project Costs = Project total – Down Payment)
- Attach all estimates and specification sheets for vehicles, equipment, engine, materials and labor for the project.

³ Public Act 16-135 can be found on the Connecticut General Assembly website at <https://www.cga.ct.gov/2016/ACT/pa/pdf/2016PA-00135-R00HB-05510-PA.pdf>.

D. Proposed Budget for Shorepower Projects:

- Provide the number, brand, model and total cost of the shorepower units to be installed.
- Provide the cost of labor and materials for the site preparation and installation of the shorepower units. Note that it is not unusual for the site preparation and installation costs to exceed the cost of the shorepower equipment.
- You may include cables, cable management systems, shore power coupler systems, distribution control systems, and power distribution costs as part of the project's total cost.
- Describe any other expenses anticipated for the project and enter the cost. Note that these "Other" costs may not be eligible for funding.
- Provide the name of the facility, street address, and/or latitude/longitude of the proposed location of this project.
- Applicants must have site control over the location of the proposed shorepower installation. Documentation of ownership may be requested.
- Attach all estimates and specification sheets for equipment, materials and labor for the project.

E. Balance of Funds: the Mitigation Plan specifies the maximum funding that can be awarded to a project, however, the maximum funding is not guaranteed. Funding is not guaranteed before awards are made. Applicants will be notified of the actual amount awarded for their project after the project application has been reviewed. The applicant will also have the opportunity, at that time, to accept or refuse the award. **Note:** This is a reimbursement program; applicant is responsible for all project costs prior to reimbursement.

- Checking this box signifies that the Applicant can provide the balance of the funds needed to complete the project.
- Identify the source of the funds the Applicant will secure to complete the project (i.e. Town budget, capital account, loan, other grant or incentive program).
- Indicate any time line involved, such as Town budget or similar processes, requiring approvals.
- Indicate whether the vehicle or equipment will be purchased or leased.

Part III: Preferential Criteria: Proposed projects should be cost effective (including consideration of the applicant’s ability to provide matching funds), and have potential for completion by XX, 202X. Proposed projects will be ranked based on a set of criteria reflecting funding priorities for the program. The criteria include, but are not limited to the table provided. It is important to note that the list is of preferential funding criteria, not eligibility criteria.

Check all that apply on the application form.

- **NO_x Benefit Calculations:** If a projected NO_x benefit has been calculated for the project, indicate the quantifier used and print your input and output data to be submitted with the application. Retain the electronic copy; it may be requested during the review process. DEEP will be crosschecking these projections against EPA’s Diesel Emissions Quantifier (DEQ)⁴ for consistency.
- **Environmental Justice:** Projects in environmental justice (EJ) communities⁵ that are listed on the DEEP website. Check the box if the vehicles covered by your project operate primarily in a geographical area that is considered an EJ community. This is not necessarily the same as the applicant’s address.
- **Transformative/Innovative:** A “transformative or innovative” project is one that has sufficient size, scope or importance to initiate momentum for sustainability and expansion beyond the scope of this program and has the potential for replication throughout the transportation sector. Replacing a box truck is neither transformative nor innovative; converting one or multiple fleets to electric or alternative fuel could be regarded as transformative/innovative.”⁶ If the project is considered transformative/innovative, provide an explanation.
- **County Location:** If the proposed project is located in Fairfield, Middlesex or New Haven counties, select the county where the vehicle, equipment, or engine primarily operates. While all of CT is in nonattainment for ozone, Fairfield, Middlesex and New Haven counties are also maintenance areas for fine particulates and therefore of increased interest for mitigation projects.
- **GHG Reduction:** If the project will result in a significant reduction in emissions of carbon dioxide or other greenhouse gases, check the box and identify the quantifier used to calculate the emissions reductions and the amount of reduction anticipated. Print your quantifier input and output data and submit with the application. Retain the electronic copy; it may be requested during the review process.
- **Demonstrated Experience:** If Applicant can demonstrate how past experience or existing program structure can facilitate successful implementation of proposed project, check associated box and explain.
- **Cost Share:** If Applicant has verified funding that exceeds the **minimum required cost share**, check associated box and explain sources of leveraged funding, amount of

⁴ See EPA’s Diesel Emissions Quantifier at <https://www.epa.gov/cleandiesel/diesel-emissions-quantifier-deq>. Show your entries, assumptions and results. If you use another calculation tool, identify the tool.

⁵ Find lists of Connecticut EJ communities at: <https://portal.ct.gov/DEEP/Environmental-Justice/Environmental-Justice-Communities>.

