



National Clean Diesel Campaign

AMERICAN RECOVERY AND REINVESTMENT ACT of 2009 FUNDING FOR STATE CLEAN DIESEL GRANT PROGRAM

Project Title:

Clean Diesel Funding for Illinois Clean Diesel Grant Program & Illinois Clean School Bus Program

Project Manager and Contact Information

Organization name	Illinois Environmental Protection Agency
Project manager	Darwin Burkhart, Manager, Clean Air Programs
Address	P.O. Box 19276, Springfield, IL 62794-9276
Phone	(217) 524-5008
Fax	(217) 557-2559
Email	Darwin.Burkhart@illinois.gov

Project Budget

EPA allocation	\$ 1.73 Million
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Project Period

The project period is from April 2009 (date of award) to September 30, 2010.

Summary Statement

The Illinois EPA, in coordination with its partners in the Illinois Clean Diesel Workgroup, will administer a grant program through the new "Illinois Clean Diesel Grant Program" and the existing "Illinois Clean School Bus Program." The types of projects that will be part of this grant program include the installation of diesel oxidation catalysts, closed crankcase ventilation systems, particulate filters, the purchase of diesel hybrid vehicles, engine repowers, and equipment to reduce or eliminate idling, such as direct-fired heaters and auxiliary power units, where appropriate. There will be a focus on school districts, local governments, businesses, and truck owners/operators to assist them in reducing diesel emissions. The target vehicles include school buses, shuttle buses, off-road equipment, and other diesel vehicles that operate in urban and residential areas, along with over-the-road trucks that have significant driving routes in Illinois and throughout the Midwest. We will also focus on projects located in the Chicago and Metro-East nonattainment areas in reducing ozone precursor emissions and particulate matter. Illinois is home to Navistar, Caterpillar, and John Deere. The diesel engine and off-road equipment industries are very important to the State's economy. This grant program will assist these manufacturers and the local diesel retail outlets in Illinois by helping to increase their revenues through the sale of clean diesel products and retain or create new jobs.

SCOPE OF WORK

Project Description

The Illinois Clean Diesel Grant Program and Illinois Clean School Bus Program will further our clean diesel retrofit efforts as part of the Illinois Green Fleets initiative. It will provide significant momentum for the Midwest Clean Diesel Initiative (MCDI) in achieving one million diesel engines impacted in the Midwestern states by 2010 and by helping to stimulate the economy through the American Recovery and Reinvestment Act of 2009. The fact sheets, guidance documents, and application materials for both the Clean Diesel Grant Program and the Clean School Bus Program are posted on our Illinois Green Fleets website at www.illinoisgreenfleets.org. Potential applicants are already downloading the materials to apply for this fund and the other funding we have secured for these programs. The goal with both programs is to provide funding for diverse types of fleet applicants and organizations, various types of diesel vehicles and equipment, the ability to fund projects in several areas of the State (with an emphasis in the Chicago and Metro-East St. Louis nonattainment areas), and utilizing different verified clean diesel technologies.

The projects that will be part of this grant program include the installation of diesel oxidation catalysts, closed crankcase ventilation systems, diesel particulate filters, engine repowers, and equipment to reduce or eliminate idling, such as direct-fired heaters and auxiliary power units, where appropriate. We will also include diesel hybrid trucks and buses for certain types of applications. There will be a focus on school districts, local governments, and truck owners/operators to assist them in reducing diesel emissions. Targeted vehicles include school buses, public works trucks, diesel vehicles that operate in residential areas, shuttle buses, delivery trucks, off-road equipment, and over-the-road trucks that are located and have significant driving routes in Illinois and idle at truck stops or rest areas. To the greatest extent possible, we will seek projects located in the Chicago and Metro-East nonattainment areas in reducing ozone precursor emissions and particulate matter.

The Illinois EPA, the American Lung Association of Illinois, and the Respiratory Health Association of Metropolitan Chicago will be working with the members of the Illinois Clean Diesel Workgroup to conduct outreach with prospective diesel fleets. We anticipate hosting three workshops to help solicit good projects and to assist fleet managers in understanding the objectives, funding mechanisms, and the application process. The first workshop will be held in Chicago in June 2009 for any fleets, the second workshop for various types of fleets will be held in August in central Illinois, and the third workshop will be targeted to school districts and school bus companies in September and October 2009, with one being held in the Chicago area and the other downstate. These are summarized in the Timeline section later in this workplan.

