

§ 86.007-15

40 CFR Ch. I (7-1-04 Edition)

standard listed in paragraph (a)(1) of this section by three engines.

(3) Manufacturers may initially base compliance with the phase-in requirements of paragraph (g)(1) or (g)(2) of this section on projected U.S.-directed production estimates. This is allowed for model year 2007 and/or 2008. However, if a manufacturer's actual U.S. directed production volume of engines that comply with the model year 2007 NO_x and NMHC standards is less than the required amount, the shortfall (in terms of number of engines) must be made up prior to 2010. For example, if a manufacturer plans in good faith to produce 50 percent of its projected 10,000 2007 engines (i.e., 5,000 engines) in compliance with the 2007 NO_x and NMHC standard, but is only able to produce 4,500 such engines of an actual 10,000 2007 engines, the manufacturer would need to produce an extra 500 engines in 2008 or 2009 in compliance with the 2007 NO_x and NMHC standard. The deficit allowed by this paragraph (g)(3) may not exceed 25 percent of the U.S. directed production volume.

(4) Manufacturers certifying engines to a voluntary NO_x standard of 0.10 g/bhp-hr (without using credits) in addition to all of the other applicable standards listed in paragraphs (a) and (c) of this section prior to model year 2007 may reduce the number of engines that are required to meet the standards listed in paragraph (a)(1) of this section in model year 2007, 2008 and/or 2009, taking into account the phase-in option provided in paragraph (g)(1) of this section. For every engine that is certified early under this provision, the manufacturer may reduce the number of engines that are required by paragraph (g)(1) of this section to meet the standards listed in paragraph (a)(1) of this section by two engines.

(5) For engines certified under paragraph (g)(1) of this section to the NO_x+NMHC standard in § 86.004-11, the standards or FELs to which they are certified shall be used for the purposes of paragraphs (a)(3) and (a)(4) of this section.

(h)(1) For model years prior to 2012, for purposes of determining compliance after title or custody has transferred to the ultimate purchaser, for engines having a NO_x FEL no higher than 1.30

g/bhp-hr, the applicable compliance limit shall be determined by adding the applicable adjustment from paragraph (h)(2) of this section to the otherwise applicable standard or FEL for NO_x.

(2)(i) For engines with 110,000 or fewer miles, the adjustment is 0.10 g/bhp-hr.

(ii) For engines with 110,001 to 185,000 miles, the adjustment is 0.15 g/bhp-hr.

(iii) For engines with 185,001 or more miles, the adjustment is 0.20 g/bhp-hr.

(3) For model years prior to 2012, for purposes of determining compliance after title or custody has transferred to the ultimate purchaser, the applicable compliance limit shall be determined by adding 0.01 g/bhp-hr to the otherwise applicable standard or FEL for PM.

[65 FR 59954, Oct. 6, 2000, as amended at 66 FR 5161, Jan. 18, 2001]

§ 86.007-15 NO_x and particulate averaging, trading, and banking for heavy-duty engines.

Section 86.007-15 includes text that specifies requirements that differ from § 86.004-15. Where a paragraph in § 86.004-15 is identical and applicable to § 86.007-15, this may be indicated by specifying the corresponding paragraph and the statement “[Reserved]. For guidance see § 86.004-15.”

(a)-(l) [Reserved]. For guidance see § 86.004-15.

(m) The following provisions apply for model year 2007 and later engines (including engines certified during years 2007-2009 under the phase-in provisions of § 86.007-11(g)(1), § 86.005-10(a), or § 86.008-10(f)(1)). These provisions apply instead of the provisions of paragraphs § 86.004-15 (a) through (k) to the extent that they are in conflict.

(1) Manufacturers of Otto-cycle engines may participate in an NMHC averaging, banking and trading program to show compliance with the standards specified in § 86.008-10. The generation and use of NMHC credits are subject to the same provisions in paragraphs § 86.004-15 (a) through (k) that apply for NO_x plus NMHC credits, except as otherwise specified in this section.

(2) Credits are calculated as NO_x or NMHC credits for engines certified to separate NO_x and NMHC standards. NO_x plus NMHC credits (including

banked credits and credits that are generated during years 2007-2009 under the phase-in provisions of § 86.007-11(g)(1), § 86.005-10(a), or § 86.008-10(f)(1) may be used to show compliance with 2007 or later NO_x standards (NO_x or NMHC standards for Otto-cycle engines), subject to an 0.8 discount factor (e.g., 100 grams of NO_x plus NMHC credits is equivalent to 80 grams of NO_x credits).

(3) NO_x or NMHC (or NO_x plus NMHC) credits may be exchanged between heavy-duty Otto-cycle engine families certified to the engine standards of this subpart and heavy-duty Otto-cycle engine families certified to the chassis standards of subpart S of this part, subject to an 0.8 discount factor (e.g., 100 grams of NO_x (or NO_x plus NMHC) credits generated from engines would be equivalent to 80 grams of NO_x credits if they are used in the vehicle program of subpart S, and vice versa).

(4) Credits that were previously discounted when they were banked according to paragraph (c) of § 86.004-15, are subject to an additional discount factor of 0.888 instead of the 0.8 discount factor otherwise required by paragraph (m)(2) or (m)(3) of this section. This results in a total discount factor of 0.8 ($0.9 \times 0.888 = 0.8$).

(5) For diesel engine families, the combined number of engines certified to FELs higher than 0.50 g/bhp-hr using banked NO_x (and/or NO_x plus NMHC) credits in any given model year may not exceed 10 percent of the manufacturer's U.S.-directed production of engines in all heavy-duty diesel engine families for that model year.