⁶ For other possible examples, see Connecticut’s 2018 Comprehensive Energy Strategy at: <https://portal.ct.gov/-/media/DEEP/energy/CES/2018ComprehensiveEnergyStrategy.pdf> and the Electric Vehicle Roadmap for Connecticut: A Policy Framework to Accelerate Electric Vehicle Adoption (EV Roadmap), released in April of 2020, on the DEEP website at <https://portal.ct.gov/DEEP/Climate-Change/EV-Roadmap>.

leveraged funding, and if funding is already secured. Include any additional information that may be helpful.

- **EPA SmartWay Membership:** If applicant is an active participant in EPA’s SmartWay program,⁷ Check this box and provide the year in which applicant became active.
- **Consistent with DEEP Program Goals:** If project is consistent with the transportation section of the Comprehensive Energy Strategy for Connecticut and the state’s EV Roadmap,⁸ check this box and explain.
- **Idling:** If Applicant currently has, or the proposed project includes a motor vehicle anti-idling education and outreach program, check associated box, explain and provide proof of the anti-idling program.

Part IV: Terms & Conditions: After the application has been completed, the application must be reviewed and signed by the authorized representative listed in Part I. The signature certifies that, to the best of the Applicant’s knowledge and belief, the information contained in the application, including all attachments, is true, accurate and complete. An application will be considered insufficient unless the required signature is provided and all supporting documentation has been submitted.

Part V: Submission:

- **Mail the completed form and all supporting documentation to**
Central Permit Processing Unit
Connecticut Department of Energy & Environmental Protection
79 Elm Street
Hartford, CT 06106-5127
- All Inquiries should be directed to the DEEP’s Bureau of Air Management - Planning and Standards Division at DEEP.MobileSources@ct.gov.

⁷ For information regarding EPA’s SmartWay program or to enroll, go to <https://www.epa.gov/smartway>.

⁸ *Electric Vehicle Roadmap for Connecticut: A Policy Framework to Accelerate Electric Vehicle Adoption (EV Roadmap)*, released in April of 2020, can be found on the DEEP website at <https://portal.ct.gov/DEEP/Climate-Change/EV-Roadmap>.

Attachment A: Fleet Information Worksheet: This section provides instructions for the Fleet Information Worksheet, which applies to repower or replacement projects only. Information required on this sheet is broken into two sections: information on the existing fleet (vehicles, engine or equipment to be replaced) and information on the new, replacement vehicles, engines or equipment. It is recommended that the spreadsheet be completed electronically and a copy printed for submission. Retain the electronic copy; it may be requested during the review process.

- **Applicant Name:** The name of the government or business entity applying for the grant.
- **Type of Project:** Select the project type from the drop down list. This should match the selection made in Part II.B of the application form. A separate sheet and application form should be used for different project types.

Before filling out vehicle information, the “Type of Project” must be selected. Selecting a project type affects the data requested and changes to the sheet will not occur unless a selection is made.

- **ID:** A unique name or number ID assigned by the applicant to each vehicle.
- **Type of Equipment:** Select the vehicle or equipment type that is being replaced from the drop down list. NOTE: The options in this field change based on the type of project that applicant has selected above.

Existing Fleet Vehicles

- **Engine Make:** The manufacturer of the engine.
- **Engine Model:** The specific name or number used to indicate the difference between multiple engines of the same make.
- **Engine Serial Number:** The engine serial number is usually found on a plate attached to the engine block.
- **Horsepower:** The maximum power the engine produces.
- **Engine Model Year:** The year in which the engine was manufactured. This is not always the same as the vehicle or equipment model year. If a 2009 MY engine was installed in a 2010 MY vehicle, the vehicle would be eligible for the program, whereas, if a 2010 MY engine was installed in a 2010 MY vehicle, that vehicle is not eligible. *The engine model year should appear on the serial number plate attached to the engine block. For non-road equipment engines, California has provided a guide at <https://www.arb.ca.gov/msprog/ordiesel/faq/faq-model-year.pdf> for determining model year.*
- The next column in the worksheet will automatically update with one of the following headings based on the type of project selected above.
 - **Primary Town(s) of Vehicle Operation:** For on-road diesel and locomotive projects only. Indicate the primary town or towns in which the vehicle operates. If operation of vehicle is statewide, enter “statewide”.
 - **Marine Engine Cylinder Displacement:** For marine projects only. The cylinder displacement of the marine engine, in liters or liter equivalents.