List of Technology Options being considered:

- Exhaust Controls**
- Idle Reduction Technologies**
- Cleaner Fuels Use**
- Engine Upgrades**
- Certified Engine Repowers**
- Certified Vehicle and Equipment Replacements**

Types of Fleets that will be impacted with the technologies (check all that apply):

- School Buses
- Transit Buses
- Medium Duty Truck
- Heavy Duty Truck
- Marine Engine
- Locomotive
- Construction
- Cargo Handling
- Agriculture
- Mining
- Energy production
- other: (please describe)

Project Outputs and Outcomes

This allocation funding will help “clean up” about 228 on-road and off-road diesel vehicles and equipment. The project emphasizes the implementation of diesel oxidation catalysts (DOC), including the combination of DOCs and closed crankcase ventilation (CCV) systems. The budget has provided an estimated \$203,200 for DOCs only and DOC & CCV combinations for about 104 diesel vehicles. Direct fired heaters (DFH) are also popular choices for many fleet managers, especially school district transportation directors. These units significantly reduce idling and help to conserve diesel fuel, especially during the cold weather months. We are allocating \$112,500 for the purchase and installation of 25 direct fired heaters. Approximately 27 vehicles have been budgeted for diesel particulate filters (DPF) and the combination of DPFs and CCV systems at an overall estimated cost of \$237,000. Diesel multi-stage filters (DMF), or flow through filters in combination with a CCV, have also been requested by fleet managers. We are budgeting \$105,000 for 15 diesel vehicles to be equipped with this technology. Diesel hybrid trucks and buses are an effective technology to reduce emissions, especially while the vehicles are parked. We are including \$360,000 for 12 diesel hybrids in this grant allocation. We will look for fleet vehicles that are appropriate for hybrid applications, including those used in stop-and-go traffic and/or frequently loading and unloading products and passengers. Diesel hybrids improve fuel efficiency by 60-70 percent versus regular diesel vehicles. Shuttle buses and delivery trucks are two types of vehicles where this technology would provide the best emissions reduction potential. The hybrids in this project will replace existing vehicles in these fleets, which will be scrapped and/or disassembled for parts and thus rendered inoperable. For these 12 new diesel hybrids, we will be following U.S. EPA’s guidelines concerning new vehicle and engine replacements and fund 25 percent of the project, requiring that the applicant provide 75 percent of the funding. For the 12 hybrid vehicles, we are budgeting \$360,000 to be charged to the grant, with \$1,080,000 being provided by the applicants.

We are also including funding for auxiliary power units (APU), primarily for over-the-road trucks. We will be choosing truck owners/operators whose routes, driving times, and pickups and deliveries are primarily in Illinois and throughout the Midwest. We will ensure that the semi-trucks included in this project to be equipped with APUs will have several years of remaining service life. With APUs, the equipment can be transferred to another truck if the APU-equipped truck is retired or otherwise removed from the fleet. APUs will significantly reduce diesel fuel consumption since these help to reduce or eliminate hours of daily idling by semi-trucks. The

independent truck operators stated that they typically idle for eleven hours per day, the required daily federal rest period, while they rest or sleep in their cabs. We believe that these APUs will be of great benefit to the drivers and truck owners since they will provide the necessary power for the cab while at idle, without the main engine running, resulting in significant emissions reductions and less wasted fuel. The Illinois EPA is requesting that participating truck owners/operators provide a 30 percent match for the purchase of an APU. We are budgeting \$161,000 to be charged to the grant for 25 APUs, with the truck owners/operators providing \$69,000 in matches.

This year, the Illinois EPA will be including engine repowers for off-road equipment. We envision that the repowers will primarily be used for construction and similar equipment. We are budgeting \$300,000 to be charged to the grant, with the applicants providing 50 percent match or \$300,000 in match funding. We estimate that up to 20 off-road equipment units can be repowered with this funding.

The total of all projects is **\$2,927,700**. Based on this budget, the amount charged to the state allocation grant funding will be approximately **\$1,478,700**, with **\$1,449,000** anticipated in match funding provided by the applicants for APUs, diesel hybrid trucks and school buses, and engine repowers in the Illinois Clean Diesel Grant Program and Illinois Clean School Bus Program.

