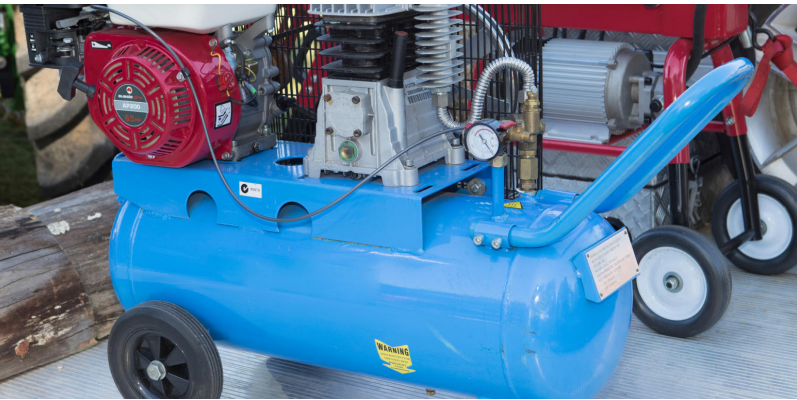




Australian Government

Department of the Environment and Energy

Guidance Note on Certification Numbers for the CPQ



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Context

If you are importing emissions-controlled products covered by the *Product Emissions Standards Rules 2017* (the Rules), you, or the customs brokers/agents acting on your behalf, must respond “Yes” to the community protection question (CPQ) about these products in the Integrated Cargo System documentation. When prompted by the CPQ, you then need to enter the relevant certification or exemption number applicable to the engine for the products being imported.

This guidance note explains what that means for products with a valid certification number (it does not cover products covered by an exemption).

What is the certification number?

What you are required to enter, as the certification number, in response to the CPQ depends on the standard to which the engine is certified. This guidance note describes the different certification numbers and explains their format for each of the foreign standards listed in section 26 of the Rules. It is important to enter the numbers accurately and in full, because typographical errors can flag a certified engine as non-compliant leading to unnecessary investigation by the Department.

1. United States Environment Protection Agency (US EPA)

For an engine certified to the US EPA standards listed in the Rules, the [Certificate of Conformity number](#) should be considered as the certification number and entered in response to the CPQ. This number is simply the [Engine Family Name](#) with a three digit suffix allocated by the EPA¹. It is also acceptable to simply enter the Engine Family Name in response to the CPQ. The US EPA also has [Evaporative](#) Family numbers, but these should not be used as Australia does not currently implement evaporative standards.

To illustrate the format of engine family names used for US EPA certified engines, the following engine family names have been taken at random from the US EPA databases²:

Non-Road	Marine
JHVXS.0945AD	HBCXM0158226

Position 1 (J H)

The first position is for the letter designating the model year for the engine. The “J” designates model year 2018, “H” designates 2017. As the Rules require US certified engines to be of model year 2013 or later, the alphabetical code needs to be “D” or later in the alphabet (noting that the letter “I” is omitted).

Positions 2–4 (HVX BCX)

Positions 2–4 are for the manufacturer’s code name.

¹ Engine family names can be viewed on the relevant US EPA certification [database](#). The US EPA also has a [webpage](#) explaining the naming conventions for engine family names.

² The contrasting colours in the engine family name are there simply to highlight the separate elements.

Position 5 (S M)

Position 5 is for what the US EPA calls the “industry sector” from which the engine comes. The letter “S” designates small non-road spark ignition engines, while “M” designates propulsion marine engines.

Positions 6–9 (.094 0158)

Positions 6–9 are for the engine displacement. Where a decimal place is present (as in the non-road case), the three numbers indicate litres (in this case, displacement is .094L). Where there is no decimal place, the four numbers indicate cubic centimetres (for non-road engines) or cubic inches (for propulsion marine engines). So in this case, the marine engine displacement is 158 cubic inches.

Position 10 (5 2)

For non-road engines position 10 is for a number between 1 and 5 which is allocated according to the Class from CFR 1054 that the engine falls into (Class I–V). In this case, the “5” designates an engine from Class V (hand held equipment engines ≥ 50cc in displacement). For propulsion marine engines, position 10 is part of the manufacturer assigned codes (in this case, 2 of 226).

Positions 10/11–12 (AD 226)

For non-road engines, positions 11–12 are for manufacturer assigned codes (in this case, the letters AD). For propulsion marine engines, positions 10–12 are for the manufacturer assigned codes (in this case 226).

2. California Air Resources Board (CARB)

For an engine certified to the CARB standards listed in the Rules, the [Executive Order Number](#)³ should be considered as the certification number and entered in response to the CPQ. CARB also adopt engine family names which follow the same format as outlined above for the US EPA, so it is also acceptable to enter the [Engine Family Name](#) in response to the CPQ. Like the US EPA, CARB also has [Evaporative](#) Family numbers, but these should not be used as Australia does not currently implement evaporative standards.

The following two examples from the CARB databases illustrate the format of Executive Order Numbers:

Non-Road	Marine
U-U-005-0476-1	U-W-002-0184

Non-road engines

The Executive Order Number for non-road engines commences with “U-U-“ followed by a 3 digit number designating the manufacturer⁴ and then a four digit approval number allocated by CARB. This four digit number may also have a suffix which indicates that it has superseded the original executive order.

Propulsion marine engines

The format for propulsion marine engines is the same as that for non-road engines, except that the number begins with “U-W-“ instead of “U-U-“.

³ Both engine family names and executive order numbers can be accessed from the [CARB Off-Road Certification Database](#).

⁴ Note: The manufacturer codes in the non-road and marine categories are independent of each other.

3. Canada

Canada does not have a public database of Canadian certifications, but the majority of manufacturers utilise the US EPA certification process. We would expect that most Canadian manufactured ECPs would be identified by a US EPA engine family name which should be entered in response to the CPQ.

4. European Union

4.1 Non-road Engines

For an engine certified to the EU standards for non-road engines listed in the Rules, (referred to as Non Road Mobile Machinery (NRMM) in the EU standards), the **EU type-approval number** should be considered as the certification number and entered in response to the CPQ. There is currently no public database for type approval numbers for non-road engines, but it is expected one for non-road engines type approved under Regulation (EU) 2016/1628 will be online sometime in 2018.

The type-approval number follows a standard format which is essentially similar across both the “old” EU Directive 97/68/EC accepted under the transition provisions of section 52 of the PES Rules and the new Regulation (EU) 2016/1628 accepted under section 26 of the Rules. Unlike the North American engine family names, the EU type-approval number does not include an identifier of the manufacturer.

The EU format for the type-approval number provides information in sections which are separated by an asterisk (*).

Directive 97/68/EC

To illustrate the EU naming conventions for type approval numbers, the following dummy type approval number for an engine certified to 98/67/EC (as amended) is deconstructed into its component sections:

e12*97/68SA*2012/46*0341*03

Section 1 (e12)

Section 1 displays the “e” number denoting the member state which has issued the type approval – in this case, e12 denotes Austria (see Attachment 1 for the list of current EU member state codes).

Section 2 (97/68SA)

Section 2 displays the number “97/68” of the parent directive plus two letters designating the application dates for certain emission levels and the approval’s application to a particular engine specification.

Section 3 (2012/46)

Section 3 displays the number of the amending directive - in this case 2012/46/EU⁵.

Section 4 (0341)

Section 4 designates the number for the original approval issued by the approval authority.

Section 5 (03)

Section 5 designates an extension (if any) of the original approval– in this case the 3rd extension.

⁵ Note: Under section 52 of the Rules, nonroad engines must satisfy the Stage II emission limits. These limits were first introduced in amending Directive 2002/88/EC (which also includes the Stage I limits – which are not accepted). So the type approval number for any engine being imported/supplied under the provisions of section 52 must display at Section 3 one of the six amending directives (viz 2002/88, 2004/26, 2006/105, 2010/26, 2011/88 or 2012/46).

Regulation (EU) 2016/1628

For engines certified to Regulation (EU) 2016/1628 in accordance with section 26 of the Rules, the layout of a type approval number is the same as for the earlier Directive 97/68/EC except that:

Section 2 only contains the base (parent) regulation number “2016/1628” and no letters

Section 3 includes the amending regulation number (if applicable) or if it has not been amended, “2016/1628” is repeated. Section 3 also includes the engine category code, then a “/” followed by the fuelling type code⁶.

As a guide, here is a dummy example of the type approval number for the 2nd extension of an approval issued by the Netherlands for an engine operating on petrol where no amending regulation is in place:

e4*2016/1628*2016/1628SHB3/P*0078*02

4.2 Propulsion Marine Engines

For a propulsion marine engine, the **EC-type examination certificate number** should be considered as the certification number and entered in response to the CPQ. However, Directive 2013/53/EU provides no official guidance on the format of the certificate numbering⁷.

This dummy example is based on a certificate issued by the Dutch Certification Institute⁸:

DCI-CE-2013/53-1677*03

The “DCI” is the abbreviation for the notified body, “CE” is the general European mark indicating compliance with a standard and the remainder represents the Directive number plus the approval number and extension.

⁶ The type approval numbering system for non-road engines is explained in more detail in the supplement to Regulation 2016/1628 (Commission Implementing Regulation (EU) 2017/656 – see Annex V).

⁷ The Rules only accept marine engines certified via the Module B type approval process as referenced in Article 21 (a)(i) of Directive 2013/53/EU.

⁸ EC-type examination certificates for marine engines under Module B are issued by a “notified body” and the current notified bodies for 2013/53/EU are listed [here](#). The Dutch Certification Institute is a listed notified body.

Attachment 1

List of “e” numbers for EU member states issuing type-approvals

1	Germany	19	Romania
2	France	20	Poland
3	Italy	21	Portugal
4	The Netherlands	23	Greece
5	Sweden	24	Ireland
6	Belgium	25	Croatia
7	Hungary	26	Slovenia
8	Czech Republic	27	Slovakia
9	Spain	29	Estonia
11	United Kingdom	32	Latvia
12	Austria	34	Bulgaria
13	Luxembourg	36	Lithuania
17	Finland	49	Cyprus
18	Denmark	50	Malta

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