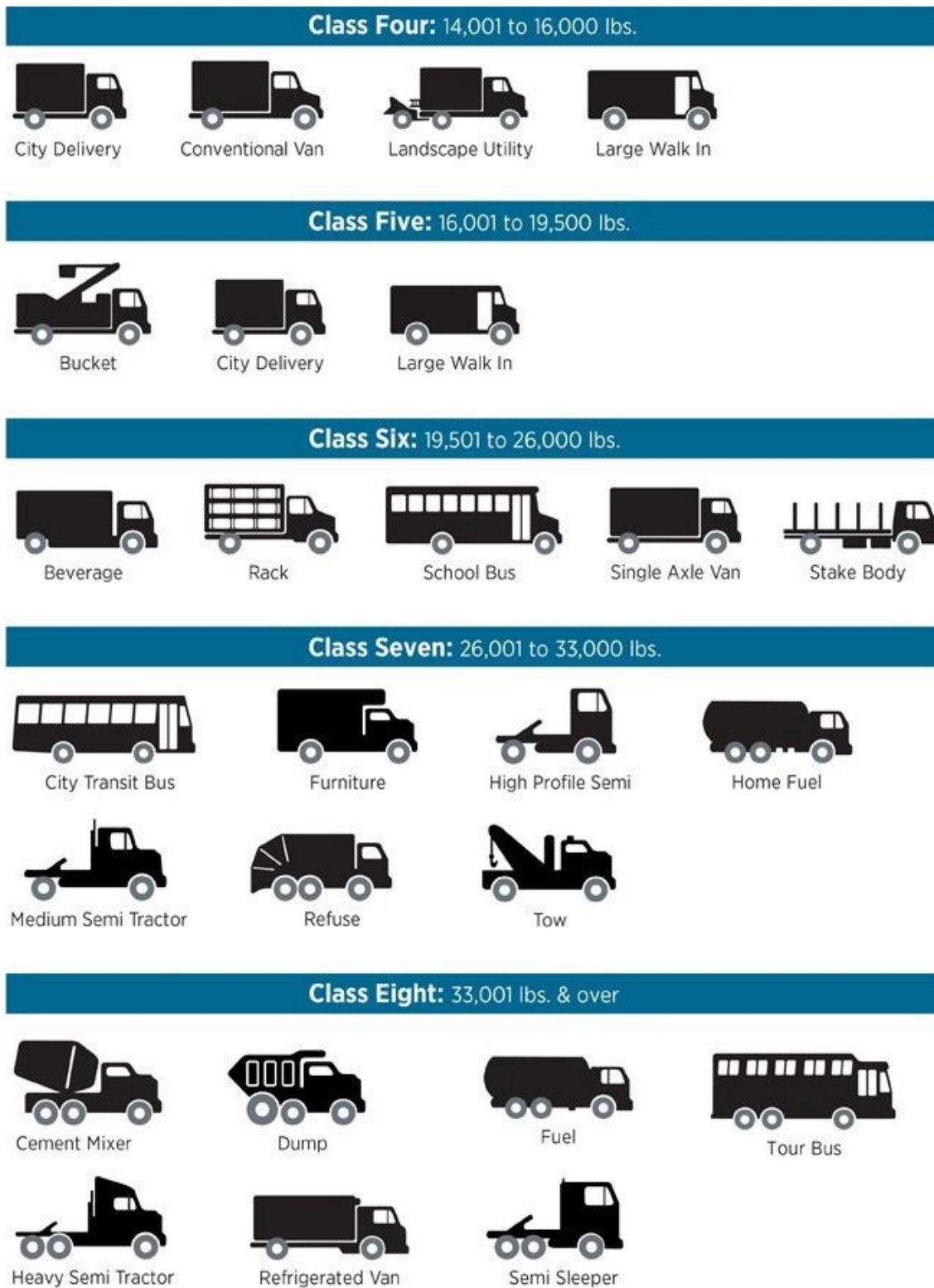
- **Forklift Lift Capacity:** For forklifts only. The total lifting capacity of forklift equipment, in pounds or pound equivalents.
- **Vehicle Identification Number (VIN):** The identifying code for a specific vehicle. The VIN can usually be found on the dashboard, on the driver's side of the vehicle, or on a sticker or plate inside the driver's door.
- **Gross Vehicle Weight Rating (GVWR):** The maximum weight of the vehicle, as specified by the manufacturer, including total vehicle weight plus fluids, passengers, and cargo. See Figure 1 below for GVWR based vehicle classifications, along with examples of vehicle types in those classes. Eligible vehicle types could appear in any GVWR class and this graphic is not meant to be all-inclusive.
- **Vehicle Class:** The classification given to a vehicle based on its gross vehicle weight rating. This field will automatically populate based on the GVWR previously entered
- **Current Fuel Type:** The type of fuel currently being used in the vehicle/equipment/engine being repowered/replaced.
- **Annual Fuel Usage:** The amount of fuel used in a calendar year in the vehicle, equipment, or engine being repowered or replaced.
- **Annual Mileage/Operating Hours:** This column will automatically update to one of the following based on the type of project selected above.
 - **Annual Mileage:** The number of miles added, in a calendar year, to the odometer of the vehicle being repowered/replaced.
 - **Annual Operating Hours:** The number of hours a piece of equipment or engine being repowered or replaced is operated in a calendar year.
- **Annual Mileage/ Operating Hours in CT:** This column will automatically update to one of the following based on the type of project selected above.
 - **Annual Mileage in CT:** The number of miles driven on Connecticut roads and highways in one year. If records of Connecticut mileage are not available, provide an estimate of annual mileage in Connecticut.
 - **Annual Operating Hours in CT:** The number of hours non-road equipment or engines operate in Connecticut in one year. If records are not available, provide an estimate of the annual number of hours in Connecticut.
- **Vehicle Annual Idling Hours:** The number of hours a vehicle or equipment idles in a calendar year. If records of idling hours are not available, provide an estimate of annual idling hours and indicate that it is an estimate when entering on the form (e.g. 200 hrs. est.).