While the number of units per diesel retrofit option and the cost figure budgeted for each type of option are estimates, the Illinois EPA will be flexible in approving projects based on what is being requested by the fleet owners or operators and, to a large extent, the suitability of certain retrofit options to the model year and type of bus or other diesel vehicle. In the Clean School Bus Program, we work with the school district and the equipment vendor to make sure that the retrofit application is appropriate for the type of bus and how it is used. Therefore, the number of units per retrofit option may be reallocated based on demand and suitability for certain types of diesel retrofits, and the cost figures may be adjusted for the actual invoiced costs from the vendor.

The following table summarizes the proposed project results and the budget for this workplan. Below is the key for the abbreviations used in the table.

DMF = Diesel Multi-Stage Filter (flow through filter)

CCV = Closed Crankcase Ventilation

DOC = Diesel Oxidation Catalyst

DPF = Diesel Particulate Filter

DFH = Direct Fired Heater

APU = Auxiliary Power Unit

REP = Engine Repowers for Off-Road Equipment

2009 Illinois Clean Diesel State Allocation Budget

Technology	Number	Estimated Unit Cost	% Match Req	Amount of Unit Match	Amount Charged to Grant	Total Project			
						Cost	% of Grant		
DOC	60	\$1,700	0	0	\$102,000	\$102,000	6.9%	3.5%	
DOC & CCV	44	\$2,300	0	0	\$101,200	\$101,200	6.8%	3.5%	
DPF	12	\$8,500	0	0	\$102,000	\$102,000	6.9%	3.5%	
DPF & CCV	15	\$9,000	0	0	\$135,000	\$135,000	9.1%	4.6%	
DMF & CCV	15	\$7,000	0	0	\$105,000	\$105,000	7.1%	3.6%	
DFH	25	\$4,500	0	0	\$112,500	\$112,500	7.6%	3.8%	
APU	25	\$9,200	30	\$2,760	\$161,000	\$230,000	10.9%	7.9%	
Diesel Hybrid	12	\$120,000	75	\$90,000	\$360,000	\$1,440,000	24.3%	49.2%	
REP	20	\$30,000	50	\$15,000	\$300,000	\$600,000	20.3%	20.5%	
Total						\$2,927,700	\$2,927,700	100.0%	100.0%

Target Amount: \$1,478,921

Total Match: \$1,449,000

With the projects resulting from this workplan, the Illinois EPA, the American Lung Association of Illinois (ALAI), and the Respiratory Health Association of Metropolitan Chicago (RHA) will stay in communication with the members of the Illinois Clean Diesel Workgroup, the vendors, and the fleet applicants that are involved with these projects. We anticipate that the project applications will be received starting in April 2009 and will continue into early 2010. We anticipate that implementation and completion for all projects will take place from June 2009 through March 2010. We understand the urgency of spending the economic stimulus funding for this year's Diesel Emission Reduction Act funding program. We will be very active in soliciting, accepting, reviewing, and processing applications for various projects to spend down the \$1.47 million for clean diesel projects. As part of this process, we will request from the vendors and applicants the approximate dates of project initiation and completion, and the grant will be issued when the vendor's price quote is received and the Illinois Clean Diesel Grant or Illinois Clean School Bus application is provided by the applicant. When the project work is done, we will request documentation from the vendor and fleet applicant that the work was completed. As part of the monitoring and project verification, we will follow up with each of the applicants, and, for some projects, site visits will be conducted by the Illinois EPA, ALAI, or RHA to make sure that the project was completed and the applicants are satisfied with the results. In addition, we will ensure that quarterly reports and other grant documentation are completed and submitted on-time to U.S. EPA.

Job Creation/Retention

The diesel engine and equipment manufacturing, along with the diesel retail sales industry, are very important to Illinois' economy. Caterpillar, Navistar, and John Deere are three major diesel engine and equipment manufacturers headquartered in our state. We anticipate that the state allocation funding for Illinois and all the other states will help support Illinois' diesel engine and manufacturing industries. We believe that this diesel stimulus funding will at least help to retain jobs, and possibly create some new jobs. The Illinois EPA will make every effort to track job retention and creation as part of the reporting requirements to U.S. EPA.

