

SAN JOAQUIN VALLEY  
AIR POLLUTION CONTROL DISTRICT

# HEAVY-DUTY ENGINE PROGRAM

## PAYMENT PROCEDURES

This document is designed to provide Heavy-Duty Engine Program participants with the required instructions and guidance for the successful completion of a Claim for Payment Packet for their project. The applicant has sixty (60) days following the expiration of the agreement completion phase to turn in a Claim for Payment Packet. Claim for Payment Packets must be received during this timeframe to be eligible for reimbursement.

SJVAPCD staff is available to answer questions and to provide assistance to participants regarding these procedures. It is advisable that you read the entire Payment Procedures document and executed agreement in order to fully understand the grant requirements. All questions regarding payment procedures should be directed to:

Thomas Astone  
or Jeff Riding

E-mail: [thomas.astone@valleyair.org](mailto:thomas.astone@valleyair.org) or  
[jeffrey.riding@valleyair.org](mailto:jeffrey.riding@valleyair.org)

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Emission Reduction Incentive Program  
1990 East Gettysburg Avenue  
Fresno, CA 93726-0244

Telephone (559) 230-5800  
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## REIMBURSEMENT

The participant shall be **reimbursed** (as per agreement), after receipt and verification of a properly supported Claim for Payment Packet and site visit by SJVAPCD staff. Reimbursement takes place after the reduced-emission technology is installed and in operating condition, and if applicable, the existing (old) engine is destroyed. The following steps must be taken in order to qualify for reimbursement:

### ❖ Claim for Payment Packet (Reimbursement Only)

In order to be reimbursed, participants must submit a complete Claim for Payment Packet. This packet must include a Claim for Payment Form, copy of an itemized invoice, an Existing (Old) Engine Status Form, and a current certificate of insurance. **Only** the SJVAPCD Heavy-Duty Engine Program Claim for Payment form is accepted; a Claim for Payment Form is included in this document for your use. As a matter of policy, the SJVAPCD does not provide advance payments to participants or pay third parties.

All Claim for Payment Forms must be **dated** and **signed** by the **contract signing authority** or they will be returned to the participant. The contract signing authority is the same individual who signed the project contract. Along with the submission of the Claim for Payment Form, the participant must provide an itemized invoice indicating that the installation work has been completed and that the participant is the owner/recipient of the reduced-emission technology. If applicable, the Existing (Old) Engine Status Form must be signed and submitted, indicating which disposal method was utilized for the existing (old) engine. The participant must also submit necessary supporting documentation depending on the disposal method chosen. The insurance section of the agreement requires that the participant provide the SJVAPCD with a current certificate of insurance in types and amounts approved by the SJVAPCD prior to any payment of funds.

Approximately one year after incentive funds have been issued, the participant will receive an Internal Revenue Service (IRS) Form 1099. For information about the tax implications related to the received incentive funds, please consult your tax advisor, as the SJVAPCD does not provide tax advice.

### ❖ Site Visits

All participants will undergo a site visit by SJVAPCD staff prior to any reimbursement. The purpose of the site visit is to verify that the reduced-emission technology has been installed or placed into service, and if applicable, the existing (old) engine was properly disposed in accordance with the terms of the agreement. The availability of fueling infrastructure will be verified for alternative fuel engines. Furthermore, SJVAPCD staff may request to take photographs and/or videos of project(s). The submission of a complete Claim for Payment Packet triggers the site visit, which must be completed before incentive funds can be released. The SJVAPCD retains the right to hold **additional** site visits at any time during the Project Life phase.

## EXISTING (OLD) ENGINE DISPOSAL OPTIONS

The purpose of this memorandum is to outline the options for disposing the existing (old) engines replaced through the SJVAPCD Heavy-Duty Engine Program. When applicable, the disposition of the old engine will be physically inspected and verified by SJVAPCD staff **prior** to the disbursement of any incentive funds.

### ❖ Off-Road, On-Road, and Agricultural Pump Engines

Participants that have replaced off-road, on-road, or agricultural pump engines through the SJVAPCD Heavy-Duty Engine Program may choose to dispose of their old engines in one of the two following ways:

1. Participants may permanently disable the old engine by punching or knocking a hole in the crankcase of the engine block that measures at least six (6) inches in diameter. **This is the only disposal option available for engines without valid, traceable serial numbers, or when serial numbers are worn or partially missing.** When punching or knocking a hole in the crankcase of the engine block, applicants should avoid destroying the District project number stamped on the engine block. The District inspector will need to verify and photograph the District project number stamped on the engine block during the post-inspection phase. Please refer to the photographs on the following page for examples of properly disabled engines. The participant may remove peripheral accessories of the engine, including starters, alternators, radiators, etc., prior to disabling the engine. The SJVAPCD will then verify the disposal.
2. Participants may send the old engine to be crushed/recycled at a licensed metal recycling or scrapping facility. The SJVAPCD will require proper supporting documentation including a receipt from the recycling or scrapping facility and signed by an authorized employee of the company. The receipt **must** indicate engine serial numbers and model numbers as well as the name, address, and the telephone number of the recycling/scrapping facility.