- **Miles per Gallon/Gallons per Hour:** This column will automatically update and calculate the appropriate value based on the type of project selected above.
 - **Miles per Gallon:** The calculated fuel economy based on the annual fuel usage of a vehicle, and the annual miles.
 - **Gallons per Hour:** The calculated fuel economy based on the annual fuel usage of non-road equipment, and the annual hours of operation.

Proposed New Fleet Vehicles

- **New Vehicle or Equipment Information:** As explained above for the existing fleet information section, enter the following for the new replacement vehicles or equipment: *Engine Make, Engine Model, Horsepower, Engine Model Year, Project Type Specific Information, and GVWR. Vehicle Class will be updated automatically.*
- **Estimated Fuel Economy:** The manufacturer's or vendor's estimated fuel usage rate for the new engine in miles per gallon or, if the project is for non-road equipment, gallons per hour. If the new equipment operates on an alternative fuel, provide the information in diesel equivalents.
- **New Vehicle/Equipment Fuel Type:** Select the fuel type of the new vehicle, engine or equipment from the dropdown list.
- **Unit Cost:** The estimated cost of the new vehicle, engine, or equipment. Do not include any labor, installation, or related costs.

Figure 1: Vehicle Class and Example Vehicle Types based on Gross Vehicle Weight Rating





**Connecticut Department of
Energy & Environmental Protection**
Bureau of Air Management
Planning & Standards Division

CPPU USE ONLY

App #: _____

Program: VW Grant – Diesel

No fee required

Diesel Emission Mitigation Program Application Form



Proposals for Use of VW NO_x Mitigation Funds for Diesel Emission Reduction Projects

Complete all sections of this form including Attachment A: Fleet Information Worksheet, if applicable. According to the terms of the consent decree, all documentation submitted in support of the funding request and all records supporting all expenditures of Eligible Mitigation Action funds shall be made publicly available. **All proposals must be submitted to the address indicated in Part V of this form and must be received by 4:00 PM on XX, 202X to be considered.**

Part I: Applicant Information

Applicant/Organization Name:					
Address:					
City:		State:		Zip Code:	
Authorized Representative Name:					
Authorized Representative Title:					
E-Mail:		Telephone:			
Additional Contact Name:(<i>Optional</i>)					
E-Mail:		Telephone:			
Additional Contact Name:(<i>Optional</i>)					
E-Mail:		Telephone:			
Have you previously submitted a proposal to DEEP for clean diesel or EV charger funding?				<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are you submitting applications for multiple project categories under this Incentive Program? If so, how many?				<input type="checkbox"/> Yes: _____ <input type="checkbox"/> No	
Type of Project Funding Requested				<input type="checkbox"/> Government-owned <input type="checkbox"/> Privately-owned	

Part II: Project Information

Any awarded funding must be used only for eligible projects as listed in [VW's Environmental Mitigation Trust Agreement for State Beneficiaries](#).

