



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

Replacement Engine Exemption Report

Version Number: 1.0 Last Revision: September 2017

Manufacturer Data Submission Template -- INSTRUCTIONS

I About

This template is for manufacturers of nonroad engines and heavy-duty highway engines to report the number of engines produced under the replacement engine exemption found at 40 CFR 1068.240. This report is required for any model year in which you produced replacement engines under the untracked option described in 40 CFR 1068.240(c). It is optional for reporting/tracking replacement engines for a given model year if you do not produce replacement engines under 40 CFR 1068.240(c).

II Instructions for completing this form

1. For purposes of counting exempt engines for this form consider the model year to be the same as the calendar year. For example, if you made exempt engines anytime from January 1, 2016 through December 31, 2016, count those as exempt engines for model year 2016.
2. Use the date of crankshaft installation as the date of manufacture for counting exempt engines (see 40 CFR 1068.30).
3. Determine total production volumes for calculating the percentage of exempt replacement engines as described in the footnote on the form.
4. If there are other unusual circumstances, such as engines converted to replacement status after initially being shipped under a different status, provide a basic description of those circumstances in the comments field.

III Instructions for submitting this form

1. Use the following file naming convention: [Mfr Code]-[MY]-Replacement Engine Report.xlsx; for example, use XYZ-16-Replacement Engine.xlsx for XYZ company reporting in 2017 for their 2016 production. Submit an original Excel file, not a pdf version or a different version of the file.
2. The report is due on September 30 following the year you produced the engines.
3. Log in to Verify at <http://cdx.epa.gov/warning.asp>. Follow the instructions to log in. Once in the "MyCDX" page, click on the link titled "VERIFY: Upload Compliance Documents." Complete all of the required fields on the submission page. Use the compliance document type "Replacement Engine Exemption Notification" for the submission. After the submission page is filled out, select "Review & Submit," then select "Finalize."
4. Confirm submission. After submitting the document, you will receive a message in your CDX inbox stating whether the document was accepted or rejected. If your submission was rejected, the message will also give a reason why it was rejected. It may take a few minutes for the message to arrive in your CDX inbox. Your CDX inbox can be accessed through the left navigation bar through the "Inbox" link.

IV Corrections

1. If you submit a report and find later that you need to submit updated or corrected information, submit the complete report and identify the type of submission as "corrected." Describe the nature of the updated or corrected information in the comments field.



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This report is due on September 30 of the year after the model year in which you produced exempted replacement engines. Submit this completed worksheet in Verify (see instructions tab).

General Information

Manufacturer Name: **Environmental Protection Agency**
 Manufacturer Code: EPA
 Model Year: **2016**

Date:
 Type of submission:

Comments:

Replacement Engine Summary

Category	Subcategory	§1068.240(b)	§1068.240(c)		§1068.240(e)	
		Previous-tier replacement engines with tracking*	Previous-tier replacement engines without tracking	Production volume**	Percent untracked	Partially complete current-tier replacement engines
Example	Example	10	9	2521	0.4%	25
Heavy-Duty Highway SI 40 CFR parts 86 and 1036	All engines					
Heavy-Duty Highway CI 40 CFR parts 86 and 1036	disp. < 0.6 L/cyl					
	0.6 ≤ disp. < 1.2 L/cyl					
	disp. ≥ 1.2 L/cyl					
Nonroad CI, Stationary CI, and Marine CI 40 CFR parts 1039 and 1042	disp. < 0.6 L/cyl					
	0.6 ≤ disp. < 1.2 L/cyl					
	1.2 ≤ disp. < 2.5 L/cyl					
Marine SI 40 CFR part 1045	Outboard					
	Personal watercraft					
Large SI, Stationary SI, and Marine SI (sterndrive/ inboard only) 40 CFR parts 1045 and 1048	All engines					
Recreational vehicles 40 CFR part 1051	Off-highway motorcycle					
	All-terrain vehicle					
	Snowmobile					
Small SI and Stationary SI 40 CFR part 1054	Handheld					
	Class I					
	Class II					

*Note that engines exempted under the tracked option in §1068.240(b) are subject to demonstrations and limitations as specified in the regulation. Manufacturers need to keep records related to these demonstrations as described in §1068.240(b)(2)(iv).

**Determine the appropriate production volume by identifying the highest total annual U.S.-directed production volume of engines from the previous three model years for all your certified engines from each category and subcategory. You may include stationary engines and exempted engines as part of your U.S.-directed production volume. Include U.S.-directed engines produced by any affiliated companies and those from any other companies you license to produce engines for you. You may use a lower-bound estimate of your production volumes to account for any uncertainty.

Paperwork Reduction Act Notice	EPA Form 6900-5414
The public reporting and recordkeeping burden for this collection of information is estimated to average 1.5 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 (2060-0369) in any correspondence. Do not send the completed form to this address.	For Compression Ignition Engines: OMB No. 2060-0287 Expiring on 8/31/2018. For spark-ignition engines: OMB No. 2060-0338 Expiring on 10/31/2019.