



United States
Environmental Protection Agency
Office of Air and Radiation, Office of Transportation and Air Quality

Installation Audit Report for Locomotives (§1033.335)

Last Revision: August 2018 Version Number: 1.1.1

Installation Audit Submissions -- INSTRUCTIONS

An important component of the Locomotive Part 1033 requirements is the Installation Audit Program (40 CFR §1033.335). Manufacturers must audit the remanufacture of locomotives covered by their certificates of conformity for proper components, component settings and component installations on randomly selected locomotives in an engine family. EPA has created an Excel-based template to help standardize the process by which manufacturers submit the results of these audits.

The 16 fields included in the Installation Audits worksheet are described below. Manufacturers must document that all emission related components on a remanufactured locomotive are properly installed and are set to the proper specifications. Audits performed by the owners/operators of the locomotives are acceptable provided they are performed in accordance with the provisions of 1033.335 (affidavits for these audits may be requested by EPA staff).

The first five fields at the top of the worksheet pertain to general information including: Model Year, Manufacturer, Total Annual Production, Audit Sample Size, and Location and Description of Audit Facilities. The 11 columns in the main table require additional data entry or input from the manufacturer for each engine family being audited. The "Field Descriptions" worksheet contains detailed notes on each of the 16 fields in the Installation Audits worksheet, including a description of the required data or information, how the data should be entered, the existence of any drop-down menus, and any other information that would be relevant to that field (including whether the field is dependent on preceding entries in the spreadsheet).

In accordance with 40 CFR 1033.335(b), manufacturers must audit at least five percent of the annual production per model year per installer, or ten per engine family per installer, whichever is less. Also, in accordance with 40 CFR 1033.335(e) if a remanufactured locomotive fails an audit, then two additional locomotives must be audited from the next ten remanufactured in that engine family by that installer.

Field Descriptions

Field	Description
Model Year	Enter the 4-digit model year.
Manufacturer	Enter the Manufacturer.
Total Annual Production	Enter the total annual production for all engine families.
Audit Sample Size	Enter the audit sample size. In accordance with 40 CFR 1033.335(b), manufacturers must audit at least five percent of the annual production per model year per installer, or ten per engine family per installer, whichever is less.
Location and Description of Audit Facilities	The location and description of your audit facilities which were utilized to conduct auditing.
Engine Family	Enter the 12-character engine family name or test group name.
Tier	Use the drop-down to select Tier 1, Tier 2, Tier 3, or Tier 4.
Configuration	Describe the configuration of the audited locomotive.
Model/Make	Enter the model and/or make of the audited locomotive.
Build Date	Enter the build date of the audited locomotive.
Remanufacture Date	Enter the remanufacture date of the audited locomotive.
Locomotive ID#	Enter the locomotive identification number.
Engine ID#	Enter the engine identification number.
Audit #	Enter the audit number. Assign a unique number for each individual audit (sequentially).
Pass/Fail	Use the drop-down to select Pass or Fail.
Comments	This field may be used to enter in any additional information regarding special circumstances or characteristics associated with the installation audit.

Paperwork Reduction Act Notice

The public reporting and recordkeeping burden for this collection of information is estimated to average 30 hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

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Installation Audit Summary

This template may be used to document that all emission related components on a remanufactured locomotive are properly installed on the locomotive and are set to the proper specification. Audits performed by the owners/operators of the locomotives are acceptable provided they are performed in accordance with the provisions of 1033.335 (affidavits for these audits may be requested by EPA staff).

MODEL YEAR:		Location & Description of Audit Facilities
Manufacturer:		
Total Annual Production:		
Audit Sample Size*:		

***NOTE:** *In accordance with 40 CFR 1033.335(b), audit at least five percent of your annual production per model year per installer, or ten per engine family per installer, whichever is less. Also, in accordance with 40 CFR 1033.335(e) if a remanufactured locomotive fails an audit, then you must audit two additional locomotives from the next ten remanufactured in that engine family by that installer.*

Engine Family	Tier	Configuration	Model/Make	Build Date	Remanufacture Date	Locomotive ID#	Engine ID#	Audit #	Pass/Fail	Comments

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