Projects initiated prior to filing an application for the program are not eligible for funding and submittal of an application is not a guarantee that a proposed project will be funded. Project initiation activities that can disqualify an application include initiating an RFP, selecting a Vendor, ordering vehicles, equipment, and engine or hiring a contractor.

It is in the applicant's best interest to delay any vehicle, equipment, or engine purchase until after funding is awarded. Any project not awarded for funding under this program, may be eligible to apply for funding under the Diesel Emission Reduction Act (DERA) program provided the project was not initiated prior to the solicitation period of the DERA program.

A. Project Summary

Proposed Project Title:

Anticipated Project Start Date:

Anticipated Project End Date:

Project Summary:

Provide a detailed description of the proposed project, including community and air quality benefits. Also, include the usage of the old vehicle in the summary and area in which it operates.

B. Project Documentation

Select a project category. Only one category should be selected per proposal. If applying for more than one project category below, use a separate form for each. *For the project category selected, provide the documentation required and check the associated box.*

Replacement or Repower of On-Road Heavy Duty Vehicles: Class 8 Local Freight Trucks and Port Drayage Trucks; Class 4-8 School Bus, Shuttle Bus, or Transit Bus; and Class 4-7 Local Freight Trucks	<input type="checkbox"/>	Complete Section B.1
Replacement or Repower of Non-Road Equipment: Airport Ground Support Equipment, Forklifts and Port Cargo Handling Equipment	<input type="checkbox"/>	Complete Section B.2
Repower or Engine Upgrade for Commercial Marine Vessels: Ferries and Tugs	<input type="checkbox"/>	Complete Section B.3
Shorepower for Ocean-Going Vessels	<input type="checkbox"/>	Complete Section B.4
Replacement or Repower of Locomotives: Freight Switchers	<input type="checkbox"/>	Complete Section B.5

B.1. Replacement or Repower of On-Road Medium and Heavy Duty Vehicles:

Replacement/repower may be with new diesel or alternate fueled engine (e.g., compressed natural gas (CNG), propane, and hybrid); costs of installation of the engine may be included.

Select all applicable vehicle categories below and enter quantity of vehicles being replaced/repowered.

Vehicle Category	Applicable	QTY
Class 8 Local Freight Truck ⁹	<input type="checkbox"/>	
Port Drayage Truck ¹⁰	<input type="checkbox"/>	
Class 4-7 Truck	<input type="checkbox"/>	
Class 4-8 School Bus	<input type="checkbox"/>	
Class 4-8 Shuttle Bus	<input type="checkbox"/>	
Class 4-8 Transit Bus	<input type="checkbox"/>	

⁹ "Class 8 Local Freight, and Port Drayage Trucks (Eligible Large Trucks)" shall mean trucks with a Gross Vehicle Weight Rating (GVWR) greater than 33,000 lbs. used for port drayage and/or freight/cargo delivery (including waste haulers, dump trucks, concrete mixers).

¹⁰ "Drayage Trucks" shall mean trucks hauling cargo to and from ports and intermodal rail yards.

Submit the following supporting documentation for On-Road Heavy Duty Vehicles Category:

Completed Attachment A: Fleet Information Worksheet	<input type="checkbox"/>
Certificate of Origin or other documentation certifying that each vehicle to be replaced has been operating in Connecticut for at least five years.	<input type="checkbox"/>
For projects including the installation of EV charging infrastructure: provide documentation demonstrating that applicant has site control ¹¹ of the proposed infrastructure site.	<input type="checkbox"/>
Attach all specification sheets for vehicles, equipment and engines for the project.	<input type="checkbox"/>
Attach all estimates for vehicles, equipment, engines and labor for the project.	<input type="checkbox"/>
For School Bus Projects: If project is for a privately owned bus under contract with a public school district, provided the duration and expiration date of the existing contract.	<input type="checkbox"/>
Contract Duration	Expiration Date

B.2. Replacement or Repower of Non-Road Equipment:

Airport Ground Support Equipment, Forklifts and Port Cargo Handling Equipment

Select all applicable equipment categories below and enter quantity of vehicles being replaced/repowered.