Under the SJVAPCD Heavy-Duty Engine Program, existing (old) engines cannot be sold, within California or out of State, or relocated to another area of the applicant's property. All existing (old) engines participating in the Program can only be disposed of by either of the two above mentioned methods.

The applicant must certify that the existing (old) engine was permanently removed from service. It is the applicant's responsibility to ensure that the existing (old) engine does not get placed back into service. If the existing (old) engine is found to be operational at any time after inspection, the applicant will be subject to enforcement action by the District, including repayment of incentive funds, civil penalties, and any other legal action deemed appropriate.

Examples of Properly Disabled Engine Blocks



## STEP-BY-STEP CLAIM FOR PAYMENT GUIDANCE

This section outlines the information required for each field of the Claim for Payment Form. Once the fields listed below have been completely filled out, please **sign and date** the Form. This will complete your Claim for Payment Form. Please individually list each reduced-emission technology that you have purchased while under agreement on the Claim for Payment Form for which you are seeking reimbursement. For additional spaces, please make a copy of the Claim for Payment Form or obtain an additional copy of the Form from [www.valleyair.org](http://www.valleyair.org). Only originally signed Forms are accepted; therefore, subsequent copies of Claim for Payment Forms must have original signatures as well. If you need additional assistance, please contact the Emission Reduction Incentive Program and a staff member will assist you. **Do not write in the shaded areas of the form.**

### ❖ Project Number

The number that the SJVAPCD assigned to your project; this information can be found in your agreement.

### ❖ Payee

The organization, company, or proprietor's legal name that entered into agreement with the SJVAPCD. This information was entered into Section 1 of the application and must be **identical** to the information on the Form W-9.

### ❖ Address

The mailing address used by the organization, including the city, state, and zip code. Reimbursement checks from the District will be mailed to the address provided here.

### ❖ Check Box

Check the classification of the organization that is listed under payee.

### ❖ Federal Tax I.D. # or Social Security #

Taxpayer Identification Number (TIN), entered in Section 1 of the application, in the form of an employer identification number, or a social security number. **The organization's name and TIN or SSN will be used to report incentive funding to the IRS.** The SJVAPCD cannot give tax advice, as such, please contact a tax professional or the IRS to determine the tax consequences associated with receiving incentive funding.

### ❖ Telephone #

The main phone number, including area code, for the primary contact.

### ❖ Fax #

The fax number, including area code, for the primary contact.

### ❖ Date

Enter the date as it appears on the invoice from the new engine/retrofit/vehicle purchase.

### ❖ New Engine Model and Serial Number

The model and serial number of the new engine purchased. For retrofit or new vehicle purchase projects, please list the model number and serial number of the retrofit or vehicle purchased.

### ❖ Amount Paid

The amount paid for the engine/retrofit/vehicle as it appears on the invoice.

## CLAIM FOR PAYMENT PACKET CHECKLIST

When submitting a request for payment, submit a **complete** Claim for Payment Packet. An incomplete Claim for Payment Packet will lengthen the processing time and delay reimbursement of funding. Please include the following items in the packet:

- Completed and **signed** SJVAPCD Heavy-Duty Engine Program **Claim for Payment Form**. The same individual who signed the contract with the SJVAPCD must also sign the Claim for Payment Form. All Forms submitted must have original signatures.
- Copies of **proof of expenditure** –itemized invoices, cancelled checks, receipts, etc.
  - For applicants who are simultaneously participating in the AG-ICE or TOU-PA-ICE program, copies of cancelled checks or receipts from the utility company which indicate the total amount invoiced and paid in line extension costs, must also be submitted in order for the District to reimburse the applicant for that portion of the agreement.
- Completed and **signed Existing (Old) Engine Status Form** and supporting documents.
  - For existing (old) engines that were crushed or recycled, the applicant must submit a receipt from the scrapping facility which indicates the name, address, and phone number of the scrapping facility. The receipt must include the serial number of the existing (old) engine and the receipt must be signed by authorized personnel from the scrapping facility.
- Copy of **Certificate of Insurance** (ACORD Form 25). The Certificate of Insurance must indicate a current policy period.