At the current time, the Illinois EPA will be sub-contracting with the American Lung Association of Illinois and the Respiratory Health Association of Metropolitan Chicago to help with project implementation, follow-up, outreach, and reporting. Both sub-contracts will collectively help support and retain five jobs. In addition, the Illinois EPA is considering the hiring of an Environmental Protection Specialist, a technical person in the Division of Mobile Source Programs. If approved, this person will provide assistance in applying for federal clean diesel funding and clean diesel project implementation in the Illinois Clean Diesel Grant Program, the Illinois Clean School Bus Program, and the other motor vehicle and fuel programs within the division.

Emission Reductions

The table below summarizes the emissions reductions resulting from the various types of technologies affecting an estimated 228 clean diesel vehicles in this workplan. Particulate matter (PM_{2.5}) and nitrogen oxides (NOx) have been calculated since these are the two more prominent pollutants resulting from the combustion of diesel fuel. The total particulate matter reductions are 0.93 tons per year and for NOx, 12.3 tons per year. The reductions for the useful life of the vehicles are 12.07 tons for particulate matter and 163.89 tons for NOx. These reductions will help improve air quality in the nonattainment areas and other parts of the state.

2009 Illinois State Allocation Project Emissions Reductions Estimates

Technology	# Vehicles Affected	PM reduced (TPY)	Lifetime PM Reduced	NOx Reduced (TPY)	Lifetime NOx Reduced
DOC	60	0.13	1.64	0.00	0.00
DOC & CCV	44	0.11	1.50	0.00	0.00
DPF	12	0.10	1.42	0.00	0.00
DPF & CCV	15	0.15	1.95	0.00	0.00
DMF & CCV	15	0.09	1.05	0.00	0.00
DFH	25	0.03	0.39	1.05	13.99
APU	25	0.20	2.78	8.95	119.25
Diesel Hybrid	12	0.05	0.50	0.86	11.50
Repower	20	0.08	0.84	1.44	19.16
	228	0.93	12.07	12.30	163.89

DMF = Diesel Multi-Stage Filter (flow through filter)

CCV = Closed Crankcase Ventilation

DOC = Diesel Oxidation Catalyst

DPF = Diesel Particulate
Filter

DFH = Direct Fired Heater

APU = Auxiliary Power Unit

Administrative Activities

The Illinois EPA is subcontracting with the ALA of Illinois (Springfield) and the Respiratory Health Association (RHA of Chicago) on this workplan. The three organizations will be coordinating on several project-related activities and tasks. The total administrative cost for the three organizations is \$251,079. The tasks include: Soliciting projects, responding to inquiries, explaining the application process, communicating with fleet managers and vendors, addressing project issues, monitoring and documenting project implementation and completion, developing and submitting the required quarterly reports, conducting site visits for certain projects (especially those involving scrapping replaced vehicles/engines), and developing and hosting at least three clean diesel seminars in the Chicago area and “downstate.” The workload will be divided, with the RHA primarily handling direct relations with the Chicago area projects, the ALA handling direct relations with the downstate projects, and the IEPA administering and overseeing the projects throughout the state.

Timeline

Date	Activity
April 2009 (continuous)	Solicit applications (IEPA, ALAI, RHA, ICDW)
May 2009	Issue grants for 1st round of approved applications
June 2009	Conduct workshop in Chicago area, Qrtly. Report
August 2009	Conduct workshop in Central IL
September 2009	Issue grants for 2nd round of approved applications
September/October 2009	Conduct workshops for schools in Chicago area/downstate, Qrtly. Report
December 2009	Issue grants for 3rd round of approved applications, Qrtly. Report
February 2010	Evaluate remaining funds (if any) and develop approach for soliciting specific projects
May 2010	Complete last of projects, final reporting

Program Priorities

- X** The State Program will ensure that the programmatic priorities listed below as outlined in the Energy Policy Act of 2005, Subtitle G will be met to the extent practicable:
1. Maximize public health benefits;
 2. Are the most cost-effective;
 3. Are in areas with high population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns);
 4. Are in areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions;
 5. Include a certified engine configuration or verified technology that has a long expected useful life;
 6. Maximize the useful life of any certified engine configuration or verified technology used or funded by the eligible entity;
 7. Conserve diesel fuel; and
 8. Utilize ultra low sulfur diesel fuel (15 parts per million of sulfur content) ahead of EPA's mandate (for nonroad projects).
- X** The State will ensure that, per the Recovery Act, grant activities preserve and/or create jobs and promote economic recovery. The State should also commence expenditures and activities as quickly as possible consistent with prudent management when implementing this grant and/or loan program.
- X** The State Program understands that all proposals must support Goal 1 of EPA's 2006-2011 Strategic Plan, Clean Air and Global Climate Change; Objective 1.1: Healthier Outdoor Air, which states, "Through 2011...[EPA will]...protect human health and the environment by attaining and maintaining health-based air-quality standards and reducing the risk from toxic air pollutants." See <http://www.epa.gov/cfo/plan/plan.htm> for more information on EPA' Strategic Plan.
- Check this box if the proposed project involves environmentally related measurements or data generations that would need quality assurance and quality control plans and procedures as pursuant to 40 CFR 31.45.