Equipment Category	Applicable	QTY
Airport Ground Support Equipment: EV replacements only	<input type="checkbox"/>	
Forklifts: EV replacements only; must have lift capacity > 8000 lbs.	<input type="checkbox"/>	
Port Cargo Handling Equipment: EV replacements only	<input type="checkbox"/>	

Submit the following supporting documentation for the Non-Road Equipment Category:

Completed Attachment A: Fleet Information Worksheet	<input type="checkbox"/>
Provide documentation (e.g. usage log) that the nonroad equipment has been used more than 500 hours in the twelve months preceding this application.	<input type="checkbox"/>
For projects including the installation of charging infrastructure: provide documentation demonstrating that applicant has site control ³ of the proposed infrastructure site.	<input type="checkbox"/>
Attach all specification sheets for vehicles, equipment and engines for the project.	<input type="checkbox"/>
Attach all estimates for vehicles, equipment, engines and labor for the project.	<input type="checkbox"/>

¹¹ Site Control means (1) ownership of, a leasehold interest in, or a right to develop a site for the purpose of constructing the EV Charging Station; (2) an option to purchase or acquire a leasehold site for such purpose; or (3) an exclusivity or other business relationship between the Applicant and the entity having the right to sell, lease or grant the Applicant the right to possess or occupy a site for such purpose. Documentation for verification may be requested.

B.3. Repower or Engine Upgrade for Commercial Marine Vessels:

Ferries and Tugs

Select all applicable vessel categories below and enter quantity of vessels and engines being replaced/repowered.

Vehicle Category	Applicable	Number of Vessels	Number of Propulsion Engines	Number of Auxiliary Engines
Ferry	<input type="checkbox"/>			
Tug	<input type="checkbox"/>			

Type of Replacement/Repower:

Unregulated, Tier 1 or Tier 2 diesel engines are being replaced with new Tier 3 or Tier 4 diesel or alternate fueled engines, or with all-electric engines	<input type="checkbox"/>
Unregulated, Tier 1 or Tier 2 diesel engines are being upgraded with an EPA Certified Remanufacture System or an EPA Verified Engine Upgrade.	<input type="checkbox"/>

Submit the following supporting documentation for the Commercial Marine Vessels Category:

Provide documentation (e.g. a ferry schedule) that the Marine engine has been operating 1,000 or more hours in the twelve months preceding this application.	<input type="checkbox"/>
Completed Attachment A: Fleet Information Worksheet	<input type="checkbox"/>
Attach all specification sheets for vessels, equipment and engines for the project.	<input type="checkbox"/>
Attach all estimates for vessels, equipment, engines and labor for the project.	<input type="checkbox"/>

B.4. Shorepower for Ocean-Going Vessels:

May include cables, cable management systems, shore power coupler systems, distribution control systems, and power distribution.

Address of Proposed Installation: <i>Provide name of facility, street address, street intersection and/or latitude/longitude and city</i>	
Marine shore power system will comply with international shore power design standards (ISO/IEC/IEEE 80005-1-2012 High Voltage Shore Connection Systems or the IEC/PAS 80005-3:2014 Low Voltage Shore Connection Systems) and will be supplied with power sourced from the local utility grid.	<input type="checkbox"/>

Submit the following supporting documentation for the Shorepower for Ocean-Going Vessels Category:

Provide documentation demonstrating that applicant has site control ³ of the proposed infrastructure site.	<input type="checkbox"/>
Attach all specification sheets for equipment for the project.	<input type="checkbox"/>
Attach all estimates for equipment and labor for the project.	<input type="checkbox"/>

B.5. Replacement or Repower of Locomotives:

Freight Switchers

Indicate the quantity of locomotives and engines being replaced/repowered.

Vehicle Category	Number of Locomotives	Number of Propulsion Engines	Number of Generator Sets
Freight Switchers			

Type of Replacement/Repower:

Freight switcher is being <u>repowered</u> with a new diesel or alternate fueled or all-electric engines (including generator sets)	<input type="checkbox"/>
Freight switcher is being <u>replaced</u> with a new diesel or alternate fueled or all electric (including generator sets) freight switchers that are certified to meet the applicable EPA emissions standards.	<input type="checkbox"/>

Submit the following supporting documentation for the Locomotives Category:

Provide documentation that the locomotive has been operating 1,000 or more hours in the twelve months preceding this application.	<input type="checkbox"/>
Completed Attachment A: Fleet Information Worksheet	<input type="checkbox"/>
Attach all specification sheets for locomotives, equipment and engines for the project.	<input type="checkbox"/>
Attach all estimates for locomotives, equipment, engines and labor for the project.	<input type="checkbox"/>

B.6. EV Charging Infrastructure – Complete **only** if you are replacing vehicles or equipment with an electric equivalent **and** installing associated charging infrastructure.

