



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

Replacement Engine Exemption Report

Version Number: 1.0.2 Last Revision: October 2021

Manufacturer Data Submission Template -- INSTRUCTIONS

I About

This template is for manufacturers of heavy-duty highway engines and nonroad engines regulated under 40 CFR parts 1036, 1039, 1042, 1045, 1048, 1051, and 1054 to report the number of engines produced under the replacement engine exemption found at 40 CFR 1068.240. This report is required for any calendar 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 calendar 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.
5. For each report with exempt engines under 1068.240(c), you must also include the total number of complete and partially complete replacement engines you produced under paragraphs (b) and (e), including any replacement marine engines subject to reporting under 40 CFR 1042.615.

III Instructions for submitting this form

1. Use the following file naming convention: [Mfr Code]-[YR]-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. Follow the EV-CIS submission instructions posted at this web page: <https://www.epa.gov/ve-certification/template-replacement-engine-exemption-report>. You may associate the document with any industry for which your company produced untracked replacement engines during the reporting period.

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.



US Environmental Protection Agency
Office of Transportation and Air Quality

Modified Replacement Engine Exemption Report

Version Number: 1.0.2 Last Revision: October 2021

This template is for manufacturers of heavy-duty highway engines and nonroad engines regulated under 40 CFR parts 1036, 1039, 1042, 1045, 1048, 1051, and 1054 to report the number of engines produced under the replacement engine exemption found at 40 CFR 1068.240. This report is required for any calendar year in which you produced replacement engines under the untracked option described in 40 CFR 1068.240(c). It is optional for reporting numbers of exempt replacement engines for a given year if you do not produce untracked replacement engines under 40 CFR 1068.240(c).

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

General Information

Manufacturer Name:
 Manufacturer Code:
 Calendar Year:

Date:
 Type of submission:

Comments:

Replacement Engine Summary

Category	Subcategory	§1068.240(b)	§1068.240(c)		§1068.240(e)	§1068.240(c)(3)(ii)	
		Previous-tier replacement engines with tracking*	Previous-tier replacement engines without tracking	Production volume**	Percent untracked	Partially complete current-tier replacement engines	Tracked replaced engines not yet recovered***
Example	Example	10	9	2521	0.4%	25	3
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						
	2.5 ≤ disp. < 7.0 L/cyl						
Marine CI 40 CFR part 1042	7.0 ≤ disp. < 30.0 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.

*** For purposes of this of this annual report, "recover" means dispose of in accordance with §1068.240(b)(3)

Paperwork Reduction Act Notice	
<p>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.</p>	<p>EPA Form 6900-5414</p> <p>For Compression Ignition Engines: OMB No. 2060-0287 Expiring on 3/31/2023.</p> <p>For Spark Ignition Engines: OMB No. 2060-0338 Expiring on 12/31/2025.</p>