Reporting

- X** The State Program understands that reporting will at least be quarterly and additional reporting may be required for these special Recovery Act grants. Reporting requirements will be detailed in the grant Terms and Conditions.

2009 Illinois State Allocation Administration Budget

Illinois Environmental Protection Agency

<u>Title</u>	<u>FTE</u>	<u>Salary</u>	<u>Total Salary</u>	<u>Fringe</u>	<u>Total</u>
EPA					
PSA	0.4	77,167	30,867	15,218	46,085
EPS IV	0.2	83,076	16,615	7,948	24,563
EPS I	0.2	50,928	10,186	6,104	16,290
Office Associate	0.1	38,760	<u>3,876</u>	<u>2,703</u>	<u>6,579</u>
			61,544	31,973	93,517
Indirect Rate 29.48%					27,569
Total Staff Pay IEPA					121,085

Travel

Hotels - 5 nights @ \$170 per night					850
Parking - 5 nights @ \$40 per					200
Perdiem - 5 days @ \$28					140
MCDI Mtg in Chicago 2 people 1 night in Chicago					436
Total Travel IEPA					1,626
Total IEPA					122,711

American Lung Association of Illinois

Personal Services

Project Manager	0.5	48925	24,463	6,116	30,578
Project Coordinator	0.25	39140	9,785	2,446	12,231
Project Coordinator	0.25	39140	9,785	2,446	12,231
Total Staff Pay ALA					55,041

Travel

10 media events/project sites	3275 miles @ .505				1,654
Hotels - 5 nights @ \$100 per night					500
Parking					75
Perdiem - 10 days @ \$28 per day					280
MCDI Mtg in Chicago 2 people 1 night in Chicago					436
Total Travel ALA					2,945
Total ALA					57,986

Respiratory Health Association of Metropolitan Chicago

Personal Services

Project Manager	0.5	68,103	34,052	7,321	41,373
Project Coordinator	0.5	45,304	22,652	4,870	27,522
Total Staff Pay RHA					68,895

Travel

10 media events/projects sites 1500 miles @ .505					757
Hotels - 3 nights @ \$100 per night					300
Parking					150
Perdiem - 10 days @ \$28 per day					280
Total Travel RHA					1,487

Total RHA **70,382**

Total ALA & RHA Contractual **128,367**

TOTAL GRANT ADMINISTRATION BUDGET **251,079**

Overall Project Budget

Budget Category	EPA Allocation
1. Personnel	\$61,544
2. Fringe Benefits	\$31,973
3. Travel	\$1,626
4. Supplies	
5. Equipment	
6. Contractual	\$128,367
7. Other	\$1,478,921
Total Direct Charges	\$1,702,431
8. Indirect Charges 29.48%	\$27,569
Grand Total	\$1,730,000

Personnel	Allocation
Public Service Administrator - 40% FTE Salary 77,167	\$30,867
Rogers - 20% FTE Salary 83,076	\$16,615
EPS I - 20% FTE Salary 50,928	\$10,186
Gilliland - 10% FTE Salary 38,760	\$3,876

Fringe Benefits	Allocation
Insurance - \$15,600/yr * FTE of Salary	\$14,310
Retirement - 21.05% of Salary	\$12,955
FICA - 7.65% of Salary	\$4,708

Travel	Allocation
Hotel - 5 nights @ \$170	\$850
Parking - 5 nights @ \$40	\$200
Perdiem - 5 days @ \$28	140
MCDI Mtg in Chicago 2 people 1 night	436

Contractual	Allocation
Contractor assistance: Soliciting projects, responding to inquiries, communicating with applicants and submitting quarterly reports	\$128,367

Project Funding	Allocation
Clean Diesel Sub-Grant Funding	\$1,478,921

Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

* 2. Type of Application:

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

* Other (Specify)

* 3. Date Received:

Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

* 5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: Illinois Environmental Protection Agency

* b. Employer/Taxpayer Identification Number (EIN/TIN):

01-0572642

* c. Organizational DUNS:

807648654

d. Address:

* Street1: 1021 N Grand Avenue East

Street2:

* City: Springfield

County:

* State: Illinois

Province:

* Country: United States

* Zip / Postal Code: 62702

e. Organizational Unit:

Department Name:

Bureau of Air

Division Name:

Budget and Grants

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: * First Name: Michael

Middle Name:

* Last Name: Biggs

Suffix:

Title: Budget and Grants Manager

Organizational Affiliation:

* Telephone Number: 217-785-1741

Fax Number: 217-782-2465

* Email: mike.biggs@illinois.gov

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

United States Environmental Protection Agency

11. Catalog of Federal Domestic Assistance Number:

66.040

CFDA Title:

Recovery Act Funding for State Clean Diesel Grant Program

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Statewide

*** 15. Descriptive Title of Applicant's Project:**

Provide assistance for various types of clean diesel project for school buses, transit or passenger buses, delivery trucks, work trucks, and over-the-road semi-trucks.

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="\$1,730,000.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="\$1,730,000.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**** I AGREE**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: _____ * Date Signed: _____

Application for Federal Assistance SF-424

Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<p>Type of Submission: (Required): Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	<p>Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>
		11.	<p>Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
2.	<p>Type of Application: (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	12.	<p>Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p>Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p>Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.</p>
3.	<p>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p>Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.</p>
4.	<p>Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.</p>		
5a.	<p>Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.</p>	16.	<p>Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district.</p> <ul style="list-style-type: none"> • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	<p>Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.</p>		
6.	<p>Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.</p>		
7.	<p>State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.</p>		
8.	<p>Applicant Information: Enter the following in accordance with agency instructions:</p> <p>a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p>b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p>c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the</p>	17.	<p>Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.</p>
		18.	<p>Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>
		19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the</p>

	<p>assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>		<p>State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>																								
20.			<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 420 844 997"> <tr> <td data-bbox="154 420 503 451">A. State Government</td> <td data-bbox="511 420 844 493">M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 451 503 483">B. County Government</td> <td data-bbox="511 493 844 567">N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 483 503 514">C. City or Township Government</td> <td data-bbox="511 567 844 619">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="154 514 503 546">D. Special District Government</td> <td data-bbox="511 619 844 651">P. Individual</td> </tr> <tr> <td data-bbox="154 546 503 577">E. Regional Organization</td> <td data-bbox="511 651 844 682">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="154 577 503 609">F. U.S. Territory or Possession</td> <td data-bbox="511 682 844 714">R. Small Business</td> </tr> <tr> <td data-bbox="154 609 503 640">G. Independent School District</td> <td data-bbox="511 714 844 745">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="154 640 503 672">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="511 745 844 777">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="154 672 503 703">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="511 777 844 808">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="154 703 503 735">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="511 808 844 840">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="154 735 503 766">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="511 840 844 871">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="154 766 503 798">L. Public/Indian Housing Authority</td> <td data-bbox="511 871 844 903">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)																										
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BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. State Clean Diesel	66.040	\$ 1,730,000.00	\$	\$	\$	\$ 1,730,000.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 1,730,000.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,730,000.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ 61,544.00	\$	\$	\$	\$ 61,544.00
b. Fringe Benefits	31,973.00				31,973.00
c. Travel	1,626.00				1,626.00
d. Equipment					0.00
e. Supplies					0.00
f. Contractual	128,367.00				128,367.00
g. Construction					0.00
h. Other	1,478,921.00				1,478,921.00
i. Total Direct Charges (sum of 6a-6h)	1,702,431.00	0.00	0.00	0.00	1,702,431.00
j. Indirect Charges	27,569.00				27,569.00
k. TOTALS (sum of 6i and 6j)	\$ 1,730,000.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,730,000.00

7. Program Income	\$	\$	\$	\$	\$ 0.00
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SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$ 0.00
9.				0.00
10.				0.00
11.				0.00
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 900,000.00	\$ 150,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00
14. Non-Federal	0.00				
15. TOTAL (sum of lines 13 and 14)	\$ 900,000.00	\$ 150,000.00	\$ 250,000.00	\$ 250,000.00	\$ 250,000.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$ 830,000.00	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16-19)	\$ 830,000.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Line 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.