(6) The FEL must be expressed to the same number of decimal places as the standard (generally, one-hundredth of a gram per brake horsepower-hour). For engines certified to standards expressed only one-tenth of a gram per brake horsepower-hour, if the FEL is below 1.0, then add a zero to the standard in the second decimal place and express the FEL to nearest one-hundredth of a gram per brake horsepower-hour.

(7) Credits are to be rounded to the nearest one-hundredth of a Megagram using ASTM E29-93a (Incorporated by reference at § 86.1).

(8) Credits generated for 2007 and later model year diesel engine families, or generated for 2008 and later model year Otto-cycle engine families are not discounted (except as specified in paragraph (m)(2) or (m)(3) of this section), and do not expire.

(9) For the purpose of using or generating credits during a phase-in of new standards, a manufacturer may elect to split an engine family into two subfamilies (e.g., one which uses credits and one which generates credits). The manufacturer must indicate in the application for certification that the engine family is to be split, and may assign the numbers and configurations of engines within the respective subfamilies at any time prior to the submission of the end-of-year report required by § 86.001-23.

(i) Manufacturers certifying a split diesel engine family to both the Phase 1 and Phase 2 standards with equally sized subfamilies may exclude the engines within that split family from end-of-year NO_x (or NO_x+NMHC) ABT calculations, provided that neither subfamily generates credits for use by other engine families, or uses banked credits, or uses averaging credits from other engine families. All of the engines in that split family must be excluded from the phase-in calculations of § 86.007-11(g)(1) (both from the number of engines complying with the standards being phased-in and from the total number of U.S.-directed production engines.)

(ii) Manufacturers certifying a split Otto-cycle engine family to both the Phase 1 and Phase 2 standards with equally sized subfamilies may exclude the engines within that split family from end-of-year NO_x (or NO_x+NMHC) ABT calculations, provided that neither subfamily generates credits for use by other engine families, or uses banked credits, or uses averaging credits from other engine families. All of the engines in that split family must be excluded from the phase-in calculations of § 86.008-10(f)(1) (both from the number of engines complying with the standards being phased-in and from the total number of U.S.-directed production engines.)

(iii) Manufacturers certifying a split engine family may label all of the engines within that family with a single NO_x or NO_x+NMHC FEL. The FEL on the label will apply for all SEA or other compliance testing.

(iv) Notwithstanding the provisions of paragraph (m)(9)(iii) of this section, for split families, the NO_x FEL shall be used to determine applicability of the provisions of § 86.007-11(a)(3)(ii), (a)(4)(i)(B), and (h)(1), and § 86.008-10(g).

(10) For model years 2007 through 2009, to be consistent with the phase-in provisions of § 86.007-11(g)(1), credits generated from engines in one diesel engine service class (e.g., light-heavy duty diesel engines) may be used for averaging by engines in a different diesel engine service class, provided the credits are calculated for both engine families using the conversion factor and useful life of the engine family using the credits, and the engine family using the credits is certified to the standards listed in § 86.007-11(a)(1). Banked or traded credits may not be used by any engine family in a different service class than the service class of the engine family generating the credits.

[66 FR 5163, Jan. 18, 2001]

§ 86.007-21 Application for certification.

Section 86.007-21 includes text that specifies requirements that differ from § 86.004-21, 86.094-21 or 86.096-21. Where a paragraph in § 86.004-21, 86.094-21 or 86.096-21 is identical and applicable to § 86.007-21, this may be indicated by specifying the corresponding paragraph and the statement “[Reserved]. For guidance see § 86.004-21.”, “[Reserved]. For guidance see § 86.094-21.”, or “[Reserved]. For guidance see § 86.096-21.”

(a)-(b)(3) [Reserved]. For guidance see § 86.094-21.

(b)(4)(i) [Reserved]. For guidance see § 86.004-21.

(b)(4)(ii)-(b)(5)(iv) [Reserved]. For guidance see § 86.094-21.

(b)(5)(v)-(b)(6) [Reserved]. For guidance see § 86.004-21.

(b)(7) and (b)(8) [Reserved]. For guidance see § 86.094-21.

(b)(9) and (b)(10) [Reserved]. For guidance see § 86.004-21.

(c)-(j) [Reserved]. For guidance see § 86.094-21.

(k) and (l) [Reserved]. For guidance see § 86.096-21.

(m) and (n) [Reserved]. For guidance see § 86.004-21.

(o) For diesel heavy-duty engines, the manufacturer must provide the following additional information pertaining to the supplemental steady-state test conducted under § 86.1360-2007:

(1) Weighted brake-specific emissions data (*i.e.*, in units of g/bhp-hr), calculated according to § 86.1360-2007(e)(5), for all pollutants for which an emission standard is established in § 86.004-11(a);

(2) Brake specific gaseous emission data for each of the 13 test points (identified under § 86.1360-2007(b)(1)) and the 3 EPA-selected test points (identified under § 86.1360-2007(b)(2));

(3) Concentrations and mass flow rates of all regulated gaseous emissions plus carbon dioxide;

(4) Values of all emission-related engine control variables at each test point;

(5) Weighted brake-specific particulate matter (*i.e.*, in units of g/bhp-hr);

(6) A statement that the test results correspond to the maximum NO_x producing condition specified in § 86.1360-2007(e)(4). The manufacturer also must maintain records at the manufacturer’s facility which contain all test data, engineering analyses, and other information which provides the basis for this statement, where such information exists. The manufacturer must provide such information to the Administrator upon request;

(7) A statement that the engines will comply with the weighted average emissions standard and interpolated values comply with the Maximum Allowable Emission Limits specified in § 86.007-11(a)(3) for the useful life of the engine. The manufacturer also must maintain records at the manufacturer’s facility which contain a detailed description of all test data, engineering analyses, and other information which provides the basis for this statement, where such information exists. The manufacturer must provide such information to the Administrator upon request.