Number of EV Charging Stations to be Installed?				
Type	Brand	Model	Number of Chargers	Number of Outlets
Level 1				
Level 2				
DC Fast Charger				
Address of Proposed Installation <i>Provide name of facility, street address, street intersection and/or latitude/longitude and city</i>				
Attach all specification sheets for equipment for the EV charging infrastructure.				<input type="checkbox"/>
Attach all estimates for equipment, site preparation, installation and labor for the EV charging infrastructure.				<input type="checkbox"/>

C. Proposed Budget for Replacement/Repower Projects

Attach additional sheets if more line items are required than the space allotted below.

New Vehicle/Equipment/Engine Description					Cost
Number of replacements vehicles/engines /equipment	Type (e.g. Frontloader refuse truck)	Make	Model	Year	
Installation Cost of Vehicle, Equipment and Engine (labor & materials)					
Total Cost of Vehicle, Equipment, Engine:					
EV Charging Infrastructure – Complete only if you are replacing with an electric Vehicle <u>and</u> installing associated charging infrastructure.					
Cost of Charging Station(s) listed in Part B.6 of this form					
Site Preparation Costs for EV Charging Station(s) (labor & materials)					
Installation Costs of EV Charging Station(s) (labor & materials)					
Other (please specify)					
Total EV Infrastructure Cost:					
Project Total (Total Cost of Vehicle, Equipment, Engine + EV Infrastructure Cost)					
Anticipated VW Grant Award					
Grantee Cost Share					

D. Proposed Budget for Shorepower Projects

Provide a list of the expenses for the proposed project.

Line Item	Cost
Number of Shorepower Units, Brand & Model	
Site Preparation Costs for Shorepower Unit(s) (labor & materials)	
Installation Costs of Shorepower Unit(s) (labor & materials)	
Cables, Cable Management Systems, Shorepower Coupler Systems, Distribution Control Systems, and Power Distribution	
Other Costs (please specify)	
Total Project Cost:	

E. Balance of Funds

Maximum funding is not guaranteed. Be aware that funding is not guaranteed before awards are made. Note that this is a reimbursement program; applicant is responsible for all project costs prior to reimbursement.

Applicant attests they can secure the funds for replacement of vehicles, equipment or engines and for operation and maintenance.	<input type="checkbox"/> Yes <input type="checkbox"/> No
What is the source of these funds?	
What is the timeline for securing these funds? <i>(For government projects: Budget approval process date)</i>	
How will the vehicle, equipment or engine be procured?	<input type="checkbox"/> Purchased <input type="checkbox"/> Leased for a minimum of 3 years

Part III: Preferential Criteria

Proposed projects should be cost effective (including consideration of the applicant’s ability to provide matching funds beyond those minimally required), and have potential for completion by XX, 202X. Proposed projects will be ranked based on a set of criteria reflecting funding priorities for the program. The criteria include, but are not limited to the list below. It is important to note that the list below is of preferential funding criteria, not eligibility criteria. For any criteria referencing geography, use the geographical area in which the vehicle operates; this may be different from the business address.

Check all that apply. Any relevant information may be included below each item.

Project is scaled to achieve the greatest NOx emission reduction ¹² or offset per dollar invested (<i>i.e., capital cost effectiveness in dollars/ton of NOx reduced</i>).	<input type="checkbox"/>
Vehicles covered by this project operate primarily in one of the environmental justice (EJ) communities listed on the DEEP website ¹³ . If checked, identify the community and the amount of time the vehicles spend there on a regular basis.	<input type="checkbox"/>
Project is transformative or innovative and promotes other statewide energy, environmental and economic development goals. If checked, explain why.	<input type="checkbox"/>
Is your project located in or does the vehicle operate in one the following counties: Fairfield, New Haven or Middlesex?	<input type="checkbox"/> Fairfield <input type="checkbox"/> New Haven <input type="checkbox"/> Middlesex
Project will result in a significant reduction in emissions of carbon dioxide or other greenhouse gases. If checked, identify the quantifier used and the amount of reduction anticipated.	<input type="checkbox"/>
Applicant can demonstrate experience and existing administrative and programmatic structure in place for implementing diesel reduction projects. If checked, describe the applicant's experience.	<input type="checkbox"/>
Project has verified funding or leveraged funding that exceeds the minimum cost share . If checked, explain sources of leveraged funding, amount of leveraged funding, and if funding is already secured.	<input type="checkbox"/>
Applicant is an active participant in EPA's SmartWay program. ¹⁴ If checked, provide year in which applicant became active.	<input type="checkbox"/>
Project is consistent with the transportation section of the 2018 Comprehensive Energy Strategy for Connecticut ¹⁵ and the State's EV Roadmap. ¹⁶ <i>If checked, please identify elements of the project that are consistent with these initiatives.</i>	<input type="checkbox"/>
Applicant has, or project includes, a motor-vehicle anti-idling education and outreach program. If checked, please summarize plan and submit documentation proving existence of an anti-idling program.	<input type="checkbox"/>

¹² <https://cfpub.epa.gov/quantifier>

¹³ CT environmental justice communities can be found at: <https://portal.ct.gov/DEEP/Environmental-Justice/Environmental-Justice-Communities> .

¹⁴ For information regarding EPA's SmartWay program or to enroll, go to <https://www.epa.gov/smartway>.

¹⁵ See Connecticut's 2018 Comprehensive Energy Strategy at: <https://portal.ct.gov/-/media/DEEP/energy/CES/2018ComprehensiveEnergyStrategypdf.pdf>

¹⁶ *Electric Vehicle Roadmap for Connecticut: A Policy Framework to Accelerate Electric Vehicle Adoption (EV Roadmap)*, released in April of 2020, can be found on the DEEP website at <https://portal.ct.gov/DEEP/Climate-Change/EV-Roadmap>.

Part IV: Terms & Conditions

Applicant is aware of the eligible options within the Environmental Mitigation Trust Agreement for State Beneficiaries (see Appendix D-2), available at <https://portal.ct.gov/-/media/DEEP/air/mobile/VW/20200519--Final-Modified-State-Trust-Agreement-effective-June-18-2020.pdf>

Applicants must provide a statement attesting that they can secure the balance of funds.

An awardee cannot unilaterally amend the terms of an award. Any action taken outside the scope of the award may nullify the award.

Vehicle/Equipment/Engine Owners certify that all vendors were or will be selected in accordance with state public contracting laws and, for each proposed expenditure exceeding \$25,000, that they will provide detailed cost estimates from selected or potential vendors. For Connecticut, this means conducting an open and competitive procurement process for contractual services and/or technologies used on the project and securing estimates from at least three vendors.

Vehicle/Equipment/Engine Owners must agree to keep the replaced or repowered vehicle, equipment or engine operating in Connecticut, with emission controls in place, for a minimum of three years or to replace with equipment with equal or better emissions reductions.

Applicants installing publicly-accessible EV charging stations in conjunction with new EVs will comply with [Public Act 16-135](#),¹⁷ as required.

Applicants for EV charging infrastructure and shorepower projects must have site control over the location of the proposed installation site. Documentation of ownership may be requested.

This is a reimbursement program; award recipients will be required to demonstrate payment for the project before receiving awarded funds. Before being reimbursed, recipient must complete and submit to DEEP a written request for payment, including invoices, proofs of payment and delivery, and confirmation that the project is completed and that the vehicle(s)/equipment/engine(s) are operating satisfactorily for the intended use. A reimbursement request template, with submission information, will be made available to grantees.

If the proposal includes the replacement of a vehicle or engine, Vehicle/Equipment/Engine Owners must provide documentation that the old vehicle or engine has been rendered permanently disabled before funds are released for final payment.

Project must be completed and paperwork submitted no later than XX, 202X. DEEP cannot guarantee reimbursement payments for submissions after that date.

Applicants will be responsible for providing status update reports for semi-annual and other reports.

I hereby affirm, under penalty of law, that the information provided here is true and correct to the best of my knowledge. I further affirm that I have read, understand, and agree to all of the terms and conditions stated above. I understand that if it is determined that any funds were awarded to me as a result of false statements, I will be required to reimburse said funds to DEEP. I further understand that any false statement made in the submitted information may be punishable as a criminal offense under section 22a-175 of the Connecticut General Statutes, under section 53a-157b of the Connecticut General Statutes, and in accordance with any applicable statute.

Signature _____

Typed Name _____

_____ Date

¹⁷ The relevant portions are codified in [Section 16-19f](#), [Section 16-19ggg](#), and subsection b of [Section 43-3](#) of the Connecticut General Statutes.

Part V: Submission

Please mail this completed form and all supporting documentation to

Central Permit Processing Unit
Connecticut Department of Energy & Environmental Protection
79 Elm Street
Hartford, CT 06106-5127

All Inquiries should be directed to the Connecticut Department of Energy & Environmental Protection Bureau of Air Management - Planning and Standards Division at DEEP.MobileSources@ct.gov.

Attachment A: Fleet Information Worksheet