# San Joaquin Valley Air Pollution Control District Heavy-Duty Engine Program - Claim for Payment

Project Number:

Payee : \_\_\_\_\_  
 Address : \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Please check one of the following :	<input type="checkbox"/> Corporation
	<input type="checkbox"/> Partnership
	<input type="checkbox"/> Sole Proprietor
	<input type="checkbox"/> Government

Federal Tax I.D. # : \_\_\_\_\_  
 Social Security # : \_\_\_\_\_  
 Telephone # : \_\_\_\_\_  
 Fax # : \_\_\_\_\_

Date	New Engine Model (List each engine separately)	Serial Number	Amount Paid	Grant Amount
<b>Total Claim</b>				\$ -

Signature of Signing Authority \_\_\_\_\_ Date \_\_\_\_\_

<b>For District Use Only</b>	
SJVUAPCD Approval _____	Date _____
<b>Administrative Services Use Only</b>	
Audited By _____	Date _____
Reviewed By _____	Date _____

Division Abbr.	#	CY = 1 PY = 2	Account Number	Sub Acct.	Amount
	91				
Vendor Number : _____					<b>Total</b>

\*\*DO NOT WRITE IN SHADED AREAS\*\*

## STEP-BY-STEP EXISTING (OLD) ENGINE STATUS GUIDANCE

This section outlines the information required for each field of the Existing (Old) Engine Status Form. Once the **fields listed** below have been completely filled out, please **sign and date** the Form. The contract signing authority or the designated contact person for the project may sign the Form. This will complete your Existing (Old) Engine Status Form. Please fill out a separate Form for each engine that you have disposed of while under agreement. For additional Forms, please photocopy the attached Existing (Old) Engine Status Form or obtain an additional copy of the Form from [www.valleyair.org](http://www.valleyair.org). All additional Existing (Old) Engine Status Forms must also be signed and dated. If you need additional assistance, please contact the Emission Reduction Incentive Program and a staff member will assist you.

### ❖ Project Number

The number that the SJVAPCD assigned to your project; this information can be found in your agreement.

### ❖ Contact Name

The first and last name of the person that serves as the primary contact to the SJVAPCD through the project/agreement life.

### ❖ Phone Number

The main phone number, including area code, for the primary contact.

### ❖ Fax Number

The fax number, including area code, for the primary contact.

### ❖ Existing (Old) Engine Serial Number

The serial number of the engine being disposed of as listed on the application.

### ❖ The existing (old) engine was

Please check the type of engine being disposed.

### ❖ Tier level of existing (old) engine

Please check the tier level of the engine being disposed.

### ❖ The existing (old) engine was disposed of by one of the following methods

Please check which type of disposal method was employed in the destruction of the existing (old) engine.



**EXISTING (OLD) ENGINE STATUS FORM**

Please submit this form along with your Claim for Payment. Supporting documentation related to the disposal of the existing (old) engine and/or existing (old) vehicle must be provided by the participant and/or engine dealer or vehicle dismantler.

\*\*\*COMPLETE A SEPARATE SHEET FOR EACH ENGINE\*\*\*

Project Number: «Title»	
Contact Name:	
Phone Number: (     )	Fax Number: (     )

Existing (Old) Engine Serial Number: \_\_\_\_\_

Participant/engine dealer/dismantler attests that the replaced existing (old) engine has been permanently removed from operation.

The existing (old) engine was:

- An Off-Road or Agricultural Pump Engine
- An On-Road Engine

Tier level of existing (old) engine:

- Uncontrolled (Tier 0) or Tier 1
- Tier 2

The existing (old) engine was disposed by one of the following methods:

- Engine was permanently disabled by punching a hole six (6) inches in diameter through the engine block. Verification by SJVAPCD staff is required prior to reimbursement. **Engines with unknown serial numbers must be disposed of by this method.**
- Engine was crushed/recycled. Written verification in the form of a receipt, showing the engine serial number, from a scrap metal recycling facility is attached.

I hereby certify that all the information provided on this form and any attachments are true and correct to the best of my knowledge.

Printed Participant Name:	Title
Participant Signature:	Date:
<b>Complete this section if engine dealer/dismantler takes possession of existing (old) engine:</b>	
Printed Name of Engine Dealer/Dismantler:	Title:
Engine Dealer/Dismantler Signature:	Date: