California Air Resources Board

PUBLIC MEETING AGENDA

May 16 - 17, 2002
9:00 a.m. / 8:30 a.m.

02-4-1 Public Meeting to Consider a Health Update

02-4-2 Public Meeting to Consider Research Proposals

02-4-3 Public Meeting to Consider Adopting The Diesel Emission Control Strategy Verification Procedure, Warranty, And In-Use Compliance Requirements for On-Road, Off Road, and Stationary Diesel-Fueled Vehicles and Equipment

Includes AcrobatTM ReaderTM

PC and Mac Compatible

California Environmental Protection Agency

ELECTRONIC BOARD BOOK

California Environmental Protection Agency

Air Resources Board

PUBLIC MEETING AGENDA

LOCATION:
California Environmental Protection Agency
Air Resources Board
Central Valley Auditorium, Second Floor
1001 I Street
Sacramento, CA 95814

This facility is accessible by public transit. For transit information, call: (916) 321-BUSS, website www.sacrt.com (This facility is accessible to persons with disabilities.)

May 16-17, 2002
9:00 a.m. / 8:30 a.m.

The Board Book is comprised of a number of individual documents, many of which are individually numbered. The Board Book itself is numbered in the top right and left hand corners. These numbers are reflected in the Table of Contents above.

CONTACT CLERK OF THE BOARD, 1001 I Street, 23rd Floor, Sacramento, CA 95814 **(916) 322-5594**
FAX: (916) 322-3928
ARB Homepage: www.arb.ca.gov

To submit written comments on an agenda item in advance of the meeting.
To request, in advance of the meeting, to be placed on the list to testify on an agenda item.
To request special accommodations for those persons with disabilities (at least 7 days prior to the meeting date please).
For persons with a hearing or speech impairment, please use our telephone device for the deaf
TDD: (916) 324-9531 or (800) 700-8326.

SMOKING NOT PERMITTED AT MEETINGS OF THE CALIFORNIA AIR RESOURCES BOARD

California Environmental Protection Agency

Air Resources Board

PUBLIC MEETING AGENDA

LOCATION:
California Air Resources Board
Air Resources Board
Central Valley Auditorium, Second Floor
1001 I Street
Sacramento, CA 95814

This facility is accessible by public transit. For transit information, call: 1-800-COMMUTE, website www.sdcommute.com (This facility is accessible to persons with disabilities.)

May 15-16, 2002
9:00 a.m. / 8:30 a.m.

02-4-1 **Public Meeting to Consider a Health Update**

Staff Will Provide The Board With An Update On Two Published Papers On Particulate Matter Less Than 2.5 Microns In Diameter (PM2.5) And Health Effects.

02-4-2 **Public Meeting to Consider Research Proposals**

Proposal No. 2521-225, entitled "Augmentation of Collection of Evaporative Emissions Data from Off-Road Equipment", submitted by Automotive Testing Laboratories, Inc., for a total amount not to exceed $24,968.43.

Proposal No.2519-225 entitled "A Pilot Study to Quantify Health Benefits of Incremental Improvements in Air Quality", submitted by the University of California, Berkeley, for a total amount not to exceed $306,261.

Proposal No.2518-225 entitled "Alternatives to Automotive Consumer Products that use Volatile Organic Compounds (VOC) and/or Chlorinated Organic Compound Solvents", submitted by the Institute for Research and Technical Assistance, for a total amount not to exceed $189,996.

02-4-3 **Public Meeting To Consider Adopting The Diesel Emission Control Strategy Verification Procedure, Warranty, And In-Use Compliance Requirements For On-Road, Off-Road, And Stationary Diesel-Fueled Vehicles And Equipment**

The staff recommends adopting the procedure to verify the emissions reductions and durability of diesel emission control systems.

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SMOKING NOT PERMITTED AT MEETINGS OF THE CALIFORNIA AIR RESOURCES BOARD

OPEN SESSION TO PROVIDE AN OPPORTUNITY FOR MEMBERS OF THE PUBLIC TO ADDRESS THE BOARD ON SUBJECT MATTERS WITHIN THE JURISDICTION OF THE BOARD

Although no formal Board action may be taken, the Board is allowing an opportunity to interested members of the public to address the Board on items of interest that are within the Board's jurisdiction, but that do not specifically appear on the agenda. Each person will be allowed a maximum of five minutes to ensure that everyone has a chance to speak.

THOSE ITEMS ABOVE WHICH ARE NOT COMPLETED ON MAY 16 WILL BE HEARD BEGINNING AT 8:30 A.M. ON MAY 17.

THE AGENDA ITEMS LISTED ABOVE MAY BE CONSIDERED IN A DIFFERENT ORDER AT THE BOARD MEETING.

SUMMARY OF BOARD ITEM

ITEM # 02-4-1: HEALTH UPDATE

STAFF RECOMMENDATION: Informational Item

DISCUSSION: Staff will update the Board on two published papers on particulate matter less than 2.5 microns in diameter (PM2.5) and health effects.

SUMMARY AND IMPACTS: The impact of the fine fraction (PM2.5) of particulate matter on public health is of increasing concern to health officials. Epidemiological studies that examine both the short and long-term health impacts of PM2.5 are currently being evaluated by both federal and State scientists for use in setting PM2.5 standards. Two important papers have been published regarding an American Cancer Society Cohort evaluating long-term exposure to PM2.5 and its association with lung cancer mortality and cardiopulmonary mortality. The health update this month will focus on these two studies. The first study, published in 1994, was controversial. The latest study, published in March of this year, is a follow-up to the original publication, and addresses criticisms of the original paper. The investigators concluded that long-term exposure to fine particulate air pollution is an important risk factor for lung cancer mortality and cardiopulmonary mortality.

State of California

AIR RESOURCES BOARD

Research Resolutions

Research Division

May 16, 2002

INTRODUCTION

Contained herein for Board review are three resolutions and accompanying summaries from the Extramural Research Program recommended to the Board by the Research Screening Committee.

Item 1 is a research proposal from the Automotive Testing Laboratories, Inc., entitled "Augmentation of Collection of Evaporative Emissions Data from Off-Road Equipment." The Principal Investigator is Dennis McClement.
Resolution No. 02-20

Item 2 is a research proposal from the University of California, Berkeley entitled "A Pilot Study to Quantify Health Benefits of Incremental Improvements in Air Quality". The principal investigator is Dr. Ira Tager.
Resolution No. 02-21

Item 3 is a research proposal from the Institute for Research and Technical Assistance entitled "Alternatives to Automotive Consumer Products that use Volatile Organic Compounds (VOC) and/or Chlorinated Organic Compound Solvents". The principal investigator is Dr. Katy Wolf.
Resolution No. 02-22

PROPOSED

State of California
AIR RESOURCES BOARD

Resolution 02-20

May 16, 2002

Agenda Item No.: 02-4-2

WHEREAS, the Air Resources Board has been directed to carry out an effective research program in conjunction with its efforts to combat air pollution, pursuant to Health and Safety Code sections 39700 through 39705;

WHEREAS, a research proposal, number 2521-225, entitled "Augmentation of Collection of Evaporative Emissions Data from Off-Road Equipment" has been submitted by Automotive Testing Laboratories, Inc; and

WHEREAS, the Research Division staff has reviewed and recommended this proposal for approval; and

WHEREAS, the Research Screening Committee has reviewed and recommends for funding:

> Proposal Number 2521-225, entitled "Augmentation of Collection of Evaporative Emissions Data from Off-Road Equipment", submitted by Automotive Testing Laboratories, Inc., for a total amount not to exceed $24,968.43.

NOW, THEREFORE BE IT RESOLVED, that the Air Resources Board, pursuant to the authority granted by Health and Safety Code section 39703, hereby accepts the recommendation of the Research Screening Committee and approves the following:

> Proposal Number 2521-225, entitled "Augmentation of Collection of Evaporative Emissions Data from Off-Road Equipment", submitted by Automotive Testing Laboratories, Inc., for a total amount not to exceed $24,968.43.

BE IT FURTHER RESOLVED, that the Executive Officer is hereby authorized to initiate administrative procedures and execute all necessary documents and contracts for the research effort proposed herein, and as described in Attachment A, in an amount not to exceed $24,968.43.

Attachment A

"Augmentation of Collection of Evaporative Emissions Data from Off-Road Equipment"

Background

Contract Number 00-315 (for $286,000) was initiated to produce evaporative emission data from 40 pieces of off-road equipment comprised of lawn-and-garden devices, recreational watercraft, motorcycles, and generators. The original test plan included ten measurements of the effect of adding then-unspecified changes to provide emission control. The "with-control" tests were to be run on certain pieces of equipment that would already have been tested as-received as part of the main testing effort. Work began in March 2001.

During the course of the work, MLD and ATL agreed to supplant certain of the planned tests, including those allocated for the "with-control" work, with tests using a winter temperature profile and wintertime fuel. The substitutions were made according the relative values of the various tests as perceived at the time.

ATL has performed the complete revised test plan. All but $30,000 of the work has been invoiced. However, MLD now finds that measurements of the effect of using barrier treated tanks are critical to regulatory development. They should be performed by ATL to maintain a consistent data set.

Objective

The objective is to obtain empirical data on the effect on evaporative emissions of using barrier-treated fuel tanks instead of untreated polyethylene plastic tanks. The data are needed for estimating the cost-effectiveness of requiring such tanks on new off-road equipment.

Methods

The test methods used in the previous portions of the project will follow. Five selected items of lawn and garden equipment will be tested in a sealed housing for evaporative determination (SHED) facility for hot soak and diurnal emissions with the original equipment tanks and then with barrier-treated tanks supplied by ARB. In addition, a walk behind lawn mower will be tested on a dynamometer for running loss emissions with both the original tank and a barrier-treated tank.

Expected Results

The staff will be provided the requisite data on emission reductions.

Significance to the Board

The estimates of cost-effectiveness will support a future proposal for a regulation setting a standard for the fuel tanks on new lawn-and-garden equipment.

Contractor: Automotive Testing Laboratories, Inc.

Contract Period: 2 months

Principal Investigator (PI): Dennis McClement

Contract Amount: $24,968.43

Cofunding: none

Basis for Indirect Cost Rate: The contractor is using a federally approved rate.

Past Experience with this Principal Investigators
Automotive Testing Laboratories has performed the existing contract well.

Prior Research Division Funding to Automotive Testing Laboratories:

Year	2001	2000	1999
Funding	$0	$285,912.20	$0

BUDGET SUMMARY

Automotive Testing Laboratories

"Augmentation of Collection of Evaporative Emissions Data from Off-Road Equipment"

DIRECT COSTS AND BENEFITS

1.	Labor and Employee Fringe Benefits	$ 323.70	
2.	Subcontractors	$ 750.00	
3.	Equipment	$ 0	
4.	Travel and Subsistence	$ 0	
5.	Electronic Data Processing	$ 0	
6.	Reproduction/Publication	$ 0	
7.	Mail and Phone	$ 0	
8.	Supplies	$ 0	
9.	Analyses	$ 0	
10.	Miscellaneous	$ 22,600.00 [1]	
	Total Direct Costs		$23,673.70

INDIRECT COSTS

1.	Overhead	$ 785.20	
2.	General and Administrative Expenses	$ 313.97	
3.	Other Indirect Costs	$ 0	
4.	Fee or Profit	$ 195.56	
	Total Indirect Costs		$1,294.73

TOTAL PROJECT COSTS **$24,968.43**

[1] Costs are for emission testing:

Hot Soak plus 24 hour diurnal	10 @ $1,450	$14,500
Running Loss	3 @ $2,700	8,100
		$22,600

PROPOSED

State of California
AIR RESOURCES BOARD

Resolution 02-21

May 16, 2002

Agenda Item No.: 02-4-2

WHEREAS, the Air Resources Board has been directed to carry out an effective research program in conjunction with its efforts to combat air pollution, pursuant to Health and Safety Code sections 39700 through 39705;

WHEREAS, a research proposal, number 2519-225, entitled "A Pilot Study to Quantify Health Benefits of Incremental Improvements in Air Quality", has been submitted by the University of California, Berkeley;

WHEREAS, the Research Division staff has reviewed and recommended this proposal for approval; and

WHEREAS, the Research Screening Committee has reviewed and recommends for funding:

> Proposal Number 2519-225 entitled "A Pilot Study to Quantify Health Benefits of Incremental Improvements in Air Quality" submitted by the University of California Berkeley, for a total amount not to exceed $306,261.

NOW, THEREFORE BE IT RESOLVED, that the Air Resources Board, pursuant to the authority granted by Health and Safety Code section 39703, hereby accepts the recommendation of the Research Screening Committee and approves the following:

> Proposal Number 2519-225 entitled "A Pilot Study to Quantify Health Benefits of Incremental Improvements in Air Quality", submitted by the University of California, Berkeley, for a total amount not to exceed $306,261.

BE IT FURTHER RESOLVED, that the Executive Officer is hereby authorized to initiate administrative procedures and execute all necessary documents and contracts for the research effort proposed herein, and as described in Attachment A, in an amount not to exceed $306,261.

ATTACHMENT A

"A Pilot Study to Quantify Health Benefits of Incremental Improvements in Air Quality"

Background
For more than 20 years, the ARB has been promulgating ambient air quality standards at levels which are protective of human health. The standards are based in part on epidemiological evidence strongly suggesting that ambient air pollution is significantly associated with serious adverse health effects. The ARB and air pollution control districts have been implementing aggressive control measures to reduce emissions of pollutants to reach the goal of clean, healthy air established by the standards. These efforts have contributed to significant reductions in ambient air pollution that would be expected to significantly reduce occurrences of adverse health effects. A wide range of evidence suggests that these expectations of health benefits are plausible, and the economic values of these expected benefits are predicted to be large.

However, long-term health data from a large population exposed to decreasing levels of air pollution has not previously been analyzed to determine whether or not measurable improvements in the population's health can be quantified. Air pollution in the South Coast Air Basin (SoCAB) has decreased significantly since 1980. This project would investigate trends in the occurrence of some major respiratory and cardiovascular health endpoints in the SoCAB since 1980 and determine whether or not these trends can be related to the improvements in air quality. The project would also estimate the economic value of those improvements in health which are shown to be related to the improvements in air quality. The analysis would account for changes in a large number of socioeconomic, behavioral, and medical factors associated with cardiovascular and respiratory health.

Objective
The objective of this project is to quantify the extent to which changes in the health of the population of the SoCAB over the period 1980-2000 are associated with the significant decreases in air pollution during this period. The health indicators that will be evaluated are the rates of mortality from all causes and the rates of mortality and morbidity from fifteen specific cardiac, cardiovascular, and respiratory conditions. The economic benefits of the reduced mortality and morbidity rates found to be associated with the improvements in air quality will be evaluated.

Methods
For the project's analyses, the SoCAB would be divided into 5 km or 10 km grid squares. Adjacent grid squares with small populations might be combined. Because obtaining long-term data for a large cohort of individuals would not be feasible, the basic spatial units for the analysis would be the populations of these grid squares. The investigators would obtain the numerous types of data described below for each grid square for four three-month periods per year; the periods (winter fine particle season, spring, summer ozone season, and fall ozone and/or fine particle season) being chosen to maximize differences in pollution patterns.

The following types of data required for the analysis would be obtained: (1) air quality and meteorological data; (2) population and socioeconomic data from the 1980, 1990,

and 2000 censuses; data for intermediate years would be estimated from the Current Population Survey if possible, or interpolated; (3) data on behavioral risk factors associated with adverse health effects, such as smoking, obesity, and hypertension, would be obtained from California Department of Health Services surveys; (4) rates of occurrence of health outcomes would be estimated from hospital discharge databases and mortality databases, both of which have been compiled in a consistent way during the twenty year period to be included in the study.

All-cause mortality and a number of very specific cardiovascular and respiratory health endpoints would be studied by the project. The respiratory endpoints would include cancer, acute and chronic bronchitis, asthma, and pneumonia. Ischemic heart disease and congestive heart failure would be two of the cardiovascular endpoints studied. Trends in the rates of these diseases known to be associated with air pollution would be compared to the trends in diseases not considered to be associated with air pollution, for example peptic ulcer. The rates of occurrence of the diseases would be standardized by age and sex.

The standardized rates of health effects would be analyzed for the existence of trends and the consistency of trends across the basic spatial units. Marginal structural models, a recently developed type of statistical model that minimizes the biases in estimators caused by confounding factors, would be employed to adjust the health effect rates for confounders and relate the trends in rates to trends in air pollution. The results of the analyses by the innovative methods would be compared to results from analyses by more standard methods. The economic benefits of improvements in health would be estimated by standard models and methods used in many previous benefit estimation studies.

Expected Results

Analyzing trends in the rates of air-pollution related diseases in the SoCAB and the associations of these rates with trends in air pollution will provide very useful confirmation of the benefits of air pollution control. The SoCAB is a promising area for such analyses, because air quality in the Basin has been monitored intensively for more than 20 years, and satisfactory data for medical and socioeconomic variables and other factors associated with disease rates are available. The analysis plan for this project will provide quantification of the health benefits of improving air quality.

Significance to the Board

This project will result in important information for the Board by quantifying the benefits to health resulting from reductions in air pollution. The Board has devoted significant resources to reducing air pollution in the SoCAB, however, to date, there are no studies that quantify the health benefits of the Board's actions. This project would provide an analysis of the association between long-term changes in air quality and health benefits due to these changes. In addition, an analysis will be conducted to elucidate the economic benefits of reducing air pollution in the SoCAB.

Contractor:
University of California, Berkeley.

Contract Period:
24 Months

Principal Investigator (PI):
Dr. Ira Tager

Contract Amount:
$306,261

Cofunding:
None

Basis for Indirect Cost Rate:
The State and UC System have agreed to a ten percent indirect cost rate.

Past Experience with this Principal Investigator:
Dr. Tager is an experienced investigator with the School of Public Health at the University of California, Berkeley. He has worked extensively with the ARB and is currently the lead investigator for a large epidemiological study investigating the effects of air pollution on children with asthma. The expertise Dr. Tager brings to the project, along with that of the co-investigators, make him an ideal candidate to successfully perform this type of research project.

Prior Research Division Funding to the University of California, Berkeley:

Year	2001	2000	1999
Funding	$634,986	$0	$3,992,027

BUDGET SUMMARY

University of California, Berkeley

A Pilot Study to Quantify Health Benefits of Incremental Improvements in Air Quality

DIRECT COSTS AND BENEFITS			
1.	Labor and Employee Fringe Benefits	$ 103,146	
2.	Subcontractors	$ 165,394[1]	
3.	Equipment	$ 2,500	
4.	Travel and Subsistence	$ 1,815	
5.	Electronic Data Processing	$ 0	
6.	Reproduction/Publication	$ 500	
7.	Mail and Phone	$ 3,000	
8.	Supplies	$ 2,700	
9.	Analyses	$ 0	
10.	Miscellaneous	$ 500	
	Total Direct Costs		$279,555
INDIRECT COSTS			
1.	Overhead	$ 26,706	
2.	General and Administrative Expenses	$ 0	
3.	Other Indirect Costs	$ 0	
4.	Fee or Profit	$ 0	
	Total Indirect Costs		$26,706
TOTAL PROJECT COSTS			**$306,261**

[1]There are three subcontractors included in this project:

Sonoma Technology Institute (STI) will assist in refining the work plan for the project. STI offers personnel with expertise in working under the jurisdiction of the California Air Resources Board as well as expert knowledge in acquiring, implementing, merging, and analyzing air quality, meteorology, demographic, and health outcomes databases, $110,442.

California State University, Fullerton, will assemble values to be used for each endpoint in the economic valuation, assemble descriptive data to evaluate behavioral factors (such as smoking and obesity), and draft portions of the final report. California State University, Fullerton will provide leadership on the economic analyses, $44,952.

An external advisory committee will be formed of experts to aid in the oversight and direction of this project. This committee will include experts in the fields of public health epidemiology, biostatistical analysis and other appropriate fields of study, $10,000.

Attachment 1

SUBCONTRACTORS' BUDGET SUMMARY

Sonoma Technology Institute

Description of subcontractor's responsibility: STI will be responsible for several important tasks. First, they will help UC Berkeley refine and finalize the work plan. One of the most important tasks that STI will perform is creating the exposure database. This will involve collection of air quality data for the South Coast Air Basin for the 20-year span of the project, managing missing data, and creating exposure metrics. STI will also be responsible for obtaining data from the Census to generate the demographic databases. Furthermore, STI will implement into the database the health outcome information from California State Fullerton. Finally, STI will participate in the statistical analyses to assure the air quality and demographic data are used and interpreted appropriately.

DIRECT COSTS AND BENEFITS				
1.	Labor and Employee Fringe Benefits	$	48,533	
2.	Subcontractors	$	0	
3.	Equipment	$	0	
4.	Travel and Subsistence	$	543	
5.	Electronic Data Processing	$	800	
6.	Reproduction/Publication	$	0	
7.	Mail and Phone	$	180	
8.	Supplies	$	1,500	
9.	Analyses	$	0	
10.	Miscellaneous	$	0	
	Total Direct Costs			$51,556
INDIRECT COSTS				
1.	Overhead	$	49,017	
2.	General and Administrative Expenses	$	0	
3.	Other Indirect Costs	$	0	
4.	Fee or Profit	$	9,869	
	Total Indirect Costs			$58,886
TOTAL PROJECT COSTS				**$110,442**

Attachment 2

SUBCONTRACTORS' BUDGET SUMMARY

California State University, Fullerton

Description of subcontractor's responsibility: Drs. Jane Hall and Victor Brajer will complete the following tasks in support of the overall study. They will work with UC Berkeley and STI to develop a final work plan and ensure database compatibility. They will develop the database on health outcomes, including cause-specific mortality and hospitalizations, as well as birth outcomes. Furthermore, they will assemble data that represents the behavioral and social trends likely to confound the analyses. They will complete the estimation of economic value of changes in health outcome and write relevant sections of the final report.

DIRECT COSTS AND BENEFITS			
1. Labor and Employee Fringe Benefits	$	37,675	
2. Subcontractors	$	0	
3. Equipment	$	400	
4. Travel and Subsistence	$	1,000	
5. Electronic Data Processing	$	0	
6. Reproduction/Publication	$	400	
7. Mail and Phone	$	140	
8. Supplies	$	1,250	
9. Analyses	$	0	
10. Miscellaneous	$	0	
Total Direct Costs			$40,865
INDIRECT COSTS			
1. Overhead	$	4,087	
2. General and Administrative Expenses	$	0	
3. Other Indirect Costs	$	0	
4. Fee or Profit	$	0	
Total Indirect Costs			$4,087
TOTAL PROJECT COSTS			**$44,952**

PROPOSED

State of California
AIR RESOURCES BOARD

Resolution 02-22

May 16, 2002

Agenda Item No.: 02-4-2

WHEREAS, the Air Resources Board has been directed to carry out an effective research program in conjunction with its efforts to combat air pollution, pursuant to Health and Safety Code sections 39700 through 39705;

WHEREAS, a research proposal, number 2518-225, entitled "Alternatives to Automotive Consumer Products that use Volatile Organic Compounds (VOC) and/or Chlorinated Organic Compound Solvents ", has been submitted by the Institute for Research and Technical Assistance, in response to RFP No. 01-317;

WHEREAS, the Research Division staff has reviewed and recommended this proposal for approval; and

WHEREAS, the Research Screening Committee has reviewed and recommends for funding:

> Proposal Number 2518-225 entitled "Alternatives to Automotive Consumer Products that use Volatile Organic Compounds (VOC) and/or Chlorinated Organic Compound Solvents", submitted by the Institute for Research and Technical Assistance, for a total amount not to exceed $189,966.

NOW, THEREFORE BE IT RESOLVED, that the Air Resources Board, pursuant to the authority granted by Health and Safety Code section 39703, hereby accepts the recommendation of the Research Screening Committee and approves the following:

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BE IT FURTHER RESOLVED, that the Executive Officer is hereby authorized to initiate administrative procedures and execute all necessary documents and contracts for the research effort proposed herein, and as described in Attachment A, in an amount not to exceed $189,966.

ATTACHMENT A

"Alternatives to Automotive Consumer Products that use Volatile Organic Compounds (VOC) and/or Chlorinated Organic Compound Solvents "

Background

About 4.5 million aerosol spray cans and spray bottles of automotive cleaning and degreasing products are currently sold annually in California. Virtually all of these products are based on VOC and chlorinated solvents. Emissions from automotive cleaning operations amount to more than 21 tons per day. The Air Resources Board (ARB) has adopted a ban on the use of chlorinated automotive products. This ban becomes effective after December 31, 2002. Although the ARB has also established VOC limits for automotive cleaning products, emissions are still very high. This research describes a detailed plan of work for developing effective and cost-effective water-based, near zero VOC, low-toxicity aerosol automotive cleaners. If these cleaners are developed, the ARB could consider reducing the VOC content and emissions of VOC solvents from these products substantially.

Objective

The major objective of this project is to identify, test, and demonstrate low-VOC, low toxicity, water-based aerosol automotive cleaners that are capable of replacing traditional VOC and chlorinated-solvent aerosol cleaners that are in use today. The development and demonstration of low-VOC water-based aerosol automotive cleaners would allow the ARB to regulate further these product categories.

Methods

The contractor proposes first to assess the availability of existing water-based aerosol products for brake cleaning, carburetor and fuel injection system cleaning, engine degreasing and general purpose degreasing. As part of the assessment the contractor will survey the technical literature, manufacturers of automotive products, and automotive supply stores and users to identify existing near-zero VOC water-based aerosol automotive products. The contractor will summarize the types and the amounts of active ingredients and propellants in any water-based products found to be available. The contractor will then prepare a plan in which these products will be tested on actual automotive parts so that their potential to replace current cleaning products can be evaluated.

The contractor will conduct a test program in which at least 25 non-aerosol water-based cleaners will be tested to determine if they are effective alternatives to solvent-based cleaners. The test program will consist of two phases. During the first phase of the testing the prospective alternatives will be tested on various different types of auto parts to assess their effectiveness and to determine the optimum concentrations. The testing will be conducted on discarded automotive parts at a test center specializing in testing water-based cleaners. The cleaners first will be tested in spray bottles to simulate the delivery method of aerosols. Then, the best performing water-based cleaners will be packaged in aerosol form and tested again. If it appears that water-based cleaners

PROPOSED

State of California
AIR RESOURCES BOARD

Resolution 02-22

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ATTACHMENT A

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Methods

The contractor proposes first to assess the availability of existing water-based aerosol products for brake cleaning, carburetor and fuel injection system cleaning, engine degreasing and general purpose degreasing. As part of the assessment the contractor will survey the technical literature, manufacturers of automotive products, and automotive supply stores and users to identify existing near-zero VOC water-based aerosol automotive products. The contractor will summarize the types and the amounts of active ingredients and propellants in any water-based products found to be available. The contractor will then prepare a plan in which these products will be tested on actual automotive parts so that their potential to replace current cleaning products can be evaluated.

The contractor will conduct a test program in which at least 25 non-aerosol water-based cleaners will be tested to determine if they are effective alternatives to solvent-based cleaners. The test program will consist of two phases. During the first phase of the testing the prospective alternatives will be tested on various different types of auto parts to assess their effectiveness and to determine the optimum concentrations. The testing will be conducted on discarded automotive parts at a test center specializing in testing water-based cleaners. The cleaners first will be tested in spray bottles to simulate the delivery method of aerosols. Then, the best performing water-based cleaners will be packaged in aerosol form and tested again. If it appears that water-based cleaners

have little promise for a particular application, the contractor will investigate the feasibility of vegetable oil cleaners. The second phase of the test program will include field testing at auto repair centers of the most promising low-VOC water-based and vegetable-based products identified during the phase 1 testing. At least five products in each of the four cleaning categories will be tested during the field testing. Both the current cleaners and the low-VOC alternative cleaners will be tested so that the relative performance of the alternatives can be established. If any shortcomings or deficiencies in the alternatives are identified during this testing, the contractor will attempt to address these through product modification (e.g., changes in concentration or delivery).

Expected Results
It is expected that this study will provide a comprehensive assessment on the potential for current automotive cleaning products to be replaced with low-VOC water-based or vegetable oil based cleaners.

Significance to the Board
The results should provide the ARB staff with information needed to consider the feasibility of further regulations for automotive parts cleaners, and to assess the potential emissions reductions from such regulations.

Contractor:
Institute for Research and Technical Assistance (IRTA)

Contract Period:
18 months

Principal Investigator (PI):
Dr. Katy Wolf

Contract Amount:
$189,966

Cofunding:
None

Basis for Indirect Cost Rate:
There are no indirect costs in this contract.

Past Experience with this Principal Investigator:
Dr. Katy Wolf has recently completed, for the ARB's Stationary Source Division, a study entitled "Investigation of Technologies to Reduce Emissions of Methylene Chloride from Furniture Stripping Operations." During this study the staff found Dr. Wolf to be a highly competent researcher. All tasks included in the proposal were completed on time and on budget. Furthermore, the ARB staff always has had an excellent working relationship with Dr. Wolf, and has always found her to be receptive and responsive to the staff's comments and input.

Prior Research Division Funding to Institute for Research and Technical Assistance:

Year	2001	2000	1999
Funding	$0	$0	$0

BUDGET SUMMARY

Institute for Research and Technical Assistance (IRTA)

Alternatives to Automotive Consumer Products that use Volatile Organic Compounds (VOC) and/or Chlorinated Organic Compound Solvents

DIRECT COSTS AND BENEFITS				
1.	Labor and Employee Fringe Benefits	$ 183,750		
2.	Subcontractors	$ 0		
3.	Equipment	$ 4,216		
4.	Travel and Subsistence	$ 0		
5.	Electronic Data Processing	$ 0		
6.	Reproduction/Publication	$ 1,000		
7.	Mail and Phone	$ 500		
8.	Supplies	$ 500		
9.	Analyses	$ 0		
10.	Miscellaneous	$ 0		
	Total Direct Costs		$ 189,966	
INDIRECT COSTS				
1.	Overhead	$ 0		
2.	General and Administrative Expenses	$ 0		
3.	Other Indirect Costs	$ 0		
4.	Fee or Profit	$ 0		
	Total Indirect Costs			$ 0
TOTAL PROJECT COSTS			**$189,966**	

SUMMARY OF BOARD ITEM

ITEM # 02-4-3: PUBLIC MEETING TO CONSIDER ADOPTING THE DIESEL EMISSION CONTROL STRATEGY VERIFICATION PROCEDURE, WARRANTY, AND IN-USE COMPLIANCE REQUIREMENTS FOR ON-ROAD, OFF-ROAD, AND STATIONARY DIESEL-FUELED VEHICLES AND EQUIPMENT.

STAFF RECOMMENDATION: The staff recommends adopting the procedure to verify the emissions reductions and durability of diesel emission control systems.

DISCUSSION: In September 2000, the Air Resources Board (ARB) adopted the Diesel Risk Reduction Plan. A significant component of the Diesel Risk Reduction Plan includes proposals to apply emission control strategies to existing diesel vehicles and equipment in mobile and stationary applications. To effectively implement any of the emission control strategies for existing engines, ARB needs to ensure the emissions reductions achieved by these strategies are both real and durable, hence, the need for a verification procedure.

The verification procedure was developed in a number of public workshops and other public meetings whose participants included manufacturers of emissions controls, engine manufacturers, end users, the U.S. Environmental Protection Agency, and air pollution control districts.

SUMMARY AND IMPACTS: The proposed Diesel Emission Control Strategy Verification Procedure ("Procedure") would enable ARB to verify strategies that provide reductions in diesel particulate matter. Those strategies include but are not limited to diesel particulate filters, diesel oxidation catalysts, fuel additives, and alternative diesel fuels. The primary function of the procedure is to support the Diesel Risk Reduction Plan, but in light of the California's persistent ozone problem, it could also be used to evaluate technologies for reducing oxides of nitrogen emissions.

To obtain verification, the Procedure would require applicants to perform emission testing, conduct a durability demonstration, and demonstrate their products in actual field use. The proposal also includes in-use compliance testing to ensure that production units in the field achieve emissions reductions consistent with their verification, and an emissions warranty.

While primarily intended to support the Diesel Risk Reduction Plan, the Procedure could also be used to support several other programs designed to reduce emissions from in-use diesel engines. These programs include the Carl Moyer Memorial Air Quality Standards Attainment Program, the Lower-Emissions School Bus Program, and the Public Transit Bus Fleet Rule.

To ease the financial burden associated with testing, the proposal allows staff to consider existing data and evaluate if those data can be used to fulfill the Procedure's requirements. Because no direct emissions benefits are associated with the staff's proposal, no traditional cost effectiveness can be calculated. When staff proposes rules to implement in-use controls for the various categories of diesel engines, it will provide more detailed estimates, taking into account the specific issues associated with each category.

This Procedure would provide a way to thoroughly evaluate the emissions reduction capabilities and durability of a variety of diesel emission control strategies. Further, this Procedure provides sound guidelines for evaluation, while retaining the flexibility needed to reduce the burden on applicants and allow speedy implementation of the Diesel Risk Reduction Plan.

TITLE 13. CALIFORNIA AIR RESOURCES BOARD

NOTICE OF PUBLIC HEARING TO CONSIDER THE ADOPTION OF THE DIESEL EMISSION CONTROL STRATEGY VERIFICATION PROCEDURE, WARRANTY AND IN-USE COMPLIANCE REQUIREMENTS FOR ON-ROAD, OFF-ROAD, AND STATIONARY DIESEL-FUELED VEHICLES AND EQUIPMENT

The Air Resources Board (the "Board" or "ARB") will conduct a public hearing at the time and place noted below to consider adoption of the Diesel Emission Control Strategy Verification Procedure, Warranty and In-Use Compliance Requirements for on-road, off-road, and stationary diesel-fueled vehicles and equipment.

DATE: May 16, 2002

TIME: 9:00 a.m.

PLACE: California Environmental Protection Agency
Air Resources Board
Central Valley Auditorium
1001 "I" Street
Sacramento, CA 95814

This item will be considered at a two-day meeting of the Board, which will commence at 9:00 a.m., May 16, 2002, and may continue at 8:30 a.m., May 17, 2002. This item may not be considered until May 17, 2002. Please consult the agenda for the meeting, which will be available at least 10 days before May 16, 2002, to determine the day on which this item will be considered.

This facility is accessible to persons with disabilities. If accommodation is needed, please contact the ARB's Clerk by May 2, 2002, at (916) 322-5594 or TDD (916) 324-9531 or (800) 700-8326 for TDD calls from outside the Sacramento area, to ensure accommodation.

INFORMATIVE DIGEST OF PROPOSED ACTION AND POLICY STATEMENT OVERVIEW

Sections Affected: Proposed adoption of new sections 2700-2710, chapter 14, title 13, California Code of Regulations ("CCR") and the procedures incorporated by reference therein. The following American Society for Testing and Materials methods for measuring fuel properties are incorporated herein by reference: D5453-93, D5186-96, D4629-96, D613-84, D287-82, D445-83, D93-80, and D86-96.

In 1998 the ARB identified diesel particulate matter emissions from diesel-fueled engines as a toxic air contaminant (title 17 CCR Section 93000). The ARB adopted the Diesel Risk Reduction Plan ("DRRP" or "Plan") in 2000 which establishes a goal of reducing emissions in virtually all in-use diesel engines within the State of California by the year 2010. This Plan envisions that particulate emissions from diesel-fueled engines ("diesel particulate matter") should be reduced by 85 percent or to 0.01 grams per brake horsepower-hour. The ARB is reviewing various methods under review for achieving the goals in the Plan including new, more stringent standards for all new diesel-fueled engines and vehicles, the use of diesel emission control strategies, and the use of low sulfur diesel fuel. After the ARB adopted the DRRP, it became apparent that a method of evaluating diesel emission control strategy systems would be needed. Towards this end, staff has developed a verification procedure, warranty and in-use compliance requirements which could be used to verify reductions of diesel particulate matter and/or oxides of nitrogen ("NOx") from in-use diesel engines using a particular emission control strategy, when and if such strategies are required in future regulations. At this time, however, use of the proposed verification procedure, warranty and in-use compliance requirements would be totally voluntary.

At the May 16, 2002 hearing, staff will present the verification procedure, warranty, and in-use compliance requirements. This procedure will specify the information that manufacturers would submit to the ARB to verify their diesel emission control strategies. The verification procedure for in-use strategies to control emissions from diesel engines is designed to ensure that emission reductions derived from the use of these strategies are both real and durable. To verify a diesel emission control strategy, the applicant would perform emission reduction testing, conduct a durability demonstration, conduct a field demonstration, and submit the results along with other information in an application to ARB following a prescribed format. Prior to performing any testing, the applicant would submit a proposed verification testing protocol and have it approved by ARB. If, after reviewing the application, ARB verifies the diesel emission control strategy, it would issue an Executive Order to the applicant describing the verified emission reduction and any conditions that must be met for the diesel emission control strategy to function properly. The applicant would also provide a warranty to the end-user and conduct in-use compliance testing.

COMPARABLE FEDERAL REGULATIONS

The U.S. Environmental Protection Agency (U.S. EPA) has published a draft document, "General Verification Protocol for Diesel Exhaust Catalysts, Particulate Filters, and Engine Modification Control Technologies for Highway and Nonroad Use Diesel Engines," but has not promulgated formal regulations for this verification protocol. This verification protocol is intended to support the

voluntary retrofit programs initiated by the U.S. EPA, while the staff's proposal is to support the ARB's Diesel Risk Reduction Plan.

AVAILABILITY OF DOCUMENTS AND AGENCY CONTACT PERSONS

The ARB staff has prepared a Staff Report: Initial Statement of Reasons (ISOR) for the proposed regulatory action that includes a summary of the environmental and economic impacts of the proposal.

Copies of the Staff Report and the full text of the proposed regulatory language may be accessed on the ARB's web site listed below, or may be obtained from the ARBs Public Information Office, Environmental Services Center, 1001 "I" Street, First Floor, Sacramento, CA 95814, (916) 322-2990 at least 45 day prior to the scheduled hearing (May 16, 2002).

Upon its completion, the Final Statement of Reasons (FSOR) will also be available and copies may be requested from the agency contact persons in this notice, or may be accessed on the web site listed below.

Inquiries concerning the substance of the proposed regulation may be directed to the designated agency contact persons, Dr. David Chou, Air Resources Engineer, Retrofit Assessment Section, at (626) 450-6109, or Mr. Scott Rowland, Manager, Retrofit Assessment Section, at (626) 575-6972.

Further the agency representative and designated back-up contact persons to whom nonsubstantive inquiries concerning the proposed administrative action may be directed are Artavia Edwards, Manager, Board Administration & Regulatory Coordination Unit, (916) 322-6070, or Marie Kavan, Regulations Coordinator, (916) 322-6533. The Board staff has compiled a record for this rulemaking action, which includes all information upon which the proposal is based. This material is available for inspection upon request to the contact persons.

If you are a person with a disability and desire to obtain this document in an alternative format, please contact the ARB ADA Coordinator at (916) 232-4916, or TDD (916) 324-9531, or (800) 700-8326 for TDD calls from outside the Sacramento area.

This notice, the ISOR and all subsequent regulatory documents, including the FSOR when completed, will be available on the ARB Internet site for this rulemaking at http://www.arb.ca.gov/regact/dieselrv/dieselrv.htm.

COSTS TO PUBLIC AGENCIES AND TO BUSINESSES AND PERSONS AFFECTED

The determinations of the Board's Executive Officer concerning the costs or savings necessarily incurred in reasonable compliance with the proposed regulations are presented below.

Pursuant to Government Code sections 11346.5(a)(5) and 11346.5(a)(6), the Executive Officer has determined that the proposed regulatory action will not create costs or savings, to any state agency or in federal funding to the State, costs or mandate to any local agency or school district whether or not reimbursable by the State pursuant to part 7 (commencing with section 17500), division 4, title 2 of the Government Code, or other non-discretionary savings to State or local agencies.

In developing this regulatory proposal, the ARB staff evaluated the potential economic impacts on representative private persons or businesses. The ARB is not aware of any cost impacts that a representative private person or business would necessarily incur in reasonable compliance with the proposed action.

The Executive Officer has made an initial determination that the proposed regulatory action will not have a significant statewide adverse economic impact directly affecting businesses, including the ability of California businesses to compete with businesses in other states, or businesses directly affected.

In accordance with Government Code section 11346.3, the Executive Officer has determined that the proposed regulatory action will not affect the creation or elimination of jobs within the State of California, the creation of new businesses or elimination of existing businesses within California, or the expansion of businesses currently doing business within California. An assessment of the economic impacts of the proposed regulatory action can be found in the Staff Report.

The Executive Officer has also determined, pursuant to Government code section 11346.5(a)(3)(B), that the proposed regulatory action will not affect small businesses because participation in the procedure is purely voluntary with respect to any businesses. There are no cost impacts that a representative private person or business would necessarily incur in reasonable compliance with the proposed action.

In accordance with Government Code sections 11346.3(c) and 11346.5(a)(11), the ARB's Executive Officer has found that the reporting requirements of the regulation which apply to businesses are necessary for the health, safety, and welfare of the people of the State of California.

Before taking final action on the proposed regulatory action, the Board must determine that no alternative considered by the agency would be more effective in carrying out the purpose for which the action is proposed or would be as effective and less burdensome to affected private persons than the proposed action.

SUBMITTAL OF COMMENTS

The public may present comments relating to this matter orally or in writing at the hearing, and in writing or by e-mail before the hearing. To be considered by the Board, written submissions must be received by **no later than 12:00 noon, May 15, 2002** and addressed to the following:

Postal Mail is to be sent to:

Clerk of the Board
Air Resources Board
1001 "I" Street, 23rd Floor
Sacramento, California 95814

Electronic mail is to be sent to: dieselrv@listserv.arb.ca.gov and received at the ARB **no later than 12:00 noon, May 15, 2002.**

Facsimile submissions are to be transmitted to the Clerk of the Board at (916) 322-3928 and received at the ARB **no later than 12:00 noon, May 15, 2002.**

The Board requests, but does not require, that 30 copies of any written statement be submitted at least 10 days prior to the hearing so that ARB staff and Board Members have time to fully consider each comment. The ARB encourages members of the public to bring to the attention of the staff in advance of the hearing any suggestions for modification of the proposed regulatory action.

STATUTORY AUTHORITY AND REFERENCES

This regulatory action is proposed under that authority granted in sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018, and 43105, 43600, 43700 of the Health and Safety Code. This action is proposed to implement, interpret and make specific sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 of the Health and Safety Code and Title 17 California Code of Regulations section 93000.

HEARING PROCEDURES

The public hearing will be conducted in accordance with the California Administrative Procedure Act, title 2, division 3, part 1, chapter 3.5 (commencing with section 11340) of the Government Code.

Following the public hearing, the Board may adopt the regulatory language as originally proposed, or with non substantial or grammatical modifications. The Board may also adopt the proposed regulatory language with other modifications if the text as modified is sufficiently related to the originally proposed text that the public was adequately placed on notice that the regulatory language as modified could result from the proposed regulatory action; in such event the full regulatory text, with the modifications clearly indicated, will be made available to the public, for written comment, at least 15 days before it is adopted.

The public may request a copy of the modified regulatory text from the Board's Public Information Office, 1001 "I" Street, Sacramento, CA 95814, (916) 322-2990.

CALIFORNIA AIR RESOURCES BOARD

Michael P. Kenny
Executive Officer

Date: March 19, 2002

The energy challenge facing California is real. Every Californian needs to take immediate action to reduce energy consumption. For a list of simple ways you can reduce demand and cut your energy costs see our Web-site at www.arb.ca.gov.

CALIFORNIA ENVIRONMENTAL PROTECTION AGENCY
AIR RESOURCES BOARD

STAFF REPORT: INITIAL STATEMENT OF REASONS

PROPOSED REGULATION FOR THE VERIFICATION PROCEDURE FOR IN-USE STRATEGIES TO CONTROL EMISSIONS FROM DIESEL ENGINES

Date of Release: March 29, 2002
Schedule for Consideration Release: May 16, 2002

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FIGURE

EXECUTIVE SUMMARY

In addition to maintaining long-standing efforts to reduce emissions of ozone precursors, the Air Resources Board (ARB or "Board") is now faced with a newer challenge, that of reducing emissions of diesel particulate matter (PM). In 1998, the ARB identified diesel PM as a toxic air contaminant. Because of the amount of diesel PM emitted into California's air, it is now by far the number one contributor to total ambient air toxics risk.

To address this large-scale health concern, the ARB adopted the Diesel Risk Reduction Plan in 2000. A significant component of the Diesel Risk Reduction Plan involves proposals to apply emission control strategies to existing diesel vehicles and equipment in on-road, off-road, and stationary applications. In order to effectively implement any of the emission control strategies for existing engines, ARB needs to ensure that emission reductions achieved by these strategies are both real and durable, hence the need for a verification procedure.

This report describes the proposed Diesel Emission Control Strategy Verification Procedure ("Procedure") developed by ARB staff to verify strategies that provide reductions in diesel PM emissions. Those strategies include but are not limited to diesel particulate filters, diesel oxidation catalysts, exhaust gas recirculation, selective catalytic reduction systems, fuel additives, and alternative diesel fuels. The primary function of the Procedure is to support the Diesel Risk Reduction Plan, but in light of California's persistent ozone problem, it will also evaluate technologies for reducing oxides of nitrogen (NOx) emissions.

Observance of the Procedure is voluntary. For verification, the Procedure requires applicants to fulfill various testing and information submittal requirements and to provide a specified warranty. The applicant must perform emission reduction testing, conduct a durability demonstration, demonstrate its product in-field, and submit results along with other information in an application to ARB following a prescribed format. To ease the financial burden associated with testing, staff proposes that any existing data the applicant may have be considered and evaluated to determine if it fulfills any of the Procedure's testing requirements. Prior to performing any testing, the applicant must submit a proposed verification testing protocol (at the discretion of ARB) and have it approved by ARB. If after reviewing the application ARB verifies the diesel emission control strategy, it will issue an Executive Order to the applicant stating the verified emission reduction and any conditions that must be met for the diesel emission control strategy to function properly. For an applicant to retain a given verification, staff proposes that the applicant pass in-use compliance testing, which is intended to ensure that production units in the field are achieving emission reductions which are consistent with their verification.

While primarily intended to support the Diesel Risk Reduction Program, the Procedure will also be used to support several other programs designed to reduce emissions from

in-use diesel engines. These programs include the Carl Moyer Memorial Air Quality Standards Attainment Program, the Lower-Emissions School Bus Program, and the Public Transit Bus Fleet Rule.

Although the U.S. Environmental Protection Agency (U.S. EPA) also has a diesel emission control strategy verification program, it is used to support a voluntary retrofit program where specific air quality objectives have not been adopted yet. In contrast, the staff's proposal is intended to support the Board's Diesel Risk Reduction Plan which lays out specific objectives and identifies proposed control measures. Thus, to achieve the Board's public health objectives, there is a greater need to ensure that diesel emission control systems are fully functional and durable. In spite of differences between the two procedures, staff from both agencies have worked together to harmonize key requirements where possible to minimize the applicants' economic burden.

Because no direct emissions benefits are associated with the staff proposal, no traditional cost effectiveness can be calculated. When staff proposes rules to implement in-use controls for the various categories of diesel engines, it will provide more detailed estimates, taking into account the specific issues associated with each category. This is a voluntary procedure. Accordingly, there will be no economic impacts associated with reasonable compliance with the regulation.

The proposed verification procedure, as described herein, would provide a way to thoroughly evaluate the emissions reduction capabilities and durability of a variety of diesel emission control strategies. The proposal provides sound guidelines for evaluation, while retaining the flexibility needed to reduce the burden on applicants and allow speedy implementation of the Diesel Risk Reduction Plan. The ARB staff recommends that the Board adopt new sections of 2700 to 2710, Title 13, California Code of Regulations, set forth in the proposed Regulation Order in Appendix A.

1 INTRODUCTION

State and local agencies have implemented many control measures during the last three decades to improve air quality. As a result, there has been a steady decline in both emissions and ambient pollutant concentrations. In particular, the number of Stage 1 Smog Alerts has dramatically declined over the last two decades. Nevertheless, ozone – the pollutant that has received the most attention from air quality regulators – still reaches unhealthful concentrations in several of California's air districts. The South Coast and San Joaquin Valley districts in particular must make significant progress if they are to achieve the national ozone standard.

Progress has also been made in reducing the ambient concentration of fine particles that is 10 microns and smaller (PM_{10}). However, exceedances of the State's PM_{10} standard continue to occur throughout the State. Further reductions are needed both in directly emitted particles, and in the emissions of precursors to secondary particles formed in the atmosphere.

In addition to maintaining efforts to reduce emissions that cause exceedances of both the ozone and PM_{10} ambient standards, the ARB is now faced with a newer challenge, that of reducing emissions of diesel PM. In 1998, the ARB identified diesel PM as a toxic air contaminant following a ten-year review process. A toxic air contaminant is an air pollutant which contributes to mortality or serious illness, or poses other potential hazards to human health. Most toxic air contaminants are volatile and are found primarily in the atmosphere as gases, but some are atmospheric particles or liquid droplets. Diesel PM is of particular concern, since it can be distributed over large regions, thus leading to widespread public exposure.

Because of the amount of diesel PM emitted into California's air, it is by far the number one toxic air contaminant. To address this large-scale health concern, the ARB adopted the Diesel Risk Reduction Plan in 2000. A significant component of the Diesel Risk Reduction Plan involves proposals to apply diesel emission control strategies to existing diesel vehicles and equipment in on-road, off-road, and stationary applications. Consequently, the first step in implementing any of the proposed diesel emission control regulations is verifying which control strategies will be effective in reducing emissions.

For years, the ARB has had a program to allow the sale of aftermarket engine parts. However, that program was created to ensure that a modification would not increase emissions, and is thus not appropriate to determine that a strategy reduces emissions and then to quantify that reduction. Thus, a new procedure was needed. This report describes that procedure, the Diesel Emission Control Strategy Verification Procedure (Procedure). The Procedure was developed by ARB staff to identify strategies that provide real and durable reductions in diesel PM emissions, as well as reductions in emissions of NOx which are ozone precursors. The primary function of the Procedure is to support the Diesel Risk Reduction Plan, but in light of California's persistent ozone problem, it will also evaluate technologies for reducing NOx emissions. The Procedure

encompasses on-road, off-road, and stationary applications and includes strategies such as alternative diesel fuels and fuel additives. The Procedure represents a cooperative inter-divisional effort that drew upon the expertise of staff in different areas as needed. Staff also worked with and will continue to work with the U.S. EPA on harmonizing the verification procedures between the two agencies.

While developing the Procedure, staff addressed several important issues such as durability, warranty, and in-use compliance testing. The durability and warranty tests ensure that verified strategies will perform as required during a specified time period. In-use compliance testing will allow ARB staff to confirm that production units are consistent with verified designs, therefore giving equivalent reductions. These considerations were incorporated into the proposed Procedure.

2 BACKGROUND

2.1 California's Air Quality Status

While California has made great strides in reducing air pollution in communities across the State, most Californians at times still breathe air that is harmful to health. Although some of the most obvious health impacts of pollution such as teary eyes and breathing discomforts caused by high levels of smog occur less frequently and affect fewer people, research indicates that many of us are still at risk from day-to-day exposures to air pollution. This research reinforces concern for pollutants that have long been targets for improvement – ozone, respirable particulate matter, carbon monoxide, and air toxics. The health impacts of air pollution – including lower lung growth, asthma attacks, cancer, and cardiac impacts such as heart attacks – still threaten the lives and well being of our children, the elderly and citizens who may be at special risk due to existing illness or high exposures.

Data from 1997 to 1999 indicates that five of the ten urban areas in the U.S. with the highest 1-hour ozone design values (all exceeding the 0.12 parts per million (ppm) 1-hour national standard) are located in California (ARB, 2001). Efforts to bring California's air districts into attainment have focused on reducing emissions of the ozone precursors, namely NOx and reactive organic gases. Diesel engines, in particular those in mobile applications, are significant sources of NOx, but emit less reactive organic gases. While most technologies for reducing NOx from diesel engines are not currently mature and tend to be costly, NOx reductions from this large source are essential if attainment is to be achieved.

Attainment of the standards for PM_{10} is a significant challenge. The PM_{10} problem is most prevalent in the western United States. Four of the six areas classified as serious PM_{10} nonattainment areas - the Coachella Valley, the Owens Valley, the San Joaquin Valley, and the South Coast Air Basin - are located in California. Because of the complex nature of the particulate matter problem, it will be many years before the standards are attained (ARB, 2001).

In addition to the criteria pollutants discussed above, ARB is also pursuing reductions in toxic air contaminants. To address this newly identified health threat, ARB developed and adopted the Diesel Risk Reduction Plan, described in the next section.

2.2 Diesel Risk Reduction Plan

Particulate matter emissions from diesel-fueled vehicles and engines are about 25,000 tons per year in California. These emissions come from a wide variety of sources including over one million on-road and off-road vehicles, about 16,000 stationary engines, and close to 50,000 portable engines. On-road engines account for about 27 percent of the emissions, off-road engines about 66 percent, with the remaining 7 percent from stationary and portable engines. With full implementation of the current vehicle standards on the books and vehicle turnover, diesel particulate matter will still be about 22,000 tons per year in 2010 and about 19,000 tons per year in 2020.

In 1998, following an exhaustive 10-year scientific assessment process, the ARB identified particulate matter from diesel-fueled engines as a toxic air contaminant. On a statewide basis, the average potential cancer risk associated with these emissions is estimated at over 500 potential cases per million. In the South Coast Air Basin, the potential risk associated with diesel PM emissions is estimated to be 1,000 per million people. In comparison to other air toxics the Board has identified and controlled, diesel PM emissions pose the dominant threat by being responsible for about 70 percent of the total ambient air toxics risk. In addition to these general risks, diesel PM can also present elevated localized or near-source exposures. Depending on the activity and nearness to receptors, these potential risks can range from small to 1,500 per million or more. As a result of this significant potential risk, when the Board identified diesel PM as a toxic air contaminant, it directed staff to convene an advisory committee of interested parties to engage in a dialogue on the steps that can be taken to reduce these emissions.

The Diesel Risk Reduction Plan is a very comprehensive plan to significantly reduce diesel PM emissions. The basic premise is simple: proposals to require all new diesel-fueled vehicles and engines to use state-of-the-art catalyzed diesel particulate filters (DPFs) and diesel fuel with very low sulfur content. Further, all existing vehicles and engines should be evaluated, and wherever technically feasible and cost-effective, required to install DPFs. Since the time of the drafting of the Diesel Risk Reduction Plan, staff has recently broadened the vision of the plan to incorporate not just DPF technologies, but any diesel emission control strategy for which significant emissions reductions can be verified.

In short, the Diesel Risk Reduction Plan contains the following three main proposed components:

1) New regulatory standards for all new on-road, off-road, and stationary diesel-fueled engines and vehicles to reduce diesel PM emissions by about 90 percent overall from current levels;

2) New emission control requirements for existing on-road, off-road, and stationary diesel-fueled engines and vehicles where determined to be technically feasible and cost-effective; and

3) New Phase 2 diesel fuel regulations to reduce the sulfur content levels of diesel fuel to no more than 15 parts per million by weight (ppmw) to provide the quality of diesel fuel needed by many advanced diesel PM emission controls.

The projected emission benefits associated with the full implementation of this plan, including proposed federal measures, are reductions in diesel PM emissions and associated cancer risks of 75 percent by 2010 and 85 percent by 2020. The measures contained in this plan will have a great impact on reducing the localized risks associated with activities that expose nearby individuals to diesel PM emissions. Other benefits associated with reducing diesel PM emissions include reduced ambient fine particulate matter levels, increased visibility, less material damage due to soiling of surfaces, and reduced incidences of non-cancerous health effects, such as bronchitis and asthma.

To ensure that the benefits just described are real, staff has developed a Diesel Emission Control Strategy Verification Procedure, which is the subject of this staff proposal. The Procedure is designed to ensure that emission reductions derived from the use of control strategies are both real and durable.

3 SUMMARY OF PROPOSED REGULATIONS

If an applicant chooses to follow it, the verification procedure for in-use strategies would require the applicant to perform emission reduction testing, conduct a durability demonstration, conduct a field demonstration, and submit results along with other information in an application to ARB following a prescribed format. If after reviewing the application ARB verifies the diesel emission control strategy, it will issue an Executive Order to the applicant stating the verified emission reduction and any conditions that must be met for the diesel emission control strategy to function properly. Verification also requires that the applicant provide a warranty to the end-user and conduct in-use compliance testing.

3.1 Application Process

Before formally submitting an application for the initial verification of a diesel emission control strategy, the applicant must, at the discretion of ARB, submit a proposed verification testing protocol for approval. In addition to describing the technology and outlining the applicant's plan for meeting the requirements of the Procedure, the applicant may also submit any existing data for ARB to determine if they may be used to partially satisfy any of the testing requirements. The proposal, like the application itself, must focus on verification of the strategy with a single emission control group.

The definition of an emission control group in brief is a set of diesel engines and applications defined by various engine and application parameters that are relevant to the performance of a particular diesel emission control strategy (see Section 4.2 for the full definition). Categorizing the diesel "universe" in this way instead of simply on an "engine family" basis, as is done for new engine certification, is an effective method for reducing the amount of testing needed. In the proposal, the applicant should suggest what the emission control group parameters and the parameters' values should be, based on the nature of its system. Ultimately, staff will work with the applicant to determine an appropriate set of parameters. After having developed preliminary emission control groups, the applicant must select one with which to verify its system.

Upon completion of all verification testing, the applicant may submit a formal application for verification. The formal application must include the results of the verification testing as described below. If after review of the application ARB chooses to verify the diesel emission control strategy, it will be classified as indicated in Table 1 below:

Table 1. Verification Classifications for Diesel Emission Control Strategies

Pollutant	Reduction	Classification
PM	< 25%	Not verified
	≥ 25% but < 50%	Level 1
	≥ 50% but < 85%	Level 2
	≥ 85%, or ≤ 0.01 g/bhp-hr	Level 3
NOx	< 15%	Not verified
	≥ 15%	Verified in 5% increments

Each verified strategy will receive an Executive Order in which ARB will specify the verification level and identify any terms and conditions that are necessary to support the verification.

After a diesel emission control strategy has been verified for a single emission control group, the applicant may apply for extensions of this verification to include other groups as well as design modifications. In both cases, the applicant may use additional test data, engineering analysis and justification, and any other information deemed necessary by staff.

3.2 Emission Testing Requirements

The applicant must test the diesel emission control strategy on an emission control group basis. Its selection of test engine and test fuel will factor into defining the emission control group for which the strategy is verified. The appropriate test cycles to use depend on the application, as shown in Table 2. The number of tests indicated in the table must be run both for baseline and control configurations. Additionally, backpressure and exhaust temperature must be recorded for each test run.

Table 2. Test Cycles for Emission Reduction Testing*

Test Type	On-Road	Off-Road (including portable engines)	Stationary
Engine	FTP Heavy-duty Transient Cycle (1 cold-start and 3 hot-starts)	Steady-state test cycle from ARB off-road regulations (3 hot-starts)	Steady-state test cycle from ARB off-road regulations (3 hot-starts)
Chassis	UDDS (1 cold-start and 3 hot-starts) and ARB approved test cycle described below.	Not Applicable	Not Applicable

*Additional hot-starts are required for NOx emission reduction between 15-25 percent. FTP = Federal Test Procedure; UDDS = Urban Dynamometer Driving Schedule

For NOx reductions greater than the minimum of 15 percent but less than 25 percent, test runs beyond those indicated in Table 3 are required. Each set of three hot-starts in Table 2 must be augmented to five hot-starts for 20-25 percent NOx reductions, and to nine hot-starts for 15-20 percent NOx reductions (see Table 3). The same applies for durability testing. Appendix D provides detailed statistics for determining the number of additional test runs.

Table 3. Hot-Start Test Requirements for Verifying NOx Reductions Between 15 and 25 Percent

NOx Reduction	Hot-Start Test Runs
≥ 25%	3
≥ 20% and < 25%	5
≥ 15% and < 20%	9

For any diesel emission control strategy intended for use with on-road engines, verification of NOx emission reductions requires testing with an additional test cycle, proposed by the applicant and approved by ARB, which triggers any "defeat devices." Test repetitions are determined in accordance with Table 3.

In general, the applicant may request ARB to approve an alternative test cycle or method in place of a required test cycle or method. ARB will review the alternative using criteria described in the Procedure.

At a minimum, total PM, hydrocarbons, NOx, nitrogen dioxide (NO_2), carbon monoxide, and carbon dioxide emissions must be measured. In addition, ARB may require the applicant to perform additional exhaust analyses if there is reason to believe that the use of the diesel emission control strategy may result in the increase of toxic air contaminants, other harmful compounds, or a change in the nature of the emitted PM (such as the nano-particle formation). In its determination, staff may consider such factors as whether any substance is added to the fuel, intake air, or exhaust stream, whether a catalytic reaction is known or reasonably suspected to increase toxic air contaminants, results from scientific literature, field experience, and any additional data. All of this information will help staff to understand the potential adverse health effects associated with use of the diesel emission control strategy.

3.3 Durability Testing Requirements

The applicant must demonstrate, to the satisfaction of the ARB, the durability of the diesel emission control strategy's emission reductions. The durability demonstration consists of application of the strategy in the field or in a laboratory over some period of time or distance (indicated in Table 4) combined with emissions testing at the beginning and end of the demonstration period. If the applicant chooses a laboratory-based durability demonstration, an additional field demonstration test will be required to demonstrate in-field compatibility (see Section 3.4). Whether the applicant performs an in-field durability demonstration or the additional field demonstration, it must also provide a written statement from an ARB-approved third party, such as the owner or

operator of the vehicle or equipment used. The statement must describe overall performance, maintenance required, problems encountered, the results of a visual inspection, and any other relevant comments. The applicant may request ARB to accept an existing field demonstration.

Table 4. Minimum Durability Demonstration Periods

Engine Type	Minimum Durability Demonstration Period
On-Road	50,000 miles or 1000 hours
Off-Road (including portable engines) and Stationary	1000 hours
Stationary emergency generators	500 hours

For both the initial and final emission tests, the applicant must test the diesel emission control strategy using a test cycle(s) as indicated in Table 5. The applicant must use the same cycle for both sets of testing. If there are substantial test data from previous field studies or field demonstrations, applicants may request ARB to waive the initial emission tests.

Table 5. Emission Tests Required for Durability Demonstrations

Application	Test Type	Initial Test (0% of durability period) Final Test (100% of durability period)
On-Road	Engine	FTP Heavy-duty Transient Cycle (1 cold and 3 hot-starts)
	Chassis	UDDS (1 cold 3 hot-starts) and ARB-approved low-speed test cycle (3 hot-starts)
Off-Road and portable engines	Engine	Steady-state test cycle from ARB off-road regulations or an alternative cycle (3 hot-starts)
Stationary	Engine	Steady-state test cycle from ARB off-road regulations or an alternative cycle (3 hot-starts)

Note that baseline testing (without the diesel emission control strategy implemented) is required only for the initial test or the final test.

If, for off-road and stationary applications only, ARB is convinced that the diesel emission control strategy is technologically sound and appropriate for the intended emission control group, a conditional verification may be granted upon completion of 33 percent of the minimum durability period. Full verification is contingent on completion of the durability testing and submission of test results.

If the diesel emission control strategy fails to maintain its initial verified percent emission reduction or emission level during the durability demonstration period, ARB will downgrade the system to the verification level corresponding to the degraded performance. If the diesel emission control strategy fails to maintain at least a 25 percent PM reduction or 15 percent NOx (if applicable) reduction during the durability period, the diesel emission control strategy will not be verified. The applicant must submit a report explaining the circumstances of the failure. ARB will then determine if the applicant should continue the durability demonstration after fixing the failed system or begin a new durability demonstration.

3.4 Field Demonstration Requirements

The applicant must demonstrate successful operation and compatibility of its diesel emission control strategy in the field with at least one vehicle or engine belonging to the emission control group it chooses for verification. For most applications, the field demonstration test period is a minimum of 200 hours or 10,000 miles, whichever occurs first. For stationary emergency generators, the test period is 24 hours of simulated

maintenance because they are used infrequently. ARB will consider existing field experience and engineering justification to determine whether additional emission control groups require separate field demonstrations. If the durability demonstration selected is a field test (see Section 3.3), it may be used to satisfy the field demonstration requirement for that emission control group.

A written statement from an ARB-approved third party, such as the owner or operator of the vehicle or equipment used in the field demonstration, must be provided at the end of the test period describing overall performance, maintenance required, problems encountered, the results of a visual inspection, and any other relevant comments. If the strategy fails, the applicant must submit a report explaining the circumstances of the failure.

3.5 Other Requirements

- Engine Backpressure and Monitoring: During the emission and durability testing and field demonstration, the applicant must demonstrate that the backpressure caused by its diesel emission control system is within the engine manufacturer's specified limits, or will not result in any damage to the engine. Also, a backpressure monitor must be installed with all filter-based systems.

- Noise Level Control: Any diesel emission control system that replaces a muffler must continue to provide at a minimum the same level of exhaust noise attenuation as the muffler with which the vehicle was originally equipped by its manufacturer.

- System Label: The applicant must provide a label for each diesel emission control system which includes the diesel emission control strategy family name (see section 4.3.6.4) and other information.

- Other Informational Requirements: The applicant must describe fuel and oil requirements, maintenance requirements, provide an owner's manual, and additional information that ARB may require to assess environmental impacts associated with use of the diesel emission control strategy.

3.6 Limit on Nitrogen Dioxide

Measurements of NO_X emissions from heavy-duty diesel vehicles equipped with passive catalyzed filters have shown an increase in the ratio of NO_2 to nitric oxide (NO), while the total NO_X emissions remain approximately the same. Atmospheric modeling studies have found that an NO_2 to NO_X emission ratio of about 20 percent would nearly eliminate any impact of increased NO_2 emissions. The health benefits derived from the use of PM filters are immediate and offset the possible adverse effects of increases in NO_2 emissions. For this reason, staff proposes that a cap of 20 percent NO_2 to baseline NO_X emission ratio be established for all diesel emission control strategies (see section 4.3.4 for a more detailed discussion).

3.7 Warranty

The applicant must provide a defects and performance warranty with a minimum coverage as shown in Table 6. For each engine type and size, the warranty period is that which occurs first. The applicant must also include a copy of the prescribed warranty statement in the owner's manual.

Table 6. Minimum Warranty Periods

Engine Type	Engine Size	Minimum Warranty Period
On-Road	Light heavy-duty, generally 70 to 170 hp, Gross Vehicle Weight Rating (GVWR) normally less than 19,500 lbs.	5 years or 60,000 miles
	Medium heavy-duty, generally 170 to 250 hp, GVWR normally from 19,500 lbs. to 33,000 lbs.	5 years or 100,000 miles
	Heavy heavy-duty, generally exceeds 250 hp, GVWR normally exceeds 33,000 lbs.	5 years or 150,000 miles
Off-Road (includes portable engines) and Stationary	Under 25 hp, and for constant speed engines rated under 50 hp with rated speeds greater than or equal to 3,000 rpm	3 years or 1,600 hours
	At or above 25 hp and under 50 hp	4 years or 2,600 hours
	At or above 50 hp	5 years or 4,200 hours

3.8 Determination of Emission Reduction

The verification of a diesel emission control strategy's emission reduction by ARB will be based on the average of all valid emission and durability test results before and after the installation of the diesel emission control system. For applicants that are verifying that a diesel emission control system can achieve an absolute PM emission level of 0.01 grams per brake horsepower-hour (g/bhp-hr), a simple average of the test results will be used.

3.9 In-Use Compliance Requirements

The in-use compliance requirements apply to all diesel emission control strategies. In-use compliance testing is required when at least 50 units of a specific diesel emission

control strategy family have been sold in the California market, and consists of two phases.

In the first phase of in-use compliance testing, applicants must obtain and test systems which have been operated for at least one year or are within three months of their first maintenance, whichever comes first. Applicants must use the same testing procedure and test cycle(s) that were used in the strategy's original verification. A minimum of four diesel emission control systems must be tested. For each system tested that performs lower than 90 percent of the lower bound of its verified level, two more diesel emission control systems must be obtained and tested. This process is to continue as necessary, with the constraint that the total number of systems tested may not exceed ten. A system is in compliance if at least four units pass and at least 70 percent of all tested units pass. A unit passes if its emission reduction is greater than 90 percent of the lower bound of the initially verified emission reduction level.

In the second phase of the in-use compliance testing, applicants must obtain and test systems which have been operated between 60 and 80 percent of their minimum warranty period. The testing requirements are identical to those in first phase of in-use compliance testing.

If a system fails during either phase one or phase two of in-use compliance testing, the applicant must submit an investigative report detailing the causes of the failure. After completing all testing in a phase, the applicant must submit an in-use compliance report to ARB that includes information described in the Procedure. If a system does not pass, the applicant must submit a remedial report for ARB review. Depending on its evaluation of the remedial report, ARB may lower a strategy's verified emission reduction level or may revoke verification.

The staff's proposal includes a provision that if the structure or uniqueness of the industry in which the diesel emission control systems are used creates difficulty in conducting the testing described above, applicants may propose an alternative method for determining in-use compliance.

3.10 Special Requirements for Fuel-based Strategies

Some diesel emission control strategies rely on fuel changes either through use of additives or through use of alternative diesel fuels. Those strategies are subject to some specific requirements described below. Fuel based strategies must undergo review by the California Environmental Protection Agency Environmental Policy Council and comply with section 43830.8 of the Health and Safety Code requiring testing of multimedia effects. For a full description of these requirements, see section 4.3.5.

3.10.1 Fuel Additives

Additional requirements apply to diesel emission control strategies that use fuel additives. Fuel additives must be used in combination with a diesel particulate filter unless they can be proven to be safe for use alone. The applicant must submit the exact chemical formulation of the fuel additive. Every two years, the applicant must update the environmental, toxicological, epidemiological, and other health-related data pertaining to the fuel additive. Additive strategies which involve on-board storage of the additive must include fill-level monitors to notify the operator when refill is necessary. Finally, emission testing for additives with metal constituents must be replicated at high metal concentrations. See section 4.3.5.1 for more detail.

3.10.2 Alternative Diesel Fuels

The verification procedure also applies to diesel emission control strategies that involve use of alternative diesel fuels. Examples of alternative diesel fuels include but are not limited to biodiesel fuels, Fischer Tropsch fuels, and water emulsified fuels. The verification procedure for alternative diesel fuels follows that for other diesel emission control strategies, but has additional requirements including comparative testing and a description of fuel properties.

In each emission test of an alternative diesel fuel, exhaust emissions of HC, CO, NOx, and PM must be measured. The tests must be performed using an engine or vehicle from the emission control group chosen by the applicant for verification. If both hot and cold-start tests are performed then at least five cold-start and five hot-start tests must be conducted with both the alternative diesel fuel and the reference fuel using an engine or chassis dynamometer. If only hot starts are performed, then one of the test sequences described in the Procedure must be followed which consists of at least twenty or twenty-one tests with each fuel. The test cycles used to verify the fuel are the same as the test cycles used in the proposed test procedure (see Table 2).

In addition to the exhaust emission tests described above, the applicant must also meet the durability testing requirements described in Section 3.3. Following completion of the service accumulation, the applicant must provide data showing that the candidate alternative diesel fuel does not adversely affect the performance and operation of diesel engines or cause premature wear or damage to diesel engines. This must include but is not limited to data on lubricity, corrosion, and damage to engine parts such as fuel injector tips. The applicant must provide data showing under what temperature and conditions the candidate alternative diesel fuel remains stable and usable in California.

4 DISCUSSION

This section of the report includes a more detailed discussion of the proposal and the reasoning staff used in developing the proposal.

4.1 Categorization of Diesel Emission Control Strategies

In developing the Diesel Risk Reduction Plan, staff originally envisioned a requirement that diesel emission control strategies achieve a PM emission rate of 0.01 grams per brake horsepower-hour level (g/bhp-hr), or an 85 percent or greater PM reduction. These levels were determined based on the performance of catalyzed passive diesel particulate filters (DPFs). However, subsequent investigation and field trials have indicated that passive DPFs do not work with some applications and engines. For instance, most two-stroke diesel engines (common in transit buses) have exhaust that is too cold and dirty for current passive DPF designs. Lower levels of PM reduction have been repeatedly demonstrated in the U.S. with other technologies, however, such as diesel oxidation catalysts (DOCs). Results vary, but DOCs are typically capable of reducing PM by 25 percent on a mass basis. ARB faces the challenge of reducing PM emissions from virtually all diesel engines in on-road, off-road, and stationary applications, but the only high-efficiency control strategy proven out so far in the U.S. has limited application. In recognition of this, and in order to facilitate the implementation of emission control strategies, ARB has incorporated a multi-level verification system in the verification procedure.

The multi-level verification system consists of three PM reduction levels as shown in Table 7. Adoption of this system should broaden both the spectrum of control technologies available to participate in California's diesel emission control effort and the number of applications that can be controlled. Having opened the door to other strategies for reducing diesel PM, DOCs, for instance, may find a role to play with the oldest, dirtiest engines still in use, giving a Level 1 PM reduction. Combinations of different strategies may also find appropriate applications, such as the use of DOCs together with water-emulsified fuel, which would most likely qualify as a Level 2 system. Both active and passive DPFs would qualify for Level 3 verifications, covering most of the cleaner applications in which neither oil consumption nor energy requirements for regeneration are excessive. It should be noted that, while staff is recommending a multi-level approach to verification, ARB is not deviating from the goal to achieve the maximum reductions in diesel PM emissions that is economically and technologically feasible.

Table 7. PM Verification Levels

Category	PM Reduction
Level 1	≥ 25 but < 50 percent
Level 2	≥ 50 but < 85 percent
Level 3	≥ 85 percent, or 0.01 g/bhp-hr

Although a multi-level approach has been selected for PM, only a minimum verifiable reduction has been chosen for NOx (refer back to Table 1). The primary reason for this distinction lies in the difference in nature of these two pollutants. In 1998, diesel PM was classified by ARB as a toxic air contaminant. Health effects from toxic air

contaminants may occur at extremely low levels of exposure, and it is typically difficult to identify levels that do not produce adverse health effects. A level-approach gives a hierarchical structure for PM-reducing technologies, within which higher levels naturally give connotations of being "better." The primary concern with NOx is that it is an ozone precursor, and ambient air quality standards do exist for ozone.

4.2 Emission Control Groups

Experience with passive catalyzed DPFs led staff to better define ARB's role in diesel emission control strategy verification. As described in Appendix B, diverse and highly application-specific factors play a role in determining the success or failure of a passive DPF in a given application. Staff's initial thought was to verify systems by engine family, using the system developed for new engine certification. However, considering only new engine certification information is far from adequate to predict how a passive DPF will work with a given application. Any meaningful predictive effort is best left to the applicant because it requires duty cycle information on a vehicle-by-vehicle basis. ARB's role is to determine if a given strategy's emission reductions are real and durable, to establish the emission reduction level, to verify that the strategy has had successful field experience, and to investigate any secondary emissions of concern.

In order to evaluate a diverse set of diesel emission control strategies for use with a highly diverse in-use diesel fleet, ARB needs some way of categorizing diesel vehicles and equipment in a practical and flexible manner. Therefore, staff developed a new system that uses basic, control strategy-significant parameters of both the engine and application to create "emission control groups." The parameters and their values depend on the nature of the strategy. This built-in flexibility is essential because ARB will evaluate quite diverse technologies with this single Procedure.

Table 8 below shows some sample parameters and values that may be used to determine the emission control groups for passive catalyzed DPFs used in on-road applications.

Table 8. Sample Parameters and Values for Passive DPFs in On-Road Applications

Parameters		Values			
Application	Vehicle operation	Higher speed, less stop-and-go		Lower speed, more stop-and-go	
	Intermittent Idling	Infrequent		Frequent	
	Fuel	≤ 15 ppmw sulfur		Standard	Other
Engine	PM cert. level	0.1	0.25	0.6	Unregulated
	Cycle	4-stroke		2-stroke	
	Aspiration	Turbocharged		Natural	
	EGR	With		Without	

One emission control group for on-road applications, for example, would be all lower-speed vehicles with significant stop-and-go operation, fueled with standard diesel fuel, and powered by turbocharged, four-stroke diesel engines originally certified to the 0.25 g/bhp-hr PM standard. This emission control group would include some number of buses and refuse haulers, for instance. An example of what one emission control group might look like for stationary applications is shown in Table 9. Emission control groups for other applications and dissimilar emission control strategies could differ, and will be determined by staff as necessary with input from applicants.

Table 9. Example of an Emission Control Group for Passive DPFs in a Stationary Application

Application Parameters	**Example Values**
Uses	Emergency Standby Generator
Maximum Idle Hours per Day	4 hours
Minimum Load/Time Requirements for Regeneration	50% load for 30 minutes every 2 months
Exhaust Temperature range required for designed operation	250 – 400 degrees Celsius
Minimum Temperature Required to Maintain Over % of Hours of Operation	350 degrees Celsius over 20% of total hours of operation.
Maximum Idle % of Engine Operation	30%
Fuel	Low Sulfur CARB Diesel (<15 ppmw)
Engine Parameters	**Example Values**
Makes/Models	Manufacturer X, (models a thru z)
Engine Displacement	1500 cubic inches
PM Certification Level (test method)	0.06 g/bhp-hr (off-road certification test)
NOx Certification Level (test method)	6.9 g/bhp-hr (off-road certification test)
Cycle	4-stroke
Horsepower	1200 bhp
Maximum Backpressure Specifications	30 inches of H20
Aspiration	Turbocharged

Because the verification procedure is to be used for a wide range of technologies, each with its own nature, strengths and weaknesses, applicant input is important. In the early stages of the application process, the applicant is encouraged to assist staff in determining a set of parameters appropriate for its diesel emission control strategy. This coordination with staff will help identify appropriate use of any existing data and potentially reduce the amount of testing that would be required under an engine family based system.

Emission control groups are fully integrated into the verification procedure for both initial verifications and extensions of existing verifications. For the initial verification of a diesel emission control strategy, the applicant must restrict its application to a single emission control group. By requiring that the scope of the first application be thus restricted, staff will be more able to conduct a thorough review of the diesel emission control strategy. Extensions of existing verifications need not be limited to a single emission control group, but are nevertheless made on an emission control group basis.

4.3 Initial Verification Requirements

For a diesel emission control strategy to be verified, it must fulfill testing and informational requirements discussed below. Responsibilities of an applicant after its strategy is verified are discussed in section 4.4.

4.3.1 Emission Testing

The primary aim of emission testing is to ensure that diesel emission control strategies give real emission reductions without generation of harmful secondary emissions.

4.3.1.1 Test Engine/Vehicle

The applicant may select the engine(s) or engine/vehicle combination(s) it wishes to test, provided that the selection is within the emission control group chosen for verification. It may be to the applicant's advantage to test engines within the emission control group that are considered "worst case" for the particular diesel emission control strategy being tested in that doing so could assist the applicant's engineering justification that the strategy is appropriate for use with another emission control group. If, for instance, the emission control group being applied for includes 1994-2001 model year on-road engines, successful testing with a higher-emitting 1994 engine with a sub-standard maintenance history may make a stronger case for extending a verification to 1991-1993 engines than had a 2001 engine been tested.

4.3.1.2 Test Fuel

There are a number of considerations for the applicant to make when selecting the test fuel:

- The test fuel must meet California's diesel fuel specifications described in Sections 2280-2283, Title 13 of the California Code of Regulations, with the exception of sulfur content and any other properties identified by the applicant and approved by staff.
- If operation or performance of a diesel emission control strategy is affected by fuel sulfur content, the sulfur content of the test fuel must be no less than 66 percent of the stated maximum sulfur content for the diesel emission control strategy, unless
  - (A) the testing is performed with fuel containing 15 ppmw or less sulfur for verification on 15 ppmw or less sulfur diesel fuel, or
  - (B) the testing is performed with diesel fuel commercially available in California for verification on CARB diesel fuel.

Unless fuel modifications are part of the diesel emission control strategy, baseline testing must be conducted with the same fuel used in control tests. This requirement separates any emission reductions associated with changes in fuel composition from those achieved by the diesel emission control strategy.

If the diesel emission control strategy requires a specific fuel (e.g. fuel with 15 ppmw or less sulfur is needed for some catalyzed filters), testing must be conducted using that fuel. If there are any differences between this fuel and commercial California diesel fuel, the applicant must indicate what they are. These differences will define, in part, the emission control group for which the strategy is verified. It should be noted that 15 ppmw or less sulfur fuel is now the standard for California transit buses as of July, 2001, and will be required nationwide in 2006.

Regardless of the fuel used, the test fuel (or batch of fuel purchased) must be analyzed using American Society for Testing and Materials (ASTM) test methods (see Appendix A). At a minimum, the fuel's content of sulfur, aromatics, polycyclic aromatic hydrocarbons, and nitrogen, and the cetane number must be measured and reported. ARB may ask for additional properties to be reported if evidence suggests those properties may affect functioning of the diesel emission control strategy.

4.3.1.3 Test Cycle

Table 2, below, indicates which test cycles the applicant must use to verify a diesel emission control strategy's emission reductions. In testing for on-road emission control groups only, the applicant may choose between engine and chassis dynamometer-based testing. Note that the emission test data may be used as the initial durability test data as well, but that the same test method and cycle must be used in the final durability test for consistency.

Table 2. Test Cycles for Emission Reduction Testing*

Test Type	On-Road	Off-Road (including portable engines)	Stationary
Engine	FTP Heavy-duty Transient Cycle (1 cold-start and 3 hot-starts)	Steady-state test cycle from ARB off-road regulations (3 hot-starts)	Steady-state test cycle from ARB off-road regulations (3 hot-starts)
Chassis	Heavy-duty UDDS (1 cold-start and 3 hot-starts) and another ARB approved test cycle as described below (3 hot-starts)	Not Applicable	Not Applicable

* Additional hot-starts are required for NOx emission reduction between 15 to 25 percent (see section 2703 (h).
FTP = Federal Test Procedure
UDDS = Urban Dynamometer Driving Schedule

Chassis dynamometer testing for on-road applications requires two test cycles: the Urban Dynamometer Driving Schedule (UDDS) for heavy-duty vehicles, which is a common test cycle that replicates the FTP test cycle, and a lower-speed cycle with events of maximum vehicle acceleration from intermittent idle periods, such as the New York Bus Cycle (NYBC). Out of all the chassis test cycles available, these two types were selected so that a wide range of on-road operation, from freeway conditions to urban stop-and-go, would be covered. The applicant's choice of low-speed chassis test cycle must be approved by staff, and staff will provide suggested cycles at the applicant's request. The engine dynamometer testing option only requires one test cycle, the FTP, because no stop-and-go type engine cycle exists at this time. However, since new engine certification is conducted using the FTP cycle, a greater body of knowledge is available to draw upon.

For NOx emission reductions only, ARB has established a minimum reduction that it will verify of 15 percent relative to the baseline. For reductions that are 25 percent and greater, the testing thus far described is sufficient. For reductions between 15 and 25 percent, additional testing is required to ensure an accurate determination of the reduction in the face of test-to-test variability. The number of hot-start test runs must be increased to five for NOx reductions between 20 and 25 percent, and nine for reductions between 15 and 20 percent (see Appendix D for the statistical determination of these additional test runs). Consider a diesel emission control strategy that reduces NOx between 15 and 20 percent. If chassis testing is selected, for example, one cold and nine hot-start UDDS and nine hot-start low-speed cycle tests are required. Similarly, durability testing requires one cold and nine hot-start tests.

For any diesel emission control strategy which is designed to reduce NOx emissions from on-road engines, additional testing beyond that specified in Table 2 is required. This requirement arises because many engine manufacturers incorporated "defeat devices" into electronically-controlled on-road heavy-duty diesel engines. During certification testing, these engines meet NOx standards. During "off-cycle" highway operation, however, the defeat device alters engine operation to be more efficient but results in NOx emissions far above the standard. To verify reductions in NOx emissions from on-road engines, therefore, the applicant must test its strategy using an additional test cycle (proposed by the applicant and approved by ARB) that will trigger any form of defeat device. Staff will evaluate the proposed test cycle based on its representativeness of real-life operation and consistency with established procedures for determining off-cycle emissions. The European Stationary Cycle, which will be a required test cycle for engine certification, may not be adequate for the purposes of this Procedure, given the general lack of knowledge at this time concerning parameters that trigger defeat devices.

In October 1998, ARB and U.S. EPA reached court settlements with the engine manufacturers that had used defeat devices. The resulting consent decree had a number of requirements for the manufacturers to fulfill. Although the Procedure can be used to evaluate NOx reductions, staff emphasizes that a verification in no way

indicates a determination that a diesel emission control strategy satisfies any of the requirements set forth in the consent decrees.

For both off-road and stationary applications, the applicant must choose a steady-state test cycle and method indicated in the ARB off-road regulations (California Code of Regulations, Title 13, Section 2423 and the incorporated California Exhaust Emission Standards and Test Procedures for New 2000 and Later Off-Road Compression-Ignition Engines, Part I-B). The applicant must choose the most representative off-road test cycle for the emission control group for which it seeks verification.

The applicant may request staff to approve an alternative test cycle to those listed in Table 2 if the need arises. Some of the criteria staff will use in evaluating a proposed alternative are:

- Similarity of average speed, percent of time at idle, average acceleration, and other characteristics to the specified test cycle or method,
- Body of existing test data generated using the alternative test cycle or method,
- Technological necessity, and
- Technical ability to conduct the required test.

4.3.1.4 Test Run

The number of baseline test runs (i.e., without the diesel emission control strategy implemented) must equal the number of control test runs. Also, for filter-based strategies, both the engine backpressure and exhaust temperature must be measured and recorded on a second-by-second basis for at least one baseline run and for all of the control test runs. This information will assist staff in understanding what goes on inside the "black box" as the test cycle progresses.

4.3.1.5 Emissions During Regeneration Events

As noted in Appendix B of this report, some diesel emission control strategies capture and store diesel PM and periodically burn it off using some external energy input. The verification procedure requires that emissions be measured during these regeneration events. If a regeneration event will not occur over the course of a given test cycle, applicants may pre-load the diesel emission control system with PM such that an event will occur within a test cycle. For any diesel emission control strategy that does not regenerate during normal operating conditions in the vehicle or equipment (for example, the filter is regenerated in an off-site oven), applicants must propose an appropriate method to measure the emissions at the regeneration event.

4.3.1.6 Exhaust Analyses

For all test runs, the applicant must report the emissions of total PM, non-methane hydrocarbons or total hydrocarbons (whichever is used for the relevant engine or vehicle certification), total NOx, NO_2, carbon monoxide and carbon dioxide.

In addition to the pollutants mentioned above, the Executive Officer may require that the applicant perform additional exhaust analyses if there is reason to believe that the use of a diesel emission control strategy may result in the increase of toxic air contaminants, other harmful compounds, or a change in the nature of the emitted PM. The verification procedure is intended to verify emission reductions from an extremely diverse range of technologies, ranging from DPFs to alternative diesel fuels, that may have unforeseen side-effects on diesel emissions. Some forms of catalysis used in passive DPFs have already been shown to significantly increase the NO_2 fraction of NOx emissions. Therefore, staff deems it essential that additional analyses be required as necessary. The following criteria form the basis for ARB's determination if any additional analyses are required:

- The nature of any substance added to the fuel, intake air, or exhaust stream,
- Whether a catalytic reaction is known or reasonably suspected to increase toxic air contaminants or ozone precursors,
- Results from scientific literature,
- Field experience, and
- Any additional data.

Additional analyses may include, but are not limited to, measurement of benzene, 1,3-butadiene, formaldehyde, acetaldehyde, polycyclic aromatic hydrocarbons (PAH), nitro-PAHs, dioxins, and furans.

4.3.1.7 ARB Presence During Testing

For any diesel emission control strategy sold, offered for sale, or manufactured for sale in California, ARB may require the applicant to make available for testing and/or inspection a reasonable number of units, and direct that they be delivered to a location specified by ARB. Furthermore, ARB may have an applicant test and/or inspect a reasonable number of units at the applicant or manufacturer's facility or at any test laboratory under the supervision of ARB staff. These powers are consistent with existing regulations for new engines.

4.3.2 Durability Testing

The previous section on emission testing described how ARB intends to verify emission reductions for diesel emission control strategies. This section focuses on the procedure for verifying that a strategy's emission reductions are durable. The applicant may choose to perform either an actual field demonstration or a laboratory-based demonstration. In either case, the emission tests must be conducted at the beginning and end of durability period to investigate the performance of the diesel emission control strategy over time. If the applicant opts for a laboratory-based durability demonstration, it must then demonstrate in-field compatibility as described in Section 4.3.3 of this report. If the applicant has demonstrated durability for the identical system in a prior verification or has demonstrated durability through field experience, the applicant may

request ARB to accept the previous demonstration. In evaluating such a request, staff will consider relevant information including, but not limited to:

- Similarity of baseline emissions and application duty cycles,
- The relationship between the emission control group used in previous testing and the current emission control group,
- Number of engines tested,
- Evidence of successful operation and user acceptance, and
- Published reports.

4.3.2.1 Engine Selection

Subject to ARB approval, the applicant may choose the engine and application to be used in the durability demonstration. The engine and application must be representative of the emission control group for which verification is sought. The selected engine need not be the same as the engine used for emission reduction testing, but if the applicant does use the same engine, the emission reduction testing can also be used for the initial durability tests.

4.3.2.2 Service Accumulation

Staff had originally envisioned requiring durability demonstrations as great as 150,000 miles for heavy-heavy duty vehicles, in order to reflect the long lifetimes of most diesel engines. However, engine manufacturers and emission control device manufacturers have commented that such periods were too great and posed a large barrier to getting diesel emission control strategies verified. At the same time, representatives for the end-users have indicated that such periods were small compared to the mileage accumulated by many heavy-duty vehicles on the highway. Nevertheless, ARB does recognize the significant amount of both time and money required to meet the originally proposed service accumulation periods, in particular the burden it places on small manufacturers. Because of these concerns, and to be more consistent with new engine certification requirements, staff proposes a durability demonstration of 50,000 miles or 1000 hours for on-road applications, and 1000 hours for off-road applications. As stationary emergency generators typically experience less sustained operation, staff proposes a 500 hour durability period for that equipment (see Table 4).

Table 4. Minimum Durability Demonstration Periods

Engine Type	Minimum Service Accumulation
On-Road	50,000 miles or 1000 hours
Off-Road (including portable engines) and Stationary	1000 hours
Stationary emergency generator	500 hours

For in-field service accumulation, the application selected must be representative of the engines and applications of the emission control group for which verification is sought. For service accumulation in the laboratory, the applicant must propose a duty cycle approved by staff. The duty cycle should be representative of operation of the engine/vehicle in the field. Staff envisions most applicants selecting a "worst case" member of the emission control group to facilitate subsequent extensions of the initial verification.

4.3.2.3 Emission Testing for the Durability Demonstration

The staff proposes that emissions testing be conducted as part of the durability demonstration. This testing would provide further certainty that the emissions control strategy was durable both physically and in functionality.

Table 5 shows the emission testing required during the durability demonstration. The diesel emission control strategy must be tested a minimum of twice over the course of the durability demonstration period: once at the beginning and once at the end. Baseline testing is required only once, either before the initial test of the emission control strategy, or following the final test of the emission control strategy. The tests are intended to provide a picture of how the performance of a diesel emission control strategy may change over time. If there are substantial test data from previous field studies or field demonstrations, applicants may request the ARB to waive the initial emission tests. As described for emission testing, engine backpressure and exhaust temperature upstream of a filter-based diesel emission control system must be measured and recorded over the entire durability test. The measurements must be recorded at time intervals not to exceed two minutes over the entire durability demonstration period. This data-logging is helpful for indicating the frequency of regeneration, and providing a greater understanding of the diesel emission control system.

Table 5. Emission Tests Required for the Durability Demonstration

Application	Test Type	Test 1 (0% of durability period)	Test 2 (100% of durability period)
On-Road	Engine	FTP Heavy-duty Transient Cycle (1 cold and 3 hot-starts)	
	Chassis	UDDS (1 cold and 3 hot-starts) and an ARB approved low-speed test cycle (3 hot-starts)	
Off-Road and portable engines	Engine	Steady-state test cycle from ARB off-road regulations or an alternative cycle (3 hot-starts)	
Stationary	Engine	Steady-state test cycle from ARB off-road regulations or an alternative cycle (3 hot-starts)	

For on-road applications, the testing depends on the nature of the service accumulation. If an in-field demonstration is selected, the applicant would typically perform chassis dynamometer testing, unless staff approves a request to consider engine dynamometer testing. In reviewing such a request, staff will consider the following: (1) similarity of the field vehicle's engine to the laboratory engine, and (2) similarity of the diesel emission control system's calibration and set-up when installed on the field vehicle to that when installed on the laboratory engine. While staff does not encourage this approach, it does recognize both the limitations on the number of heavy-duty chassis dynamometers available and also the fact that some diesel emission control systems are sufficiently simple that they can still be satisfactorily evaluated on a different engine. As shown above in Table 5, the applicant must use the same cycles and emission testing procedure as described in Section 4.3.1.

For off-road and stationary applications, the applicant must use the same cycle it chooses for emission testing as described in Section 4.3.1. Similarly, a minimum of three hot-start tests is required.

4.3.2.4 Maintenance

Except for emergency engine repairs, only scheduled maintenance on the engine and diesel emission control system may be performed during the durability demonstration. If normal maintenance includes replacement of any component of the diesel emission control system, a description of the maintenance, including the time (miles, years, or hours) between component change or re-fill must be included with the results of the demonstration. This includes the re-fill of any form of fuel additives stored on-board.

4.3.2.5 Performance Requirements

Throughout the durability demonstration period, the diesel emission control strategy must meet the following requirements:

(1) If the applicant claims a percent emission reduction, the percent emission reduction must meet or exceed the initial verified percent emission reduction level.
(2) If the applicant claims to achieve 0.01 g/bhp-hr, the emission level must not exceed the 0.01 g/bhp-hr emission level.
(3) The diesel emission control system must maintain its physical integrity. Its physical structure and all of its components not specified for regular replacement during the durability demonstration period must remain intact and fully functional.
(4) The diesel emission control strategy must not cause any damage to the engine.
(5) The backpressure caused by the diesel emission control strategy should not exceed the engine manufacturer's specified limits, or must not result in any damage to the engine.
(6) No maintenance of the diesel emission control system beyond that specified in its owner's manual will be allowed without prior ARB approval.

4.3.2.6 Failure to Maintain Emission Reduction Performance

If the diesel emission control strategy does not maintain its initial emission reduction over the durability period for any reason, staff may downgrade the system to the verification level corresponding to the degraded performance, as determined by emission test results. If the diesel emission control strategy fails to maintain at least a 25 percent PM reduction or 15 percent NOx reduction (if applicable), it will not be verified. If the strategy fails, the applicant must submit a report explaining the circumstances of the failure within 90 days of the event. ARB will then determine if the applicant should continue the durability demonstration after fixing the failed system or begin a new durability demonstration.

4.3.2.7 Conditional Verification for Off-Road and Stationary Applications

In light of the small market share of diesel emission control strategies for highly diverse off-road and stationary applications, facilitating an early introduction of those strategies would provide economic incentives for manufacturers to pursue these markets. To encourage the development of such strategies, staff proposes to allow conditional verification for off-road and stationary applications.

If ARB is convinced that a diesel emission control strategy is technologically sound and appropriate for the intended application, a conditional verification may be granted upon completion of 33 percent of the minimum durability period. ARB may consider all relevant information including, but not limited to, the design of the diesel emission control system, similarity to already verified systems, the intended application, status with other verification programs (e.g., the U.S. EPA's Environmental Technology Verification Program and the Swiss VERT program), other relevant test data, and field

experience. Full verification is contingent on completion of the durability testing and submission of test results. These results must be submitted within a year after receiving conditional verification if laboratory testing is chosen and within three years if field-testing is chosen.

Staff continues to hold the viewpoint that the end-users of any verified device must have certainty that they are in compliance with any regulations. A successful diesel emission control strategy implementation program cannot be based on the state requiring installation of or providing incentives for devices that do not meet the minimum standards established. Therefore, staff has retained the provisions requiring replacement of any conditionally verified system that proves not to meet the requirements of full verification. In this way, manufacturers do have the ability to market products before final testing, but do so with the responsibility of ensuring that the end-users continue to meet the requirements of the diesel emission control strategy implementation program.

4.3.3 Field Demonstration

A field demonstration is not required for the purpose of determining in-field emission reductions, as it has no emission testing component. Instead, the purpose is to see if the diesel emission control strategy is compatible with the emission control group selected and how it stands up to real-world conditions. Compatibility here incorporates many aspects. It is important to determine, for instance, how much backpressure is imposed on the engine and if the operator notes any effects, how the system handles real-world vibrations, jolts, and variable exhaust flows, and what maintenance issues may turn up. The field demonstration, therefore, would verify that the applicant's system is technologically mature and ready for real-world application.

Compatibility is determined by ARB based on a third-party statement (described below) and any other data submitted including backpressure data in the case of filter-based strategies. A diesel emission control strategy will be considered compatible with the chosen application if it:

(A) Does not cause damage to the engine or engine malfunction,
(B) Does not generate backpressure outside of the engine manufacturer's specified limits or which does not result in any damage to the engine,
(C) Does not hinder or detract from the vehicle or equipment's ability to perform its normal functions, and
(D) Is physically intact and well mounted with no signs of leakage or other problems at the end of the demonstration period.

The applicant must demonstrate compatibility of its diesel emission control strategy in the field with at least one vehicle or engine belonging to the first emission control group it chooses for verification. ARB will consider existing field experience and engineering justification to determine whether additional emission control groups require separate

field demonstrations. If the durability demonstration selected is in-field, it may be used to satisfy the field demonstration requirement for that emission control group.

A vehicle or piece of equipment, with the exception of stationary emergency generators, must be operated with the diesel emission control strategy installed or implemented for a minimum of one-fifth of the durability demonstration period. The demonstration period is therefore 10,000 miles or 200 hours, whichever occurs first. For stationary emergency generators only, the period is defined as follows:

1) 12 maintenance runs (allowing for engine cool down between runs),
2) A minimum of two separate four hour sessions where the emergency generator is operated under load (allowing engine cool down between runs), and
3) A minimum in-field service accumulation of 30 days.

A written statement from an ARB-approved third party, such as the owner or operator of the vehicle or equipment used in the field demonstration, must be provided at the end of the test period. The statement must describe overall performance, maintenance required, problems encountered, and any other relevant comments. The results of a visual inspection conducted by the third party at the end of the demonstration period must also be described. The description should comment on whether the diesel emission control strategy is physically intact, securely mounted, leaking any fluids, and should include any other evaluative observations.

If the diesel emission control strategy fails in the course of the field demonstration, the applicant must submit a report explaining the circumstances of the failure within 90 days of the failure. ARB may then determine whether to deny verification or allow the applicant to correct the failed diesel emission control strategy and either continue the field demonstration or begin a new field demonstration.

4.3.4 Limit on Nitrogen Dioxide

Measurements of NO_X emissions (NO and NO_2) from heavy-duty diesel vehicles equipped with passive catalyzed filters have shown an increase in the NO_2 fraction, though total NO_X emissions remain approximately the same. Passive catalyzed filters oxidize NO to NO_2 which burns soot captured in the filter. More NO_2 is created than is actually used in the regeneration process; and the excess is emitted. In fact, the NO_2 to NO_X ratios could range from 20 to 70 percent, depending on factors such as the diesel particulate filter systems, sulfur level in diesel fuel, and the duty cycle (DaMassa, 2002).

At the February 6, 2002 International Diesel Retrofit Advisory Committee meeting, staff presented the results from updated modeling simulations for Southern California. The simulations were based on an assumed 90 percent market penetration of diesel particulate filters with varying NO_2/NOx ratios of 15, 20, 25, 30 and 50 percent. The results are presented in Table 10. The results of the study suggest that at an NO_2/NOx ratio of 20 percent (twice the baseline NO_2/NOx ratio of a diesel engine without a

passive catalyzed filter, used in the simulation), population exposure to ozone levels above the 1-hour State ozone standard would be reduced slightly. Simulated winter peak NO_2 would increase substantially, but remain well below the state ambient air quality standard, and both summer and fall $PM_{2.5}$ concentrations would decrease. The decrease in $PM_{2.5}$ occurs because the filter reduces carbon particles and hydrocarbon emissions. These reductions more than offset the increase in nitrates which are formed in the atmosphere because of the higher NO_2 emissions.

Table 10. Summary of Relative Percent Impacts from Simulated NO_2/NOx

Diesel NO_2/NOx		15%	20%	25%	30%	50%
Summer	24-hour O_3 Exposure > 90 ppb (%)	-3	-2	0	+2	+5
	Peak 24-Hour $PM_{2.5}$	-3	N/A*	N/A*	-2	-1
Fall	Peak 24-Hour $PM_{2.5}$	-6	N/A	N/A	-5	-3
Winter	Winter Peak 1-hr Exposure NO_2 (%)	+1	+6	+12	+18	+41

* N/A means the results were not available. However, the results can be estimated through interpolation of NO_2/NOx ratios between 15 and 30 percent.

Based on this study, staff proposes a cap of 20 percent of NO_2 to NOx emission ratio be established for all diesel emission control technologies. To ensure that the cap does not penalize retrofit strategies that reduce total NOx emissions, the 20 percent cap will be determined from the baseline (pre-control) emissions. Consider, for example, an engine that has total NOx emissions of 3.5 g/bhp-hr. A diesel emission control strategy that reduces total NOx by 40 percent would lower emissions to 2.1 g/bhp-hr NOx. If the post-control NO_2 level is at or below 0.7 g/bhp-hr, the system could receive verification. Although 0.7 g/bhp-hr is 33 percent of the controlled level, it is only 20 percent of the baseline level and therefore would comply with the staff's proposal.

The NO_2 emissions are measured by employing two chemiluminescence analyzers simultaneously fed from a common heated sample path. One instrument is set to NOx mode, while the second is set to NO mode. The instrument that is set to NOx mode receives a sample that has passed through an NO_2-to-NO converter, and the resultant concentration is designated as total NOx ($NO+NO_2$) in the sample. The instrument that is set to NO mode receives a sample that has not been passed through the converter and quantifies the amount of NO only. It is assumed that the difference between NO and NOx is the amount of NO_2 in the sample. A subtraction of NO from NOx is

performed on a second by second basis. The result of this subtraction is then integrated over the entire test run. The result of this integration is the amount of NO_2 over the entire test cycle in parts per million. The equation from the Code of Federal Regulations Subpart N, Part 86.1342-84 for calculating total NOx is then used to generate a gram per mile or g/bhp-hr NO_2 value.

4.3.5 Requirements for Fuel-Based Emission Control Strategies

Diesel emission control strategies which rely on fuel changes either through use of additives or through use of alternative diesel fuels must undergo an evaluation of the multimedia effects. Specifically, fuel based strategies must undergo review by the California Environmental Protection Agency Environmental Policy Council and comply with Health and Safety Code 43830.8 requiring testing of multimedia effects. The multimedia evaluation must also undergo peer review.

4.3.5.1 Fuel Additives

Fuel additives are essentially any substances added to the fuel. Additives can reduce the total mass of PM, with variable effects on CO, NOx and HC production. Use of some additives alone shows 15 percent to 50 percent mass reductions in PM. The reduction can be as high as 99 percent when used with a DPF. Some additive-based systems reduce polynuclear aromatic hydrocarbons by around 80 percent. A fuel borne catalyst (FBC) is a fuel additive containing one or more fuel-soluble metals, that acts as a catalyst to lower the temperature at which regeneration occurs within a diesel particulate filter. FBC can range from less than 10 ppm to greater than 100 ppm in the fuel. Mixed data exist regarding fuel economy. Some studies show a fuel economy improvement ranging from five to seven percent, while others show an equivalent fuel penalty. Most FBC are fairly insensitive to fuel sulfur content and will work with a range of sulfur concentrations as well as different fuels and other fuel additives (Mayer, 2000; DieselNet, 2000.02b).

FBC/diesel particulate filters systems are in widespread use in Europe for on-road, off-road, and stationary applications. Additives based on cerium, platinum, iron, and strontium are currently available, or may become available for use in the future. Past additives include those utilizing manganese, sodium, and copper and are not recommended for use due to the production of deleterious emissions, such as dioxins. See Appendix B for a description of the most common additives (Dieselnet, 2000.02b).

Although additives are promising with respect to reducing PM, either alone or in conjunction with a DPF, there are some potential drawbacks. Some formulations with high concentrations of metal can result in significant increased backpressure in DPF systems and/or filter plugging depending on the additives used (DieselNet, 2000.02b). The formulation concentration of the additive, as well as the actual base constituent of the additive will profoundly affect the behavior of the additive. Some studies show that

when used with a DPF, approximately one percent of metal consumed is emitted in the tailpipe exhaust (HEI, 1998).

Additionally, differences in concentrations of the FBC result in differences in PM emissions. In general, higher concentrations of additives also result in increased nano-particulate emissions. Studies show up to a 5-fold increase in the total number of solid particles and the formation of very small particles in the 20 nanometer (nm) to 40 nm range. This size fraction presents a health concern, as it is easily respirable and can penetrate deep into the lungs. The type of additive employed will also affect other characteristics of the emissions as well as the composition of secondary combustion by products. If part of a system, incorrect dosage may result in system failure and/or DPF damage or destruction (Mayer, 2000).

For most additives, copper being a marked exception, there is little evidence of acute toxicity risks. However, long term data regarding health risks and environment fate and transport are incomplete. Some additives might have potential to bioaccumulate and/or biotransform. Projections estimate soil cerium levels could double in the next few decades with air levels increasing by several orders of magnitude. Increased environmental platinum levels are documented in Europe since the widespread usage of catalytic converters (HEI, 2001; Ely et al, 2001).

As would be expected from a control strategy that introduces additional pollutants into the air, additives pose unique verification questions. The proposed procedure would allow the use of fuel additives, provided that certain precautions are taken. If used as part of a system, compatibility and durability must be addressed. Also, misfueling effects on the system and any incompatible products of fuel additives must be identified. Emission testing must include the additive alone in addition to the additive with other parts of the system, in order to provide sufficient information regarding the risks associated with use of the additive. Other precautions include the possibility of additional analyses, a periodic (2-year) review of relevant data, and an extremely strong recommendation that filters be used with any additive. Staff recognizes, however, that additives alone may have a place in achieving the over-all goals of the Diesel Risk Reduction Plan, if they can be determined to pose no threat to the environment or to human health.

Although some similarities exist, it is inappropriate to draw generalizations between additives. Even additives with similar "active ingredients" can have significant differences, so in evaluating additives, staff will draw generalizations between similar products, even from the same manufacturers, only after rigorous scientific and engineering reviews.

Finally, addition of the additive to the fuel can take one of three forms: dosing the bulk fuel, incorporation of an on-board dosing system in the vehicle, or allowing consumers to add the additive directly. The last alternative is discouraged as it allows for situations where the vehicle may run with an inappropriate additive dose. An on-board dosing system should include an onboard dosage system and monitoring systems. If the system includes a filter, filter backpressure monitoring and leak detection is necessary.

Any detected leak or filter failure should result in automatic termination of additive to the system. Manufacturers must address any special handling, cleaning and waste removal requirements due to the additive. In-use compliance testing must include verification that the correct dosage of additive is in the system and that all parts integral to the correct functioning of the system are in proper working order.

Staff's proposal requires emission testing of fuel borne catalyst systems at a dose of at least 50 ppm or ten times the dose rate stipulated for verification, whichever is greater. Testing at a higher dose than the strategy specifies is intended to identify any possible problems that might occur either due to misfueling or build up off the FBC in the system over time. Since testing at extremely high additive concentrations can result in filter plugging, staff has attempted to identify an appropriate level through review of existing data. Data exist from the VERT program (described in Section 7.2) for additive concentrations approaching 100 ppm. This data supports the concentration of 50 ppm as a useful level for determination of potential problems with an additive of any formulation. The 50 ppm dose should show any potential for filter plugging, sulfation, and changes in emission characteristics while preserving the ability to actually conduct meaningful testing.

If the higher dose would result in catastrophic damage to the engine, the applicant can petition to use less than 50 ppm. The applicant must supply information on failure modes, and the dose that triggers failure. The applicant must also supply information and data supporting the highest feasible dose for testing. An increase in emissions is not by itself sufficient to justify a dose lower than 50 ppm and must be correlated to potential engine damage. After reviewing information substantiating a lower dose, the Executive Officer would determine if testing at a lower level could be accepted, or if testing would need to be conducted at 50 ppm/ten times the specified dose rate.

4.3.5.2 Alternative Diesel Fuel Requirements

In addition to hardware-based technologies, staff proposes that the verification procedure also apply to diesel emission control strategies that involve "alternative diesel fuels." For the purpose of this Procedure, alternative diesel fuels are fuels used in diesel engines that are not reformulated diesel fuels as defined in section 2281 and 2282 of Title 13, California Code of Regulations, and do not require engine or fuel system modifications for the engine to operate, although minor modifications (e.g., recalibration of the engine fuel control) may enhance performance. Examples include but are not limited to biodiesel fuels, Fischer Tropsch fuels, and water emulsified fuels. Natural gas is not an alternative diesel fuel. Both the definition just presented and the verification procedure are highly consistent with ARB's existing Interim Procedure for Verification of Emission Reductions for Alternative Diesel Fuels (Nov. 3, 2000).

Applicants with control strategies that use an alternative diesel fuel formulation must follow the procedure detailed in the proposal, which includes durability testing on the whole system and a determination of any effects on the engine. However, data from the

Interim Procedure for Verification of Emission Reductions for Alternative Diesel Fuels (Nov. 3, 2000) can be used to meet some of the requirements.

The system will be verified on an emission control group basis, but engineering arguments may be used to extend verification to other emission control groups. Please note that fuels must go through U.S. EPA's registration process before they can be sold within the United States of America.

The applicant must initially submit a proposed test protocol to ARB. The test protocol must describe criteria pollutant and toxic emissions sampling and analyses that are consistent with the requirements of the Procedure, include a thorough description of the fuel, and indicate the specifications of the reference fuel to be used. ARB staff will work with the applicant as needed to develop an acceptable protocol. To ensure efficient use of resources, staff recommends that the applicant defer testing until ARB has approved the protocol. Upon completion of the tests, the applicant may submit an application for verification. The application must include the approved test protocol, all of the test data, the complete test log, a demonstration that the fuel meets the requirements of the Procedure, and other information that ARB may reasonably require.

The description of the candidate alternative diesel fuel included in the proposed test protocol must include the following:

(a) Identity, chemical composition, and concentration of fuel additives
(b) Sulfur content
(c) Total aromatic content
(d) Total polycyclic aromatic hydrocarbon content
(e) Nitrogen content
(f) API gravity (density)
(g) Distillation temperature distribution information, initial boiling point (IBP), 10% recovered (REC), 50% REC, 90% REC, and end point (EP)
(h) For emulsified fuels, include these descriptions of the base fuel, as well.

The applicant must also provide information on fuel properties that may affect engine performance, engine wear, and safety. Those properties include viscosity, volatility, and lubricity among others.

As the purpose of the Diesel Risk Reduction Plan is to reduce exposure to toxics, the applicant must also provide information on chemicals in the fuel that may increase levels of toxic compounds or potentially form toxic compounds in the fuel. The applicant must conduct an analysis for metals and other elements by a method specified by the applicant but subject to ARB approval. Copper, iron, cerium, lead, cadmium, chromium, and phosphorus must be included in the analysis. Additional analysis for other compounds may be required after staff reviews the chemical composition of the candidate alternative diesel fuel and its additives.

The applicant must also conduct comparative testing of the subject fuel and commercial California diesel fuel. The comparative emissions testing must be conducted by a party or parties that are mutually agreed upon by ARB and the applicant. The applicant is responsible for all costs of the testing.

Upon the applicant's completion of the above requirements, staff will evaluate the PM and NOx emission reductions as follows:

(A) PM. The average individual emissions of PM during testing with the candidate alternative diesel fuel must be specified as either 1) a percent reduction of the average emissions of PM during testing with reference fuel for levels 1, 2, or 3 verification, or 2) the average individual emissions of PM during testing with the candidate alternative diesel fuel shall be specified as a mass emission rate in g/bhp-hr if it is below 0.01 g/bhp-hr for level 3 verification.

(B) NOx. The average individual emissions of NOx during testing with the candidate alternative diesel fuel must be specified as a percent reduction of the average individual emissions of NOx, during testing with the reference fuel.

Note that other pollutant emissions must not increase by more than an amount consistent with test to test variability.

4.3.6 Other Requirements

In addition to the emission testing, durability testing, and field demonstration (if applicable), the applicant must meet a number of other requirements and provide additional information, much of which depends on the nature of the diesel emission control strategy.

4.3.6.1 Engine Backpressure and Monitoring

Throughout emission and durability testing, the applicant must demonstrate that the backpressure caused by its diesel emission control system is within the engine manufacturer's specified limits, or will not result in any damage to the engine. If backpressure will gradually increase over time (such as due to the accumulation of ash in a DPF), the applicant must describe how the backpressure is to be reduced in the application.

For all filter-based diesel emission control systems, a backpressure monitor must be installed to notify the operator of the vehicle or equipment when the backpressure limits, as specified by the engine manufacturers, are approached. At the discretion of ARB, the monitor should also be able to notify the operator when the backpressure has fallen below a lower limit which indicates that the filter medium has been breached. Such a monitor will provide valuable feedback to the operator as to the state of his or her filter system.

4.3.6.2 Fuel and Oil Requirements

The applicant must specify any fuel and lubricating oil requirements for proper functioning of the diesel emission control system. The applicant must also identify any consequences due to non-compliance with these requirements, as well as methods for reversing any negative side-effects.

4.3.6.3 Maintenance Requirements

The applicant must identify all standard maintenance requirements for the diesel emission control system. The applicant must specify the recommended intervals for cleaning and/or replacing components. Any components to be replaced within the warranty period must be included with the original diesel emission control system package or provided free of charge to the customer at the appropriate maintenance intervals. In addition, the applicant must specify procedures for proper handling and disposal of spent components and/or materials cleaned from the diesel emission control system. For filter-based diesel emission control strategies, the applicant must include procedures for resetting the backpressure monitor after maintenance procedures are completed.

4.3.6.4 System Labeling

The applicant must affix a legible and durable label on both the diesel emission control system and the engine on which the diesel emission control system is installed. This label must identify the name, address, and phone number of the manufacturer, the diesel emission control strategy family name (defined below), a unique serial number, and the month and year of manufacture. A scale drawing of a sample label must be submitted with the verification application. The label information must be in the following format:

Name, Address, and Phone Number of Manufacturer
Diesel Emission Control Strategy Family Name
Product Serial Number
ZZ-ZZ (Month and Year of manufacture, e.g., 06-02)

Each diesel emission control strategy shall be assigned a family name defined as below:

CA/MMM/YYYY/PM#/N##/APP/XXXXX

CA:	Designates a California approved diesel emission control system
MMM:	Manufacturer code (assigned by ARB)
YYYY:	Year of manufacture
PM#:	PM verification level 1, 2, or 3 (e.g., PM3 means a level 3 PM emission control system).

N##:	NOx verified reduction level in percent, if any (e.g., N25 means NOx reduction of 25 percent).
APP:	ON: On-road, OF: Off-road, ST: Stationary
XXXXX:	Five alphanumeric character code issued by the ARB

The purpose of the system label is to help the end-user to identify the type of diesel emission control systems that are installed on vehicles or equipment. Furthermore, it will assist the applicants to identify a representative sample of diesel emission control systems for in-use compliance testing. By using diesel emission control strategy family names, ARB will be able to clearly identify a given strategy and distinguish significant differences in design from superficial changes that are, for instance, employed by the applicant for marketing purposes.

4.3.6.5 Owner's Manual

The applicant must provide a copy of the owner's manual for the diesel emission control system, which must clearly specify at least the following information:

- Warranty statement including the warranty period over which the applicant is liable for any defects.
- Installation and maintenance requirements for the diesel emission control system.
- Possible backpressure range imposed on the engine.
- Fuel consumption penalty, if any.
- Fuel sulfur limit, if any.
- Handling and supply of additives, if any.
- Instructions for reading and resetting the backpressure monitor.
- Requirements for lubrication oil quality and maximum lubrication oil consumption rate.
- The applicant's contact information for replacement components and cleaning agents. "Contact your local distributor" is satisfactory.
- Contact information regarding the proper way to dispose of waste generated by the diesel emission control strategy (e.g., ash accumulated in filter-based systems). At a minimum, the owner's manual should indicate that disposal must be in accordance with all applicable Federal, State and local laws governing waste disposal, and when appropriate, hazardous waste disposal.

4.3.6.6 Noise Level Control

According to the Code of Federal Regulations, Part 205, Title 40, and California Vehicle Code Sections 27150, 27151, and 27200 through 27207, any diesel emission control system that replaces a muffler must continue to provide at a minimum the same level of exhaust noise attenuation as the muffler with which the vehicle was originally equipped by its manufacturer. Note that the California Highway Patrol is the state authority that enforces the noise level limits. Staff's proposal includes no specific test to check the noise level of vehicles equipped with diesel emission control systems. However, an applicant must attest that a diesel emission control strategy that replaces a muffler,

such as a DPF, complies with all applicable noise limits. Applicants must maintain a list of vehicles (make, model, engine, gross vehicle weight rating, and year of manufacture) for which the diesel emission control strategy is thus attested. Diesel emission control systems may only be installed on vehicles on that list.

4.3.7 Determination of Emission Reduction

ARB will verify emissions reductions for a diesel emission control strategy based on the average of all valid test results before (baseline) and after (control) implementation of the diesel emission control strategy. Test results from both emission testing and durability testing are to be used.

The percentage reduction for a given pair of baseline and control test sets (where a "set" consists of all test cycle repetitions, e.g., the test set of 1 cold and 3 hot-start UDDS tests) is the difference between the average baseline and average control emissions divided by the average baseline emissions, multiplied by 100 percent. The average of all such reductions, as shown in the equation below, is used in the verification of a diesel emission control strategy.

$$\text{Percentage Reduction} = 100\% \times \frac{\Sigma\,[(\text{baseline}_{AVG} - \text{control}_{AVG})/\text{baseline}_{AVG}]}{\text{Number of control test sets}}$$

Where:

Σ = sum over all control test sets

baseline_{AVG} or control_{AVG} = average of emissions from all baseline or control test repetitions within a given set

For any test set involving cold and hot starts, the time weighted emission result is to be calculated by weighting the cold-start emissions by one-seventh (1/7) and the hot-start emissions by six-sevenths (6/7) as shown below. If the applicant chooses not to do the final durability baseline test, it must use the initial durability baseline test results to calculate reductions for both the initial control and final control tests.

Weighted Emission Result = 1/7* average cold-start emissions + 6/7* average hot-start emissions

The absolute emission level is the average control emission level, as defined in the following equation:

$$\text{Absolute Emission Level} = \frac{\Sigma\,(\text{control}_{AVG})}{\text{Number of control test sets}}$$

4.4 Post-Verification Responsibilities

After a diesel emission control strategy has been verified for use with a given emission control group, it may be sold in California when verification is required, participate in numerous incentive programs in which verification is required, and may be used to satisfy the requirements of ARB in-use control regulations when and if they are adopted. After verification, applicants have the responsibility to perform in-use compliance testing and to honor the warranty.

4.4.1 Warranty

The applicant must provide a defects and performance warranty with a minimum coverage as shown in Table 6. During the warranty period, the applicant will be liable for any defects in the diesel emission control system, backpressure monitor (if applicable), and all hoses or connectors to the diesel emission control system, that present themselves in the course of normal operation. A defect may be structural, mechanical, or chemical in nature. In addition, a diesel emission control system will be considered defective if during the warranty period, emission control performance falls below the verified level.

Table 6. Minimum Warranty Periods

Engine Type	Engine Size	Minimum Warranty Period
On-Road	Light heavy-duty, generally 70 to 170 hp, GVWR normally less than 19,500 lbs.	5 years or 60,000 miles, whichever occurs first
	Medium heavy-duty, generally 170 to 250 hp, GVWR normally from 19,500 lbs. to 33,000 lbs.	5 years or 100,000 miles, whichever occurs first
	Heavy heavy-duty, generally exceeds 250 hp, GVWR normally exceeds 33,000 lbs.	5 years or 150,000 miles, whichever occurs first
Off-Road (includes portable engines) and Stationary	Under 25 hp, and for constant speed engines rated under 50 hp with rated speeds greater than or equal to 3,000 rpm	3 years or 1,600 hours, whichever occurs first
	At or above 25 hp and under 50 hp	4 years or 2,600 hours, whichever occurs first
	At or above 50 hp	5 years or 4,200 hours, whichever occurs first

4.4.1.1 Diesel Emission Control Strategy Warranty Report

The applicant must submit a warranty report to ARB by February 1 of each calendar year which includes the following information:

- Annual and cumulative sales of diesel emission control systems.
- Annual and cumulative production of diesel emission control systems.
- Annual summary of warranty claims. The summary must include:
  - A description of the nature of the claims and of the warranty replacements or repairs. The applicant must categorize warranty claims for each diesel emission control system model by the component(s) replaced or repaired.
  - The number and percentage of diesel emission control systems of each model for which a warranty replacement or repair was identified.
  - A short description of the diesel emission control system component that was replaced or repaired under warranty and the most likely reason for its failure.
- Date the warranty claims were filed and the engine family and application the diesel emission control systems were used with.
- Delineate the reason(s) for any instances in which warranty service is not provided to end-users that file warranty claims.

The staff's proposal would reserve the right for ARB to ask the applicant for additional testing if the warranty claims exceed two percent of the number of diesel engines using the diesel emission control strategy, or based on other relevant information.

Submitting all of the above information on a regular basis is one of the least costly methods for an applicant to provide data regarding the performance of a given diesel emission control strategy in the field.

4.4.2 In-Use Compliance

Staff is proposing to include an in-use compliance test program to ensure that the diesel emission control systems sold to end-users are as effective as those tested for verification (see Figure 1). Staff worked closely with U.S. EPA staff to harmonize the in-use compliance programs of the two agencies. The programs share a common statistical basis, and data collected for one program can be used to satisfy the requirements of the other.

In-use compliance testing is not required until at least 50 units of a specific diesel emission control strategy family have been sold in the California market. This is consistent with U.S. EPA's threshold of 500 units nationwide, since California possesses approximately 10 percent of the country's population.

Staff proposes that in-use compliance testing be conducted in two phases. For the first phase, the applicant would need to obtain and test diesel emission control systems within three months of their first maintenance, or after one year, whichever comes first. This early testing would allow ARB to identify and attempt to resolve any problems

associated with the diesel emission control systems before having widespread application of those systems in the market.

For each diesel emission control strategy family, an applicant is required to submit a proposal for obtaining the systems for approval by ARB prior to actual testing. The engines or vehicles using the selected diesel emission control systems must have good maintenance records and may receive a tune-up or proper maintenance prior to testing. The applicant must obtain information from the end users regarding the accumulated mileage or hours of usage, maintenance records, operating conditions, and a description of any unscheduled maintenance that may affect the emission results.

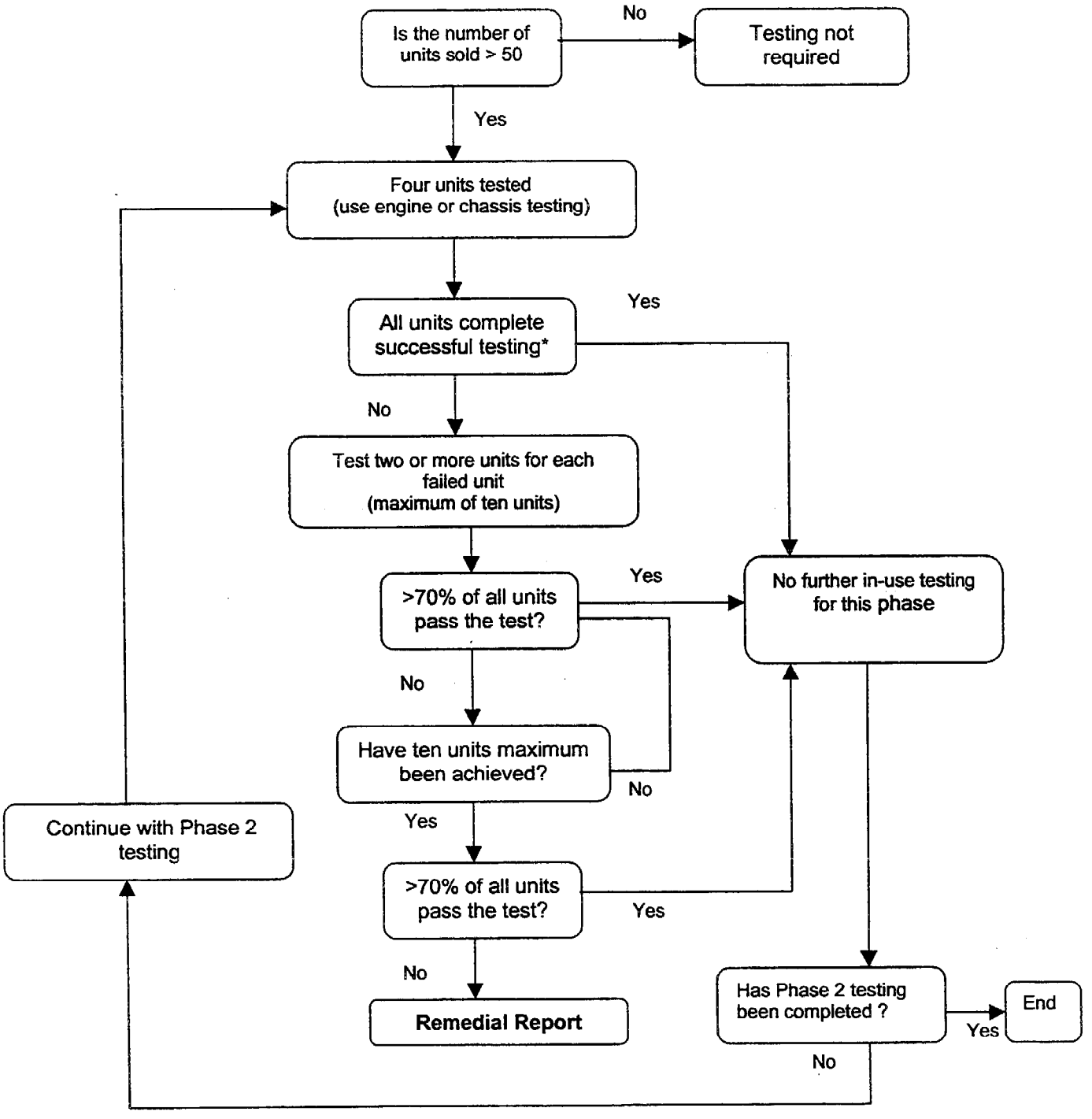
A minimum of four diesel emission control systems are to be obtained and tested. An applicant is required to follow the same testing procedure as used for emission testing for the initial verification, including the same test cycle(s) used originally. Doing so would eliminate any variations in emission reduction performance that occur with different test cycles. ARB could then make a more meaningful comparison of the emission reductions between the in-use diesel emission control strategies and those that were originally verified.

For each system tested that performs lower than 90 percent of the lower bound of its initial verification level (or above 0.011 g/bhp-hr PM for systems verified to an absolute level of 0.01 g/bhp-hr) two more systems must be tested. This process is to continue as necessary, until no more systems need to be tested, or until ten systems have been tested. This structure benefits the applicants whose systems perform consistently well. Not only will the applicants save money in the in-use compliance testing, it will also give them a competition edge over other diesel emission control systems that may not perform well under the in-use compliance testing program. At ARB's discretion, applicants may test more than the minimum of four diesel emission control systems or may concede failure before testing a total of ten diesel emission control systems. After all testing is completed for phase one, the applicant must submit an in-use compliance report that summarizes the results of in-use testing.

For the second phase of in-use compliance testing, the applicant must obtain and test diesel emission control systems which have been operated between 60 and 80 percent of their minimum warranty period. As in the first phase, the applicant must use the same test procedure and test cycles as were used for the original verification. Again, a minimum of four systems must be tested, and for each system that fails, two more systems must be tested. This process is to continue as necessary, until no more systems need to be tested, or until ten systems have been tested.

In the event that in-use compliance testing becomes overly burdensome to the applicant because of the structure or uniqueness of the industry in which the diesel emission control systems are used, the applicant may propose an alternative to the in-use compliance testing thus far described. The alternative must be a scientifically sound and reliable method to verify the emission reductions of the in-use diesel emission control systems.

Figure 1. ARB In-use Compliance Testing Requirements



*Note that a unit passes the in-use test (engine or chassis testing) if the emission reduction of the target pollutants (PM or NOx) are at least 90% of its verified reduction level. The diesel emission control systems tested at Phase 1 may differ from Phase 2. Both groups of diesel emission control systems must pass the in-use compliance testing to avoid cancellation of verification.

4.4.2.1 In-Use Compliance Report

The applicant must submit an in-use compliance report within three months of completion of each phase of the in-use compliance testing program. For each system tested, the following information must be reported:

- Parties involved in conducting the in-use compliance tests.
- Quality control and quality assurance information for the test equipment.
- Model and manufacture date of the diesel emission control system.
- Engine and vehicle or equipment the diesel emission control system was installed on.
- Estimated mileage or hours the diesel emission control system was in use.
- Results of all emission testing.
- Summary of all maintenance, adjustments, modifications, and repairs performed.

If a diesel emission control system failed catastrophically during the in-use compliance testing, the applicant would need to provide an investigative report detailing the causes of the failure to the Executive Officer within 90 days of the event.

4.4.2.2 Conditions for Passing the In-Use Compliance Program

For a diesel emission control strategy to pass compliance testing, emission test results must indicate emission reductions that are at least 90 percent of the initially verified emission reduction level. All four diesel emission control systems must pass the emission testing for full compliance. If there are failures and more units are tested, at least 70 percent of all units tested must pass. For each failed test, for which the cause of failure can be attributed to the product and not to maintenance or engine-related problems, two or more additional units must be tested, up to a total of ten units.

If the diesel emission control system fails the in-use compliance test, the applicant must submit a remedial report within 90 days after the in-use compliance report is submitted. The remedial report must include the following:

- Summary of the in-use compliance report.
- Detailed analysis of the failed diesel emission control systems and possible reasons for failure.
- Remedial measures to correct or replace failed diesel emission control systems as well as the rest of the in-use diesel emission control systems.

Staff proposes that the Executive Officer would evaluate the remedial report, annual warranty report, and all other relevant information to determine if the applicant has addressed all issues pertaining to the non-compliance of the diesel emission control strategy. Based on all relevant information, the Executive Officer may lower the emission reduction level or may revoke the verification all together.

4.4.2.3 ARB Presence During Testing

As in the context of emission testing, ARB may require the applicant to make available for compliance testing and/or inspection a reasonable number of units, and direct that they be delivered to a location specified by ARB. Furthermore, ARB may have an applicant compliance test and/or inspect a reasonable number of units at the applicant or manufacturer's facility or at any test laboratory under the supervision of an ARB Enforcement Officer. These powers are consistent with existing regulations for new engines.

5 INTERACTION WITH OTHER ARB DIESEL PROGRAMS

The Diesel Emission Control Strategy Verification Procedure is primarily intended to support the implementation of in-use control programs as discussed in the Diesel Risk Reduction Plan. However, it will also support several other programs designed to reduce NOx and PM emissions with in-use diesel controls. These programs include the following:

- Carl Moyer Memorial Air Quality Standards Attainment Program

  The Carl Moyer Memorial Air Quality Standards Attainment Program, approved in February 1999, is a grant program that funds the incremental cost of cleaner vehicles and equipment. This provides reductions in emissions of NOx through programs such as purchase of new vehicles or equipment; repower; and retrofit of in-use vehicles or equipment. More recently, the program has also set a goal to reduce PM. More information about the Carl Moyer program may be found at www.arb.ca.gov/msprog/moyer/moyer.htm

- Lower-Emissions School Bus Program

  The Lower-Emissions School Bus program is an incentive program to reduce the exposure of school children to both cancer-causing and smog-forming compounds. This program utilizes two strategies to attain these goals: 1) pre-1987 model year school bus replacement, and 2) in-use controls for other diesel-fueled school buses. More information can be found at www.arb.ca.gov/msprog/schoolbus/schoolbus.htm.

- Public Transit Bus Fleet Rule

  The public transit bus fleet rule, which is designed to achieve significant reductions in PM and NOx emissions from 2001 through 2015, includes an in-use emissions reduction component. The emission reductions could be achieved through the purchase of new low emission buses or repowering of older, higher-emitting busses to lower-emission configurations, in addition to equipping existing engines with emissions control systems. Additionally, some diesel emission control systems have already been verified for some bus engines. More information about the Public Transit Bus Fleet Rule may be found at www.arb.ca.gov/msprog/bus/bus.htm.

The Diesel Emission Control Strategy Verification Procedure provides a methodology that will enable these individual programs and rules to verify reductions in NOx and PM emissions. Specifically, most of these programs include provisions for an engine or vehicle owner to reduce emissions through in-use controls. Furthermore, each program has its own specific set of implementation criteria, such as targeted model year of vehicles and engines, testing procedures, reporting requirements, durability and NOx and PM emissions reductions. Thus, except for mostly minor program-specific variations, the Diesel Emission Control Strategy Verification Procedure provides a useful and timely strategy to assist the goals of the different implementation plans.

6 VEHICLE CODE 27156

Section 27156 of the California Vehicle Code addresses tampering of original equipment on a vehicle. In order to change original equipment with an aftermarket part, or add an "add-on" or modified part, an exemption to Vehicle Code 27156 must be obtained. This exemption is granted if the product has been determined not to cause any increase in vehicular emissions. However, this exemption does not address any emissions reductions due to the add-on part and therefore does not address the needs of the in-use control strategy market which is driven by the need to reduce particulate matter and NOx emissions.

During the interim phase of the Procedure, applicants have already been required to submit separate applications for the exemption of the Vehicle Code 27156 and the Procedure. However, the staff proposes that this Procedure would meet all the requirements for the VC27156 exemption. Thus, diesel emission control strategies verified by this Procedure would also be granted a VC27156 exemption simultaneously. In this way, only one Executive Order will be issued per diesel emission control strategy.

7 ISSUES OF CONTROVERSY

7.1 Harmonization with the U.S. EPA's Diesel Emission Control Strategy Verification Program

While both the staff's proposed Procedure and U.S. EPA's diesel emission control strategy verification programs share the common goal of verifying the emission reductions from diesel emission control systems, differences exist between these two programs. Both agencies have made tremendous efforts to harmonize the key requirements in both programs.

The proposed Diesel Emission Control Strategy Verification Procedure would apply to in-use strategies to control emissions of PM and NOx from on-road, off-road, and stationary sources. This Procedure would evaluate strategies that include but not limited to, diesel particulate filters, diesel oxidation catalysts, fuel additives, selective catalytic reduction systems, exhaust gas recirculation systems, and alternative diesel fuels.

The U.S. EPA's Voluntary Retrofit Verification Program is managed by the Office of Transportation and Air Quality while the Research Triangle Institute assisted in developing the draft General Verification Protocol for Diesel Exhaust Catalysts, Particulate Filters, and Engine Modification Control Technologies for Highway and Nonroad Use Diesel Engines, and oversees the testing projects (Research Triangle Institute, 2002). The U.S. EPA's draft General Verification Protocol applies to in-use strategies to control emissions of all pollutants from on-road and off-road sources only. Furthermore, the draft General Verification Protocol, still in its draft format, only evaluates the diesel oxidation catalyst, diesel particulate filter, and engine modification. Separate verification protocols will be developed for the NOx control technology (e.g., selective catalytic reduction system), alternative diesel fuels, fuel additives, and lubricants.

Table 11 compares the key elements of these two programs. In general, it should be noted that the staff's proposal is designed to support regulatory requirements while the U.S. EPA's retrofit program is voluntary. As outlined in the Diesel Risk Reduction Plan, ARB intends to reduce emissions in virtually all in-use diesel engines and equipment by 2010, through a number of diesel emission control strategy rules, targeting diesel-fueled engines from mobile and stationary sources at different timeframes. Thus, ARB has a greater burden to ensure those diesel emission control systems are indeed functional and durable.

In terms of verification threshold, staff's proposal categorizes the PM diesel emission control strategy systems into three levels; namely, level 1 (between 25 to 50 percent), level 2 (between 50 to 85 percent), and level 3 (over 85 percent or 0.01 g/bhp-hr). The minimum threshold for NOx is 15 percent and NOx is verified in 5 percent increments. For the U.S. EPA's draft General Verification Protocol, there is no minimum threshold for PM or NOx provided the emission reduction claim is verifiable and substantiated with a statistically estimated number of tests. The protocol requires that there should be sufficient number of tests at 95 percent confidence level to ensure that there will be a 90 percent probability of detecting the expected emission reductions. A third party testing facility will determine the emission reduction for the initial test and estimate the minimum of required tests using the actual emission reductions obtained.

Table 11. Comparison of the Diesel Emission Control Verification Program Between ARB and U.S. EPA

Verification Program Element	ARB	U.S. EPA
Operation	Retrofit Assessment Section of Mobile Source Control Division	Office of Transportation and Air Quality (OTAQ)
Program Nature	Regulatory	Voluntary
Program Goal	Verify diesel emission control systems capable to reduce at least 25% of PM and 15% of NOx	PM reduction
Application	On-road, off-road, and stationary sources	On-road and off-road sources
Verification Category	PM: Level 1: between 25 to 50% Level 2: between 50 to 85% Level3: between 85% or 0.01 g/bhp-hr NOx: at least 15%	HC, CO, NOx, and PM reduction will be assessed.
Diesel Emission Control Systems	Any retrofit technologies include but not limited to diesel particulate filters, diesel oxidation catalysts, selective catalytic reduction catalysts, fuel additives, alternative diesel fuels, or a combination of above	General verification protocol developed for diesel oxidation catalysts, diesel particulate filter, and engine modification. Other verification protocols will be developed for (1) selective catalytic reduction catalysts and (2) fuel additives and alternative diesel fuels.
Test Process	**On-Road** Engine Testing FTP Heavy-Duty Transient Cycle (1 cold and 3 hot-starts) Chassis Testing UDDS (1 cold and 3 hot-starts) and low speed, high idling cycle (3 hot starts) **Off-Road and Stationary** Engine Testing Appropriate off-road steady-state cycles (3 hot starts)	**Highway** Engine Testing FTP Heavy-Duty Transient Cycle (1 cold and 3 hot starts) **Non-Road** Engine Testing Specific steady state cycle for a particular engine classification
Backpressure Monitor	Required only for filter-based systems	Same as ARB
Minimum Durability Demonstration	On-Road: 50,000 miles or 1000 hours Off-Road and Stationary: 1000 hours Emergency generator: 24 hours Emission tests required at beginning and end of durability period. One baseline test is required.	Same as the minimum warranty period proposed by ARB. Durability tests required at 0% and 33% of the warranty period. Same durability period as ARB for heavy heavy-duty vehicles, but different durability period for medium, light heavy-duty vehicles. Different period durability for off-road engines/equipment.
Warranty	On-Road Light Heavy-Duty: 5 yrs/60,000 miles Medium Heavy-Duty: 5 yrs/100,000 miles Heavy Heavy-Duty: 4 yrs/150/000 miles Off-Road < 25 Hp: 3 yrs/1600 hrs 25 – 50 Hp: 4 yrs/2600 hrs >50 Hp: 5 yrs/4200 hrs	Warranty period defined by manufacturers
In-use Compliance Testing Program Nature Program Goal	Test four to ten diesel emission control systems at two phases, using engine or chassis testing. Phase 1 – first cleaning or end of first year, whichever comes first Phase 2 – between 60 to 80% of minimum warranty period Diesel emission control system must achieve at least 90% of original verified level to pass. At least 70% of all tested diesel emission control system must pass in order to be in compliance	Allow testing method other than chassis or engine testing such as the Real-time On-Road Vehicle Emission Reporter system.

Regarding the emission testing, the staff's proposal would allow chassis or engine dynamometer test while the U.S. EPA requires engine dynamometer test only. Hence, only data from an engine dynamometer test are acceptable by both programs. For instance, for on-road applications, both the staff's proposal and U.S. EPA require one cold and three hot-start of the Heavy-duty Transient Federal Test Procedure (FTP). Likewise, for off-road applications, applicants can submit the data from the engine dynamometer test to fulfil the emission test requirements for both agencies.

To ensure the diesel emission control systems are durable, staff's proposed Procedure requires a minimum durability demonstration period for diesel emission control strategy systems applicable to on-road, off-road, and stationary diesel engines or equipment. The durability demonstration can be conducted in the field or laboratory. Two durability tests are required during the course of the minimum durability period. The durability tests must be conducted at 0 percent and 100 percent of the required minimum durability period. However, baseline testing will be required only for the first or last durability test. On the contrary, the U.S. EPA proposes durability test only at the beginning (or 0 percent) and at 33 percent of the durability period established by the staff's proposal. Note that the EPA's minimum durability period is identical to the minimum warranty period proposed by the ARB. Thus, only diesel emission control systems for the heavy heavy-duty vehicle category will be tested for the same durability period as proposed by ARB while durability periods for medium heavy-duty, light heavy-duty, off-road, and stationary are different. Similar to the Procedure's durability requirement, the durability demonstration can be done in the field or laboratory. However, manufacturers need to conduct two baseline tests, at the beginning and the end of the durability period to fulfill the durability demonstration requirements. Finally, if all durability testing are conducted in the laboratory, staff's proposal would require field demonstration of 200 hours or 10,000 miles to ensure the system is indeed compatible in the field.

For warranty requirements, staff's proposal requires a minimum warranty period including specific warranty statements covering the physical integrity and emission requirements within the warranty period. However, the U.S. EPA's General Verification Protocol relies on the warranty information as defined by the manufacturers, and the warranty coverage could vary depending on the manufacturers.

After working closely to align the in-use compliance strategy, both ARB and U.S. EPA agree on the same in-use compliance program in general. One major difference is that the Procedure requires the applicants to conduct the tests consistent to the emission tests for which the diesel emission control system is verified; while the U.S. EPA allows testing methods other than those used for initial verification. Nevertheless, it is the goal of both agencies that manufacturers only need to conduct one in-use compliance program and meet all in-use compliance requirements as noted in Section 4.4.3.

Though both programs have been harmonized to the best extent possible, there are minor differences between these two programs. In general, the diesel emission system

that is verified by the U.S. EPA, can also be verified by the staff's proposal provided the following conditions are met:

1. Emission tests by engine dynamometer
2. Require the same warranty period as the Procedure
3. Durability test must at least cover the durability period proposed by the Procedure.
4. Field demonstration (if all durability is conducted only in the laboratory)
5. Same engine testing throughout the in-use compliance test program.

Despite the different needs of the two programs, staff is still working with the U.S. EPA to minimize differences. Note that while the U.S. EPA 's draft General Verification Protocol has not been finalized yet. It is likely that the U.S. EPA will modify its protocol and adopt some of the regulatory languages from the staff's proposed Procedure if the Board adopts the staff's proposed Procedure. Thus, the effort of harmonization is still underway. To ensure maximum harmonization, an applicant should contact both agencies prior to conducting testing.

7.2 Harmonization with the VERT Program

The Verminderung der Emissionen von Realmaschinen im Tunnelbau (VERT) program was formed jointly by the Austrian Accident Insurance Agency, the Swiss Agency for the Environment, Forests, and Landscape, the Swiss National Accident Insurance Organization ("Swiss Environmental Protection Agency"), and the German Association of Construction Professionals since 1994. Its original mission was to curtail the emissions from diesel engines at tunnel sites. Through the years, the VERT program has developed a verification guideline, the Suitability Test, to ensure the particulate filters meet the required filtration requirements (Mayer A., 2002).

Table 12 provides a summary that lists the key elements of the VERT Suitability Test versus ARB's Diesel Emission Control Strategy. The VERT's Suitability Test evaluates filtration characteristics of particulate filters in terms of particulate mass and particulate count before and after the field deployment for 2000 hours. The VERT defines the removal efficiency of the particulate trap using both the elemental carbon mass and number count (10 to 500 nm). The VERT requires any new particulate filter to meet a minimum 90 percent removal efficiency for elemental carbon and 95 percent removal efficiency for number count. However, after the particulate filter has been in operation for more than 2000 hours, the required minimum removal efficiency for elemental carbon changes to 85 percent and number count removal efficiency drops to 90 percent.

Generally speaking, the VERT program requires a particulate filter system to include: (1) filter medium, (2) regeneration equipment, and (3) on-board diagnostic system to monitoring the backpressure of the particulate filter.

There are three parts in the Suitability Test. Both Part I and 3 require testing on a LIEBHERR 914 T/105 kW construction engine or equivalent; and the engine test cycle is based on four operating points according to ISO 8178 C1 as well as transient tests. Part 2 of the Suitability is simply a field demonstration of the particulate filter in a vehicle or equipment.

Part 1 requires the emission testing when the particulate filter is in new state, deposited state, and after regeneration. It also monitors the emissions during the regeneration, metered additive dosage, and the on-board diagnostics system. Several methodologies are used to measure the particle count and size distribution. In particular, the particle count is measured by the Scanning Mobility Particle Sizer in combination with the Thermodenuder, the size-specific particulate mass is measured by the Electrical Low Pressure Impactor, and the particle surface is measured by the NanoMet. Part 2 of the Suitability Test is a field demonstration of the particulate filter for a typical application in a vehicle or equipment. Data loggers will be installed placed to record temperature and backpressure during the field demonstration. Any problems associated with the breakdown or repair of the particulate filter as well as fuel and oil consumption will be recorded. At least two of the three particulate filters must survive field demonstration without any damage. Finally, one of the two survived filters must be used for Part 3 of the Suitability Test. Part 3 of the Suitability Test is simply a repeat of Part 1, with only half of the required tests.

For the staff's proposal, manufacturers have the option to test the diesel emission control systems on an engine or chassis dynamometer, with appropriate test cycles. There is no requirement that all tests should be conducted on a pre-selected engine. All pollutants (HC, CO, NOx, PM) are measured in terms of mass only (g/mile or g/bhp-hr). However, if there are reasons for the Executive Officer to believe that the particulate filter may drastically increase the number of nanoparticles or other undesirable air toxics, the Procedure may require the manufacturers to conduct additional testing on particle size distribution or toxics. Regarding durability demonstration, the Procedure generally requires diesel emission control systems to be tested for 1000 hours or 50,000 miles in the laboratory or in the field. If all durability accumulation service is conducted in the laboratory, the diesel emission control system must be demonstrated in the field for at least 200 hours or 10,000 miles.

Similar to staff's proposal, if the particulate filter has catalytically active components suspected of forming secondary toxic emissions, then the polyaromatic hydrocarbon, nitro-polyaromatic hydrocarbon, and polychlorinated dibenzodioxins/furans (Isomers) must be monitored.

Table 12. Comparison of the Diesel Emission Control Verification Program Between ARB and VERT

Verification Program Element	ARB	VERT
Operation	Retrofit Assessment Section of Mobile Source Control Division	Swiss Agency for the Envrionment, Forests, and landscapte
Program Nature	Regulatory	Regulatory
Program Goal	Verify diesel emission control systems capable to reduce (1) at least 25% of PM and 15% of NOx	PM reduction in elemental carbon and number count (10 to 500 nm) Elemental Carbon count: 90% (new), 85% (after 2000 hrs) Number count (10 to 500 nm): 80% (new), 75% (after 2000 hrs)
Application	On-road, off-road, and stationary sources	On-road, off-road, and stationary sources
Verification Category	PM: Level 1: between 25 to 50% Level 2: between 50 to 85% Level3: between 85% or 0.01 g/bhp-hr NOx: at least 15%	Only PM reduction in terms of elemental carbon and number count.
Diesel Emission Control Systems	Any retrofit technologies include but not limited to diesel particulate filters, diesel oxidation catalysts, selective catalytic reduction catalysts, fuel additives, alternative diesel fuels, or a combination of above	Diesel particulate filter with active or passive regeneration process. May use fuel additives in combination with diesel particulate filter.
Test Process	**On-Road** Engine Testing FTP Heavy-Duty Transient Cycle (1 cold and 3 hot-starts) Chassis Testing UDDS (1 cold and 3 hot-starts) and low speed, high idling cycle (3 hot starts) **Off-Road and Stationary** Engine Testing Appropriate off-road steady-state cycles (3 hot starts)	**On-Road, Off-Road, and Stationary** Test Bed: 1989 Liebherr D914T/105 KW construction engine or Equivalent. Test Cycle: ISO 8178/4 C1 and transient cycle The following measurements are performed: 1. with/without filter 2. with/without fuel additives 3. Filter with new/loaded/regenerated/during regeneration
Backpressure Monitor	Required only for filter-based systems	Same as ARB
Minimum Durability Demonstration	On-Road: 50,000 miles or 1000 hours Off-Road and Stationary: 1000 hours Emergency generator: 500 hours	Repeat emission tests after 2000 hrs demonstration in the field.
Warranty	On-Road Light Heavy-Duty: 5 yrs/60,000 miles Medium Heavy-Duty: 5 yrs/100,000 miles Heavy Heavy-Duty: 4 yrs/150/000 miles Off-Road < 25 Hp: 3 yrs/1600 hrs 25 – 50 Hp: 4 yrs/2600 hrs >50 Hp: 5 yrs/4200 hrs	Minimum 2 years or 1000 hrs
In-use Compliance Testing Program Nature Program Goal	Test four to ten diesel emission control systems at two phases Phase 1 – first cleaning or end of first year, whichever comes first Phase 2 – between 60 to 80% of minimum warranty period Diesel emission control system must achieve at least 90% of original verified level to pass. At least 70% of all tested diesel emission control system must pass in order to be in compliance	Annual inspection of all diesel emission control system Using opacity test. Cutpoint for opacity is 10%. If > 5% of the diesel emission control systems fail the opacity test, may revoke the verification status.

Finally, the VERT requires that all diesel emission control strategy systems used in the field to be tested annually by using an opacity test (NanoMet). If more than 5 percent of the diesel emission control strategy systems exceeds a 10 percent opacity cutpoint, the diesel emission control strategy system may be removed from the verified list.
In short, major differences between the staff's proposal and the VERT's verification program can be summarized as follows:

1. PM reduction threshold
2. Diesel emission control strategies is limited to particulate filter and fuel additives
3. Test procedure and engine selection.
4. Warranty period
5. In-use compliance requirements

Nevertheless, staff's proposal is designed to take into account any emission and durability data for systems that have been verified under the VERT's program.

7.3 Warranty

Engine manufacturers have expressed concern that the proposed warranty period would be inappropriate. However, manufacturers of diesel emission control systems are confident that their systems can meet the proposed warranty period. Additionally, users have requested longer periods to match expected useful life. Staff believes that proposed periods are appropriate. For strategies employed on in-use diesel engines a shorter period would not provide sufficient consumer protection, while a longer period would add cost to the process that could hinder implementation. Successful implementation of in-use strategies will depend on user acceptance. Staff believes that the proposed warranty periods will foster this acceptance.

8 REGULATORY ALTERNATIVES

While developing the proposal, staff considered a number of regulatory alternatives, described below.

8.1 Do Not Require Verification

As outlined in the Diesel Risk Reduction Plan, ARB intends to reduce emissions in virtually all diesel-fueled engines and vehicles for minimizing the health risk associated with the diesel PM. Thus, it is critical that those diesel emission control strategy technologies meet a minimum emission reduction and durability requirement to ensure the emission reductions are real and the performance will endure.

Under the California Vehicle Code 27156, ARB allows the sale of an aftermarket part to be installed on a certified engine, provided that there is no net increase of any emissions associated with the installation of the aftermarket part. However, this provision of law does not require the quantification of emission reduction associated with the aftermarket part, if any. Currently, there is no regulation that verifies the emission reduction and durability claims for diesel emission control strategy technologies.

If the Diesel Emission Control Strategy Verification Procedure is not adopted, and no verification is available, there will be no guarantee that the diesel emission control systems are meeting the emission reduction and durability claims, as alleged by the manufacturers. In addition, end-users will not have the assurance that diesel emission control strategy technologies are compatible with a variety of diesel-fueled engines, under different operating circumstances. End-users will also be reluctant to invest in diesel emission control strategy technologies that may not have quantifiable emission reductions.

As a result, ARB would likely encounter tremendous resistance when diesel emission control strategy rules are proposed. Consequently, ARB will not be able to meet the Diesel Risk Reduction Plan goal of a 75 percent reduction in diesel PM and the associated cancer risk in 2010, and an 85 percent reduction in 2020. Furthermore, even were the rules adopted, ARB would not be able to gauge the success or failure of the program.

8.2 Rely on Other Verification Programs

Another alternative would be to rely on other verification programs, such as the U.S. EPA program or the VERT program. However, as noted in Section 7, these programs do not entirely coincide with the needs of the Diesel Risk Reduction Program. The U.S. EPA voluntary verification program at this time focuses only on diesel oxidation

catalysts, diesel particulate filters, and engine modifications and is limited to on-road and off-road application.

As described in detail in Section 7.1 above, the U.S. EPA's program is further limited in that only engine dynamometer testing is allowed, it does not cover stationary applications, and there are no minimum warranty requirements. Although the U.S. EPA program is well suited for the nationwide needs of voluntary retrofit programs, it would not be sufficient for meeting the overall goals of the Diesel Risk Reduction Plan.

Regarding the VERT program, it is limited to PM retrofit technologies with special emphasis on filters and fuel additives and does not include verification for the NOx emission control technologies. Furthermore, it specifies the filtration efficiency of particulate filters in terms of particle size and number instead of PM mass (which is the basis of ARB and U.S. EPA regulations), and requires less stringent 75 percent minimum efficiency.

9 ECONOMIC IMPACTS

The proposed Diesel Emission Control Strategy Verification Procedure simply establishes a protocol for evaluation of in-use diesel emission control technologies. Participation in the Diesel Emission Control Strategy Verification program is optional and presumably a business would use the Verification Procedure only if the business believes it will be financially advantageous for it to do so. Thus, there are no mandated costs to equipment manufacturers. Costs to these parties are incurred only if they choose to participate in the Program.

Costs to the manufacturers include research and development costs, marketing costs, and costs associated with the testing necessary to comply with the Diesel Emission Control Verification procedural requirements.

It must be noted that the program does not levy any requirements on end users. Costs to the end-users include purchase price and related expenditures and maintenance costs. Those costs will vary by market segment and will be addressed in detail as staff prepares the individual implementation proposals

9.1 Legal Requirement

Section 11346.3 of the Government Code requires State agencies to assess the potential for adverse economic impacts on California business enterprises and individuals when proposing to adopt or amend any administrative regulation. The assessment shall include a consideration of the impact of the proposed regulation on California jobs, business expansion, elimination or creation, and the ability of California business to compete with business in other states.

State agencies are also required to estimate the cost or savings to any State or local agency and school district in accordance with instructions adopted by the Department of

Finance. The estimate shall include and nondiscretionary cost or saving to the local agencies and the cost or saving in federal funding to the State.

9.2 Affected Businesses

Participation in the Program is not mandatory. However, any business or individual that chooses to participate in the Program will have to follow the Verification Procedure. Businesses that choose to participate and which would be subject to the Verification Procedure include those that manufacture or market diesel emission control technologies. Also, potentially indirectly affected are businesses that supply raw materials or equipment to these manufacturers or marketers, or distribute, sell or service these products.

9.3 Potential Impact on California Businesses

Should a manufacturer or marketer elect to participate in the verification program, it would need to provide detailed information and data on the product in accordance with the Procedure. The testing required by the Verification Procedure will possibly require significant expenditures of capital on the part of a company. The cost to perform all necessary tests depends on the engine type being verified as well as the type of testing performed (see cost estimate in Section 9.8, below). However, once the product is verified, it will be recognized as an option for meeting the goals of the Diesel Risk Reduction Plan.

Should a manufacturer choose not to participate in the Program, avenues exist allowing for the sale of the emission control system in California. As noted in Section 6, a manufacturer or marketer having an exemption from Vehicle Code 27156 can sell the product in California. However, this product would not be a verified emission control device, and would not be recognized.

The same requirements will hold for any manufacturer that wishes to sell their product in California, regardless of business location.

9.4 Potential Impact on Employment

The proposed Procedure is not expected to cause a noticeable change in California employment and payroll. Participation in the program is voluntary and presumably only businesses able to afford the program will participate.

9.5 Potential Impact of Business Creation, Elimination or Expansion

The proposed Procedure will have no noticeable impact on the status of California business. California businesses that supply monitoring equipment or testing facilities may benefit from increased industry spending on certification testing necessary to comply with the Program's requirements. Furthermore, some diesel emission control strategy companies may be created as a result of the proposed Procedure.

9.6 Potential Impact on Business Competitiveness

The proposed Procedure would have no significant impact on the ability of California's businesses to compete with businesses in other states. Participation on the program is voluntary and the Procedure applies to all businesses that manufacture or market diesel emission control technologies regardless of their location.

9.7 Potential Impact to California State or Local Agencies

The proposed procedure will not create costs or savings, as defined in Government Code section 11346.5 (a)(6), to any State agency or in federal funding to the State, costs or mandate to any local agency or school district whether or not reimbursable by the State pursuant to Part 7 (commencing with section 17500, Division 4, Title 2 of the Government Code), or other non-discretionary savings to local agencies.

9.8 Estimated Costs

As noted previously, the Diesel Emission Control Strategy program is voluntary. Those manufacturers that wish to market diesel emission control strategy devices in California consistent with the Diesel Risk Reduction Plan may decide to comply with these Procedures in order to gain verification. The diesel emission control strategy verification procedure requires both emission and durability testing. Fulfilling this testing requirement should constitute the direct costs to the manufacturer when complying with the diesel emission control strategy verification procedure. In order to facilitate the verification process and aid manufacturers who participate in the diesel emission control strategy program, multiple forms of equivalent data and testing can be submitted for review. Where the testing is conducted, if it is done in-house versus contracted out, and what testing is actually done will significantly affect the total price of complying with ARB testing procedures. Additionally, depending on the technology being submitted for review, additional testing might be required before verification is approved. Because of these factors, costs associated with the diesel emission control strategy verification procedure can vary wildly between manufacturers. In order to estimate a representative cost to manufacturers, ARB staff is making the assumption that all manufacturers will contract out for all testing and that they will strictly follow the diesel emission control strategy verification procedure and will not be able to provide equivalent data from other

projects. Costs of special testing or setup requirements are not addressed as they are too variable and would be determined on a case by case basis. Estimates are based on multiple sources and should encompass a range of possible prices.

Generally speaking, cost estimates for running an engine dynamometer test, not including cost of fuel, starts at about $85.00 per hour. The set-up cost for a standard engine or vehicle is estimated at $15,000 per vehicle or engine, depending on the type of engines or vehicles. The cost for one cold and one hot test is estimated at $4,000 while any additional hot test is estimated to be $1,500 (See Table 13).

Staff has estimated the costs to applicants for participation in the verification program, as shown in Table 13, below. It must be noted that the cost estimates assume all testing would be unique to the verification program, even though the proposal allows the use of existing data where appropriate.

Table 13. Representative Verification Testing Costs

Cost Item	Engine Testing	Chassis Testing
Set-up Costs per engine or vehicle	$15,000	$15,000
Cost per one cold and one hot-start	$4,000	$4,000
Cost per additional hot-start	$1,500	$1,500
Emission Testing per engine or vehicle	$29,000	$11,500
Durability Testing	$51,000	$64,500
In-Use Compliance Testing	$232,000 - $580,000	$304,000 - $760,000
Total Testing Costs	$312,000 - $660,000	$406,500 - $862,500

The above estimates include in-use compliance testing costs which could vary widely. The amount of in-use compliance testing required depends on the performance of the tested units. A minimum of 8 units to a maximum of 20 units would be tested for in-use compliance. Actual testing costs might be lower as the proposed Procedure and U.S. EPA programs utilize a common statistical basis allowing data collected for one program to potentially fulfill the requirements of the other. Thus, a business with preexisting data generated from U.S. EPA in-use compliance testing may be able to apply this towards ARB in-use compliance requirements. Additionally, in-use compliance testing only applies to businesses, which sell more than 50 units of a specific model of a verified diesel emission control system in California. Because of the above, the cost for in-use compliance can vary significantly. For those businesses selling less than 50 units, or which have existing, appropriate data, there would be no cost for in-use compliance.

The total costs for all requirements, including emission reduction, durability, and in-use compliance can range from zero for a manufacturer that has previously generated data fulfilling all the proposed requirements, to $862,500 for a manufacturer which would have to generate all its data specifically for the proposed Procedure. The projected values agree with actual costs provided by a manufacturer. A manufacturer of diesel emission control strategies provided estimates on how much it would cost to comply with the proposed regulation. The manufacturer's estimated cost was between $400,000 and $850,000 dollars to complete all the requirements of this regulation. These figures support staff's estimates.

10 ENVIRONMENTAL IMPACTS

No direct environmental impacts can be associated with the staff proposal, as the proposal would simply institute a methodology and protocol for evaluating diesel emission control strategies. Emissions benefits due to use of the strategies evaluated through this Procedure will be estimated as part of the development of regulations or other programs to implement the strategies.

11 COST-EFFECTIVENESS

Because no direct emissions benefits are associated with the staff proposal, no traditional cost effectiveness can be calculated. When staff proposes rules to implement in-use controls for the various categories of diesel engines, it will provide more detailed estimates, taking into account the specific issues associated with each category.

12 CONCLUSION

The proposed verification procedure, as described herein, would provide a way to thoroughly evaluate the emissions reduction capabilities and durability of a variety of diesel emission control strategies. The proposal provides sound guidelines for evaluation, while retaining the flexibility needed to reduce the burden on applicants and allow speedy implementation of the Diesel Risk Reduction Plan. The ARB staff recommends that the Board adopt new sections of 2700 to 2710, Title 13, California Code of Regulations, set forth in the proposed Regulation Order in Appendix A.

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Appendix A. Proposed Regulation Order

Verification Procedure, Warranty and In-Use Compliance Requirements for In-Use Strategies to Control Emissions from Diesel Engines

§ 2700. Applicability.

These procedures apply to in-use strategies to control emissions of particulate matter (PM) and oxides of nitrogen (NOx) from diesel-fueled diesel engines. These strategies include but are not limited to, diesel particulate filters, diesel oxidation catalysts, fuel additives, selective catalytic reduction systems, exhaust gas recirculation systems, and alternative diesel fuels.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2701. Definitions

(a) The definitions in Section 1900(b), Chapter 1, Title 13 of the California Code of Regulations are incorporated by reference herein. The following definitions shall govern the provisions of this chapter:

(1) "15 ppmw or less sulfur fuel" means diesel fuel with a sulfur content equal to or less than 15 parts per million by weight (ppmw).

(2) "Alternative Diesel Fuel" means any fuel used in diesel engines that is not a reformulated diesel fuel as defined in Sections 2281 and 2282 of Title 13, of the California Code of Regulations, and does not require engine or fuel system modifications for the engine to operate, although minor modifications (e.g. recalibration of the engine fuel control) may enhance performance. Examples of alternative diesel fuels include, but are not limited to, biodiesel, Fischer Tropsch fuels, and emulsions of water in diesel fuel. Natural gas is not an alternative diesel fuel.

(3) "Applicant" means the entity that has applied for or has been granted verification under this Procedure.

(4) "Auxiliary Emission Control Device" (AECD) means any device or element of design that senses temperature, vehicle speed, engine revolutions per minute (RPM), transmission gear, manifold vacuum, or any other parameter for the purpose of activating, modulating, delaying, or deactivating the operation of the emission control system.

(5) "Average" means the arithmetic mean.

(6) "Backpressure Monitor" means a device that includes a sensor for measuring the engine backpressure upstream of a diesel emission control system and an indicator to notify the operator when the backpressure

exceeds specified high and in some cases low backpressure limits, as defined by the engine manufacturer or the applicant for verification of a diesel emission control strategy.

(7) "Baseline" means the test of a vehicle or engine without the diesel emission control strategy implemented.

(8) "Cold Start" means the start of an engine only after the engine oil and water temperatures are stabilized between 68 and 86 degrees F for a minimum of 15 minutes.

(9) "Defeat device" means an auxiliary emission control device (AECD) that reduces the effectiveness of the emission control system under conditions that may reasonably be expected to be encountered in normal vehicle operation and use, unless:

(A) such conditions are substantially included in the Federal emission test procedure;

(B) the need for the AECD is justified in terms of protecting the vehicle against damage or accident; or

(C) the AECD does not go beyond the requirements of engine starting.

(10) "Diesel emission control strategy" or "Diesel emission control system" means any device, system, or strategy employed with an in-use diesel vehicle or piece of equipment that is intended to reduce emissions. Examples of diesel emission control strategies include, but are not limited to, particulate filters, diesel oxidation catalysts, selective catalytic reduction systems, fuel additives used in combination with particulate filters, alternative diesel fuels, and combinations of the above.

(11) "Diesel Emission Control Strategy Family Name." See Section 2706(g)(2).

(12) "Diesel Engine" means an internal combustion engine with operating characteristics significantly similar to the theoretical diesel combustion cycle. The primary means of controlling power output in a diesel cycle engine is by limiting the amount of fuel that is injected into the combustion chambers of the engine. A diesel cycle engine may be petroleum-fueled (i.e., diesel-fueled) or alternate-fueled.

(13) "Durability" means the ability of the applicant's diesel emission control strategy to maintain a level of emissions below the baseline and maintain its physical integrity over some period of time or distance determined by the Executive Officer pursuant to these regulations. The minimum durability testing periods contained herein are not necessarily meant to represent the entire useful life of the diesel emission control strategy in actual service.

(14) "Emergency/Standby Engine" means an internal combustion engine used only as follows: (1) when normal power line or natural gas service fails; or (2) for the emergency pumping of water for either fire protection or flood relief. An engine operated to supplement a primary power source when the load capacity or rating of the primary power source has been either reached or exceeded is not an emergency/standby engine.

(15) "Emission control group" means a set of diesel engines and applications determined by parameters that affect the performance of a particular diesel emission control strategy. The exact parameters depend on the nature of the diesel emission control strategy and may include, but are not limited to, certification levels of engine emissions, combustion cycle, displacement, aspiration, horsepower rating, duty cycle, exhaust temperature profile, and fuel composition. Verification of a diesel emission control strategy and the extension of existing verifications are done on the basis of emission control groups.

(16) "Executive Officer" means the Executive Officer of the Air Resources Board or the Executive Officer's designee.

(17) "Executive Order" means the document signed by the Executive Officer that specifies the verification level of a diesel emission control strategy for an emission control group and includes any enforceable conditions and requirements necessary to support the designated verification.

(18) "Fuel Additive" means any substance designed to be added to fuel or fuel systems that has any of the following effects: decreased emissions, improved fuel economy, increased performance of the entire vehicle or one of its component parts, or any combination thereof; or assists diesel emission control strategies in decreasing emissions, or improving fuel economy or increasing performance of a vehicle or component part, or any combination thereof.

(19) "Fuel Borne Catalyst" means a fuel additive containing one or more fuel-soluble metals, that acts as a catalyst to lower the temperature at which regeneration occurs within a diesel particulate filter.

(20) "Hot Start" means the start of an engine within four hours after the engine is last turned off. The first hot start test run should be initiated 20 minutes after the cold start for Federal Test Procedure testing following Section 86.1327-90 of the Code of Federal Regulations, Title 40, Part 86.

(21) "Portable Diesel-Fueled Diesel Engine" means a diesel-fueled diesel engine which is designed and capable of being carried or moved from one location to another and does not remain at a single location for more than 12 consecutive months. Engines used to propel mobile equipment or a motor vehicle of any kind are not portable engines. Examples of portable diesel-fueled engine applications include, but are not limited to cranes, pumps, welders, woodchippers, tactical support equipment (military), power generation sets, pile-driving hammers, service or work-over rigs, dredges or boats or barges, and compressors. The definitions in Title 13 California Code of Regulations Section 2452(g) and Section 2452(x) are incorporated by reference herein.

(22) "Regeneration", in the context of diesel particulate filters, means the periodic or continuous combustion of collected particulate matter that is trapped in a particulate filter through an active or passive mechanism. Active regeneration requires a source of heat other than the exhaust itself to regenerate the particulate filter. Examples of active regeneration strategies include, but are not limited to, the use of fuel burners and

electrical heaters. Passive regeneration does not require a source of heat for regeneration other than the exhaust stream itself. Examples of passive regeneration strategies include, but are not limited to, the use of fuel-borne catalysts and the catalyst-coated particulate filter. In the context of NOx reduction strategies, "regeneration" means the desorption and reduction of NOx from NOx adsorbers (or NOx traps) during rich operating conditions.

(23) "Revoke" means to cancel the verification status of a diesel emission control strategy. If a diesel emission control strategy's verification status is revoked by the Executive Officer, the applicant must immediately cease and desist selling the diesel emission control strategy to end-users.

(24) "Stationary Diesel-Fueled Diesel Engine" means either a diesel-fueled diesel engine that is used in a piece of equipment that is designed to remain in one location for the duration of its useful life, or a diesel-fueled diesel engine that is used in a piece of equipment that can be moved from one location to another but remains in a single location for more than 12 consecutive months. Examples of stationary applications include, but are not limited, to electric power generator sets, grinders, rock crushers, sand screeners, cranes, cement blowers, compressors, and water pumps. The definitions in Title 13 California Code of Regulations Section 2452(g) and Section 2452(x) are incorporated by reference herein.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2702. Application Process

(a) Overview. Before submitting a formal application for the verification of a diesel emission control strategy for use with an emission control group, the applicant must submit a proposed verification testing protocol (pursuant to Section 2702(b)) at the Executive Officer's discretion. To obtain verification, the applicant must conduct emission reduction testing (pursuant to Section 2703), durability testing (pursuant to Section 2704), a field demonstration (pursuant to Section 2705), and submit the results along with comments and other information (pursuant to Sections 2706 and 2707) in an application to the Executive Officer, in the format shown in Section 2702(d). If the Executive Officer grants verification of a diesel emission control strategy, it will issue an Executive Order to the applicant identifying the verified emission reduction and any conditions that must be met for the diesel emission control strategy to function properly. After the Executive Officer grants verification of a diesel emission control strategy, the applicant must provide a warranty, conduct in-use compliance testing of the strategy after having sold a specified

number of units, and report the results to the Executive Officer (pursuant to Section 2709). A diesel emission control strategy that employs two or more individual systems or components must be tested and submitted for evaluation as one system. Applicants seeking verification of an alternative diesel fuel must follow the procedure described in Section 2710.

(b) Proposed Verification Testing Protocol. Before formally submitting an application for the initial verification of a diesel emission control strategy, the applicant must submit a proposed verification testing protocol at the Executive Officer's discretion. The protocol should include the following information:
(1) Identification of the contact persons, phone numbers, names and addresses of the responsible party proposing to submit an application.
(2) Description of the diesel emission control strategy's principles of operation and a schematic depicting operation.
(3) Preliminary parameters for defining emission control groups that are appropriate for the diesel emission control strategy. The Executive Officer will work with the applicant to determine appropriate emission control group parameters.
(4) The applicant's plan for meeting the requirements of Sections 2703-2706. Existing test data may be submitted for the Executive Officer's consideration. The protocol must focus on verification of the diesel emission control strategy for use with a single emission control group.

(c) If an applicant submits a proposed verification testing protocol, the Executive Officer shall, within 30 days of its receipt, determine whether the applicant has identified an appropriate testing protocol to support an application for verification and notify the applicant in writing that it may submit an application for verification. The Executive Officer may suggest modifications to the proposed verification testing protocol to facilitate verification of the diesel emission control strategy. All applications, correspondence, and reports must be submitted to:

Chief, Heavy-Duty Diesel In-Use Strategies Branch
Air Resources Board
9528 Telstar Avenue
El Monte, CA 91731

(d) Application Format. The application for verification of a diesel emission control strategy must follow the format shown below. If a section asks for information that is not applicable to the diesel emission control strategy, the applicant must indicate "not applicable."

1. Introduction

1.1 Identification of applicant, manufacturer, and product
1.2 Identification of type of verification being sought

1.2.1 Description of emission control group selected
1.2.2 Emission reduction claim

2. Diesel Emission Control Strategy Information

2.1 General description of the diesel emission control strategy
2.1.1 Discussion of principles of operation and system design
2.1.2 Schematics depicting operation
2.2 Description of regeneration method
2.2.1 Operating condition requirements for regeneration
2.2.2 Thresholds and control logic to activate regeneration
2.2.3 Description of backpressure monitor including threshold and control logic
2.3 Favorable operating conditions
2.4 Unfavorable operating conditions and associated reduction in performance
2.5 Fuel requirements and misfueling considerations
2.6 Identification of failure modes and associated consequences
2.7 Complete discussion of all potential safety issues *(e.g., uncontrolled regeneration, lack of proper maintenance, unfavorable operating conditions, etc.)*
2.8 Installation requirements
2.9 Maintenance requirements

3. Alternative Diesel Fuel Information

3.1 Information from Section 2710(b)
3.2 Emission control group compatibility considerations
3.3 Misfueling prevention strategies

4. Diesel Emission Control Strategy and Emission Control Group Compatibility

4.1 Compatibility with the engine
4.1.1 Discussion on calibrations and design features that may vary from engine to engine
4.1.2 Effect on overall engine performance
4.1.3 Effect on engine backpressure
4.1.4 Additional load on the engine
4.1.5 Effect on fuel consumption
4.1.6 Engine oil consumption considerations
4.2 Compatibility with the application
4.2.1 Dependence of calibration and other design features on application characteristics
4.2.2 Presentation of typical exhaust temperature profiles and other relevant field-collected data from representative applications within the emission control group
4.2.3 Comparison of field-collected application data with operating conditions suitable for the diesel emission control strategy

5. Testing Information

5.1 Emission reduction testing
- 5.1.1 Test facility identification
- 5.1.2 Description of test vehicle and engine *(make, model year, engine family name, etc.)*
- 5.1.3 Test procedure description *(de-greening period, test cycle, etc.)*
- 5.1.4 Test results and comments

5.2 Durability testing
- 5.2.1 Test facility identification
- 5.2.2 Description of field application (where applicable)
- 5.2.3 Description of test vehicle and engine *(make, model year, engine family name, etc.)*
- 5.2.4 Test procedure description *(field or bench, test cycle, etc.)*
- 5.2.5 Test results and comments
- 5.2.6 Summary of evaluative comments from third-party for in-field durability demonstration *(e.g., driver or fleet operator)*

5.3 Field demonstration (where applicable)
- 5.3.1 Field application identification
- 5.3.2 Description of test vehicle and engine *(make, model year, engine family name, etc.)*
- 5.3.3 Engine backpressure and exhaust temperature graphs with comments
- 5.3.4 Summary of evaluative comments from third-party *(e.g., driver or fleet operator)*

6. References

7. Appendices

A. Laboratory test report information *(for all tests)*
- A.1 Raw test data
- A.2 Plots of engine backpressure and exhaust temperature
- A.3 Driving traces for chassis dynamometer tests
- A.4 Quality assurance and quality control information

B. Third-party letters describing in-field performance

C. Diesel emission control system label

D. Owner's manual
- D.1 Installation procedure
- D.2 Maintenance requirements
- D.3 Backpressure monitor instructions (if applicable)
- D.4 Fuel requirements
- D.5 Fuel penalty
- D.6 Durability statement
- D.7 Warranty
- D.8 Information on wastes generated with warnings where appropriate
- D.9 Contact information for replacement components and maintenance supplies ("Contact your local distributor" is satisfactory)

D.10 Safety considerations

E. Other supporting documentation

(e) Within 30 days of receipt of the application, the Executive Officer shall notify the applicant whether the application is complete.

(f) Within 60 days after an application has been deemed complete, the Executive Officer shall determine whether the diesel emission control strategy merits verification and shall classify it as shown in Table 1:

Table 1. Verification Classifications for Diesel Emission Control Strategies

Pollutant	Reduction	Classification
PM	< 25%	Not verified
	≥ 25% but < 50%	Level 1
	≥ 50% but < 85%	Level 2
	≥ 85%, or ≤ 0.01 g/bhp-hr	Level 3
NOx	< 15%	Not verified
	≥ 15%	Verified in 5% increments

The applicant and the Executive Officer may mutually agree to a longer time period for reaching a decision, and additional supporting documentation may be submitted by the applicant before a decision has been reached. The Executive Officer shall notify the applicant of the decision in writing and specify the verification level for the diesel emission control strategy and identify any terms and conditions that are necessary to support the verification.

(g) Extensions of an Existing Verification. If the applicant has verified a diesel emission control strategy with one emission control group and wishes to extend the verification to include additional emission control groups, it may apply to do so using the original test data, additional test data, engineering justification and analysis, and any other information deemed necessary by the Executive Officer to address the differences between the emission control group already verified and the additional emission control group(s). Processing time periods follow sections (e) and (f) above.

(h) Design Modifications. If an applicant modifies the design of a diesel emission control strategy that has already been verified or is under consideration for verification by the Executive Officer, the modified version must be evaluated under this Procedure. The applicant must provide a detailed description of the design modification along with an explanation of how the modification will change the operation and performance of the diesel emission control strategy.

To support its claims, the applicant must submit additional test data, engineering justification and analysis, and any other information deemed necessary by the Executive Officer to address the differences between the modified and original designs. Processing time periods follow sections (e) and (f) above.

(i) Treatment of Confidential Information. Information submitted to the Executive Officer by an applicant may be claimed as confidential, and such information shall be handled in accordance with the procedures specified in Title 17, California Code of Regulations, Sections 91000-91022. The Executive Officer may consider such confidential information in reaching a decision on a verification application.

(j) The Executive Officer may lower the verification level or revoke the verification status of a verified diesel emission control strategy family if there are errors, omissions or inaccurate information in the application for verification or supporting information.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2703. Emission Testing Requirements.

(a) The applicant must test the diesel emission control strategy on an emission control group basis and identify the emission control group. The applicant must identify the test engines and vehicles, if applicable, by providing the engine family name, make, model, model year, and PM and NOx certification levels if applicable. The applicant must also describe the applications for which the diesel emission control strategy is intended to be used in by giving examples of in-use vehicles or equipment, characterizing typical duty cycles, indicating any fuel requirements, and/or providing other application-related information.

(b) Engine Pre-conditioning. The applicant may tune-up or rebuild test engines prior to, but not after, baseline testing unless rebuilding the engine is an integral part of the diesel emission control strategy. All testing should be performed with the test engine in a proper state of maintenance.

(c) Diesel Emission Control System Pre-conditioning. The engine installed with a diesel emission control system must be operated for a break-in period of between 25 and 125 hours before emission testing.

(d) Test Fuel.

(1) The test fuel must meet the specifications in the California Code of Regulations (Sections 2280 through 2283 of Title 13), with the exception of the sulfur content or other properties previously identified by the applicant and approved by the Executive Officer.

(2) If operation or performance of a diesel emission control strategy is affected by fuel sulfur content, the sulfur content of the test fuel must be no less than 66 percent of the stated maximum sulfur content for the diesel emission control strategy, unless

(A) the testing is performed with fuel containing 15 ppmw or less sulfur for verification on 15 ppmw or less sulfur diesel fuel, or

(B) the testing is performed with diesel fuel commercially available in California for verification on CARB diesel fuel (i.e., fuel meeting the specifications in Title 13, California Code of Regulations, Sections 2280 through 2283).

(3) Baseline testing may be conducted with commercially available diesel fuel or diesel fuel with 15 ppmw or less sulfur. Baseline and control tests must be performed using the same fuel unless the control fuel is specified as a component of the emission control strategy.

(4) The test fuel (or batch of fuel purchased) must be analyzed using American Society for Testing and Materials (ASTM) test methods listed in Table 6, which are incorporated herein by reference. At a minimum, sulfur content, aromatic content, polycyclic aromatic hydrocarbons, nitrogen content, and cetane number must be reported. The Executive Officer may ask for additional properties to be reported if evidence suggests those properties may affect functioning of the diesel emission control strategy.

(e) Test Cycle. The diesel emission control strategy must be tested using the test cycles indicated in subparagraphs 1-3 below (summarized in Table 2) or with alternative cycle(s) approved by the Executive Officer pursuant to subsection (f) below.

Table 2. Test Cycles for Emission Reduction Testing*

Test Type	On-Road	Off-Road (including portable engines)	Stationary
Engine	FTP Heavy-duty Transient Cycle (1 cold-start and 3 hot-starts)	Steady-state test cycle from ARB off-road regulations (3 hot-starts)	Steady-state test cycle from ARB off-road regulations (3 hot-starts)
Chassis	UDDS (1 cold-start and 3 hot-starts) and ARB approved test cycle per 2703 (f) (3 hot-starts).	Not Applicable	Not Applicable

* Additional hot-starts are required for NOx emission reduction between 15 to 25 percent (see Section 2703(h)).
FTP = Federal Test Procedure; UDDS = Urban Dynamometer Driving Schedule

(1) On-road Engines and Vehicles. For on-road diesel-fueled vehicles, the applicant may choose between engine dynamometer testing and chassis dynamometer testing, subject to the following conditions. Engine testing may be used for verification of an absolute engine emissions level or a percent emission reduction. Chassis testing may be used only to verify a percent emission reduction. The applicant may use emission test data to satisfy the durability test data requirement, but must follow the same testing option for the remaining durability tests (see Section 2704).

(A) Engine testing must consist of one cold-start and at least three hot-start tests using the Federal Test Procedure (FTP) Heavy-duty Transient Cycle for engines used in on-road applications, in accordance with the provisions in the Code of Federal Regulations, Title 40, Part 86, Subpart N.

(B) The applicant must conduct all chassis tests in accordance with the provisions of the Code of Federal Regulations, Title 40, Part 86, Subpart N insofar as they pertain to chassis dynamometer testing. Chassis testing must include two separate test cycles as follows:

(i) One cold-start and at least three hot-start tests using the Urban Dynamometer Driving Schedule (UDDS) (see Code of Federal Regulations, Title 40, Part 86, appendix I (d)).

(ii) Three hot-start tests using a low-speed chassis test cycle representing urban stop-and-go traffic operation. The test cycle must include a repetitive series of idling periods immediately followed by events of maximum vehicle acceleration. The applicant can propose, for Executive Officer approval, a low-speed cycle as applicable to the type of vehicle and vehicle operation for which the diesel emission control strategy is intended. The Executive Officer will provide examples (e.g., New York Bus Cycle) of appropriate test cycles upon request by the applicant during the verification process.

(C) For any diesel emission control strategy intended to reduce NOx from on-road applications, the applicant must perform 3 hot-start tests with an additional test cycle that triggers all defeat devices associated with the engine (e.g., lean-on-cruise strategies). The engine or chassis test cycle may be proposed by the applicant and must be approved by the Executive Officer. The Executive Officer will evaluate the proposed test cycle based on the following criteria:

(i) Representativeness of real-life operation, and

(ii) Consistency with established procedures for determining off-cycle emissions.

(2) Off-road Engines and Equipment (including portable engines). For off-road diesel-fueled vehicles and equipment, the applicant must follow the steady-state test cycle outlined in the ARB off-road regulations (California Code of Regulations, Title 13, Section 2423 and the incorporated California Exhaust Emission Standards and Test Procedures for New 2000 and Later Off-Road Compression-Ignition Engines, Part I-B). A minimum of three hot-start tests must be conducted for each appropriate test cycle.

(3) Stationary Engines. For stationary engines, the applicant must use the most appropriate off-road test cycle (as referenced in (2) above) representing the operating conditions of the application, with approval from the Executive officer. A minimum of three hot-start tests must be conducted for each appropriate test cycle.

(f) Alternative Test Cycles and Methods. The applicant may request the Executive Officer to approve an alternative test cycle or method in place of a required test cycle or method. In reviewing this request, the Executive Officer may consider all relevant information including, but not limited to, the following:

(1) Similarity of average speed, percent of time at idle, average acceleration, and other characteristics to the specified test cycle or method and in-use duty cycle,

(2) Body of existing test data generated using the alternative test cycle or method,

(3) Technological necessity, and

(4) Technical ability to conduct the required test.

(g) Test Run. The number of tests indicated in Table 2 must be run for both baseline (without the diesel emission control strategy implemented) and control configurations. For filter-based strategies, engine backpressure and exhaust temperature must be measured and recorded on a second-by-second basis (1 Hertz) during at least one baseline run and each of the control test runs.

(h) Verification of NOx Emission Reductions. The procedure for verifying NOx reductions depends on the magnitude and nature of the claimed reductions as follows:

(1) For NOx reductions of 25 percent or more below the baseline NOx emissions, the testing protocol described in (e) may be used.

(2) For NOx reductions of less than 25 percent below the baseline NOx emissions, additional hot-start test runs are required to attain equivalent confidence in the results.

(A) For NOx reductions equal to or more than 20 percent, but less than 25 percent, each set of three hot-starts in paragraph (e) above must be augmented to five hot-starts

(B) For NOx reductions equal to or more than 15 percent, but less than 20 percent, each set of three hot-starts in paragraph (e) above must be augmented to nine hot-starts.

(i) Emissions During Particulate Filter Regeneration Events. For any diesel emission control strategy that has a distinct regeneration event, emissions that occur during the event must be measured and taken into account when determining the net emission reduction efficiency of the system. If a regeneration event will not occur during emission testing, applicants may pre-load the diesel emission control system with diesel PM to force such an event to occur during testing, subject to the approval of the Executive Officer. Applicants must provide data or engineering analysis indicating when events occur on test cycles and in actual operation (e.g., backpressure data).

(j) Results. For all completed emission tests, the applicant must report emissions of total PM, non-methane hydrocarbons or total hydrocarbons (whichever is used for the relevant engine or vehicle certification), oxides of nitrogen, nitrogen dioxide, carbon monoxide, and carbon dioxide.

(1) For mobile sources, or for engines tested using an engine dynamometer, emissions must be reported in grams/mile (g/mile) or grams/brake horsepower-hour (g/bhp-hr).

(2) For stationary engines, gaseous and particulate matter emissions must be reported as required by the test methods approved by the Executive Officer.

(k) Incomplete and Aborted Tests. The applicant must identify all incomplete and aborted tests and explain why those tests were incomplete or aborted.

(l) Additional Exhaust Analyses. The Executive Officer may require the applicant to perform additional exhaust analyses if there is reason to believe that the use of a diesel emission control strategy may result in the increase of toxic air contaminants, other harmful compounds, or a change in the nature or amount of the emitted particulate matter.

(1) In its determination, the Executive Officer may consider all relevant data, including but not limited to the following:

(A) The addition of any substance to the fuel, intake air, or exhaust stream

(B) Whether a catalytic reaction is known or reasonably suspected to increase toxic air contaminants or ozone precursors

(C) Results from scientific literature

(D) Field experience and

(E) Any additional data.

(2) These additional analyses may include, but are not limited to, measurement of the following:

(A) Benzene

(B) 1,3-butadiene

(C) Formaldehyde

(D) Acetaldehyde
(E) Polycyclic aromatic hydrocarbons (PAH)
(F) Nitro-PAH
(G) Dioxins
(H) Furans

(m) Quality Control of Test Data. The applicant must provide information on the test facility, test procedure, and equipment used in the emission testing. For data gathered using on-road and off-road test cycles and methods, applicants must provide evidence establishing that the test equipment used meets specifications and calibrations given in the Code of Federal Regulations, Title 40, Part 85, subpart N.

(n) The Executive Officer may, with respect to any diesel emission control strategy sold, offered for sale, or manufactured for sale in California, order the applicant or strategy manufacturer to make available for testing and/or inspection a reasonable number of diesel emission control systems, and may direct that they be delivered at the applicant's expense to the state board at the Haagen-Smit Laboratory, 9528 Telstar Avenue, El Monte, California or where specified by the Executive Officer. The Executive Officer may also, with respect to any diesel emission control strategy being sold, offered for sale, or manufactured for sale in California, have an applicant test and/or inspect a reasonable number of units at the applicant or manufacturer's facility or at any test laboratory under the supervision of the Executive Officer.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700; Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2704. Durability Testing Requirements

(a) The applicant must demonstrate, to the satisfaction of the Executive Officer, the durability of the applicant's diesel emission control strategy through an actual field or laboratory-based demonstration combined with chassis or engine dynamometer-based emission tests. If the applicant chooses a laboratory-based durability demonstration, an additional field demonstration will be required to demonstrate in-field compatibility (pursuant to Section 2705). If the applicant has demonstrated the durability of the identical system in a prior verification or has demonstrated durability through field experience, the applicant may request that the Executive Officer accept the previous demonstration in fulfillment of this requirement. In evaluating such a request, the Executive Officer may consider all relevant information including, but not limited to, the similarity of baseline emissions and application duty cycles, the

relationship between the emission control group used in previous testing and the current emission control group, the number of engines tested, evidence of successful operation and user acceptance, and published reports.

(b) Engine Selection. Subject to the approval of the Executive Officer, the applicant may choose the engine and application to be used in the durability demonstration. The engine and application must be representative of the emission control group for which verification is sought. The selected engine need not be the same as the engine used for emission testing, but if the applicant does use the same engine, the emission testing may also be used for the initial durability tests.

(c) Test Fuel.
(1) The test fuel must meet the specifications in the California Code of Regulations (Sections 2280 through 2283 of Title 13), with the exception of the sulfur content or other properties previously identified by the applicant and approved by the Executive Officer.
(2) If operation or performance of a diesel emission control strategy is affected by fuel sulfur content, the sulfur content of the test fuel must be no less than 66 percent of the stated maximum sulfur content for the diesel emission control strategy, unless
(A) the testing is performed with fuel containing 15 ppmw or less sulfur for verification on 15 ppmw or less sulfur diesel fuel, or
(B) the testing is performed with diesel fuel commercially available in California for verification on CARB diesel fuel (i.e., fuel meeting the specifications in Title 13, California Code of Regulations, Sections 2280 through 2283).
(3) Baseline testing may be conducted with commercially available diesel fuel or diesel fuel with 15 ppmw or less sulfur. Baseline and control tests must be performed using the same fuel unless the control fuel is specified as a component of the emission control strategy.
(4) The test fuel (or batch of fuel purchased) must be analyzed using American Society for Testing and Materials (ASTM) test methods listed in Table 6, which are incorporated herein by reference. At a minimum, sulfur content, aromatic content, polycyclic aromatic hydrocarbons, nitrogen content, and cetane number must be reported. The Executive Officer may ask for additional properties to be reported if evidence suggests those properties may affect functioning of the diesel emission control strategy.

(d) Service Accumulation. The durability demonstration consists of extended periods of time in which the diesel emission control strategy is implemented in the field or in a laboratory, with periodic emission reduction testing.
(1) Minimum Durability Demonstration Periods. The minimum durability demonstration periods are shown in Table 3, below. For filter-based strategies, engine backpressure and exhaust temperature must be measured and recorded for 1000 hours or over the entire durability period

(whichever is shorter) with a sampling period not to exceed two minutes (120 seconds). Data must be submitted electronically in columns as a text file or another format approved by the Executive Officer.

Table 3. Minimum Durability Demonstration Periods

Engine Type	Minimum Durability Demonstration Period
On-Road	50,000 miles or 1000 hours
Off-Road (including portable engines) and Stationary	1000 hours
Stationary emergency generator	500 hours

(2) Fuel for Durability Demonstrations. The fuel used during durability demonstrations should be equivalent to the test fuel, or a fuel with properties less favorable to the durability of the emission control strategy. Durability demonstrations may, at the applicant's option and with the Executive Officer's approval, include intentional misfueling events so that data on the effects of misfueling may be determined.

(e) Third-Party Statement for In-field Durability Demonstrations. For in-field durability demonstrations, the applicant must provide a written statement from an Executive Officer approved third party, such as the owner or operator of the vehicle or equipment used, at the end of the durability period. The statement must describe overall performance, maintenance required, problems encountered, and any other relevant comments. The results of a visual inspection conducted by the third party at the end of the demonstration period must also be described. The description should comment on whether the diesel emission control strategy is physically intact, securely mounted, leaking any fluids, and should include any other evaluative observations.

(f) Test Cycle. Testing requirements are summarized in Table 4. Note that the same cycle(s) must be used for both the initial and final tests.

(1) On-Road Applications. The applicant must perform either chassis or engine dynamometer-based testing at the beginning and end of the durability period as specified in Table 4. A minimum of one cold-start and three hot-start tests are required. Chassis testing requires an additional three hot-starts on a second cycle as described in Section

2703(e)(1)(B)(ii). If a field durability demonstration is selected, the applicant must perform chassis dynamometer testing, or request that the Executive Officer consider engine dynamometer testing. In reviewing the request, the Executive Officer may consider all relevant information, including, but not limited to the following:

(A) Similarity of the field vehicle's engine to the laboratory engine, and

(B) Similarity of the diesel emission control system's calibration and set-up when installed on the field vehicle to that when installed on the laboratory engine.

(2) Off-road and Stationary Applications. The applicant must use the same cycle for the emission reduction testing as defined in Section 2703. A minimum of three hot-start tests is required.

(g) Test Run. The requirements for emissions reduction testing are summarized in Table 4, below. The diesel emission control strategy must undergo one set of emission tests at the beginning and end of the durability demonstration period. Baseline testing with test repetitions as indicated in Table 4 must be conducted for either the initial test or the final test, but is suggested for both. If there are substantial test data from previous field studies or field demonstrations, applicants may request that the Executive Officer consider these in place of the initial emission tests. For filter-based strategies, engine backpressure and exhaust temperature must be measured and recorded on a second-by-second basis (1 Hertz) during at least one baseline run and each of the control test runs.

Table 4. Emission Tests Required for Durability Demonstrations

Application	Test Type	Initial Test (0% of durability period) Final Test (100% of durability period)
On-Road	Engine	FTP Heavy-duty Transient Cycle (1 cold and 3 hot-starts)
	Chassis	UDDS (1 cold and 3 hot-starts) and ARB-approved low-speed test cycle (3 hot-starts)
Off-Road and portable engines	Engine	Steady-state test cycle from ARB off-road regulations or an alternative cycle (3 hot-starts)
Stationary	Engine	Steady-state test cycle from ARB off-road regulations or an alternative cycle (3 hot-starts)

(h) Maintenance During Durability Demonstration. Except for emergency engine repair, only scheduled maintenance on the engine and diesel emission control system and re-fill of additives (if any) may be performed during the durability demonstration. If normal maintenance includes replacement of any

component of the diesel emission control system, the time (miles, years, or hours) between component change or refill must be reported with the results of the demonstration.

(i) Performance Requirements. The diesel emission control strategy must meet the following requirements throughout the durability demonstration period:
(1) If the applicant claims a percent emission reduction, the percent emission reduction must meet or exceed the initial verified percent emission reduction level.
(2) If the applicant claims to achieve 0.01 g/bhp-hr, the emission level must not exceed the 0.01 g/bhp-hr emission level.
(3) The diesel emission control system must maintain its physical integrity. Its physical structure and all of its components not specified for regular replacement during the durability demonstration period must remain intact and fully functional.
(4) The diesel emission control strategy must not cause any damage to the engine.
(5) The backpressure caused by the diesel emission control strategy should not exceed the engine manufacturer's specified limits, or must not result in any damage to the engine.
(6) No maintenance of the diesel emission control system beyond that specified in its owner's manual will be allowed without prior Executive Officer approval.

(j) Conditional Verification for Off-road and Stationary Applications. If the Executive Officer determines that the diesel emission control strategy is technologically sound and appropriate for the intended application, he may grant a conditional verification for off-road and stationary applications upon completion of 33 percent of the minimum durability period. In making this determination, the Executive Officer may consider all relevant information including, but not limited to, the following: the design of the diesel emission control system, filter and catalyst substrates used, similarity of the system under consideration to verified systems, the intended application of the diesel emission control system, other relevant testing data, and field experience. Where conditional verification is granted, full verification must be obtained by completing the durability testing and all other remaining requirements. These requirements must be completed within a year after receiving conditional verification if laboratory testing is chosen and within three years if field testing is chosen. For the aforementioned time periods, conditional verification is equivalent to verification for the purposes of satisfying the requirements of in-use emission control regulations.

(k) Failure During the Durability Demonstration Period. If the diesel emission control strategy fails to maintain its initial verified percent emission reduction or emission level for any reason, the Executive Officer may downgrade the strategy to the verification level which corresponds to the lowest degraded

performance observed in the durability demonstration period. If the diesel emission control strategy fails to maintain at least a 25 percent PM reduction or 15 percent NOx reduction at any time during the durability period, the diesel emission control strategy will not be verified. If the diesel emission control strategy fails in the course of the durability demonstration period, the applicant must submit a report explaining the circumstances of the failure within 90 days of the failure. The Executive Officer may then determine whether to deny verification or allow the applicant to correct the failed diesel emission control strategy and either continue the durability demonstration or begin a new durability demonstration.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2705. Field Demonstration Requirements.

(a) The applicant must demonstrate compatibility of its diesel emission control strategy in the field with at least one vehicle or piece of equipment belonging to the initial emission control group for which it seeks verification. Note that if the durability demonstration selected by the applicant is in-field, it may be used to satisfy the field demonstration requirement for that emission control group.

(1) Compatibility is determined by the Executive Officer based on the third-party statement (see part (c) of this section) and any other data submitted including backpressure data. A diesel emission control strategy is compatible with the chosen application if it:

(A) Does not cause damage to the engine or engine malfunction

(B) Does not cause backpressure outside of the engine manufacturer's specified limits or which results in any damage to the engine

(C) Does not hinder or detract from the vehicle or equipment's ability to perform its normal functions

(D) Is physically intact and well mounted with no signs of leakage or other visibly detectable problems

(2) To determine whether additional emission control groups require separate field demonstrations, the Executive Officer may consider all relevant information, including, but not limited to existing field experience and engineering justification and analysis.

(b) Test Period.

(1) For on- and off-road engines, and stationary engines not used in emergency generators, a vehicle or piece of equipment must be operated

with the diesel emission control strategy installed for a minimum period of 200 hours or 10,000 miles, whichever occurs first.

(2) For stationary emergency generators, the emission control system must remain in the field for at least 30 days and operation must include:

(A) 12 maintenance runs (allowing for engine cool down between runs), and

(B) a minimum of two separate 4 hour sessions where the engine is operated under load (allowing engine cool down between runs).

(c) Reporting Requirements.

(1) For filter-based strategies, engine backpressure and exhaust temperature must be measured and recorded over the entire demonstration period with a sampling period not to exceed two minutes (120 seconds). Data must be submitted electronically in columns as a text file or another format approved by the Executive Officer.

(2) The applicant must provide a written statement from a third party approved by the Executive Officer, such as the owner or operator of the vehicle or equipment used in the field demonstration. The written statement must be provided at the end of the test period and must describe the following aspects of the field demonstration: overall performance of the test application and the diesel emission control strategy, maintenance performed, problems encountered, and any other relevant information. The results of a visual inspection conducted by the third party at the end of the demonstration period must also be described. The description should comment on whether the diesel emission control strategy is physically intact, securely mounted, leaking any fluids, and should include any other evaluative observations.

(d) Failure During Field Demonstration. If the diesel emission control strategy fails in the course of the field demonstration, the applicant must submit a report explaining the circumstances of the failure within 90 days of the failure. The Executive Officer may then determine whether to deny verification or allow the applicant to correct the failed diesel emission control strategy and either continue the field demonstration or begin a new field demonstration.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2706. Other Requirements.

(a) Limit and Procedure for Measuring Nitrogen Dioxide (NO_2).

(1) The NO_2 emissions associated with the use of a diesel emission control strategy must not exceed 20 percent of the total baseline NOx emissions on a mass basis.

(2) NO_2 emissions are to be quantified by employing two chemiluminescence analyzers simultaneously fed from a common heated sample path. One instrument shall be set to NOx mode, while the second shall be set to NO mode. The instrument set to NOx mode receives a sample that has passed through an NO_2-to-NO converter, and the resultant concentration is designated as total NOx ($NO+NO_2$) in the sample. The instrument that is set to NO mode receives a sample that has not passed through the converter and quantifies the amount of NO only. The difference between NO and NOx is the amount of NO_2 in the sample. Both analyzer signals are recorded by an external data acquisition system at 1 Hertz. The column data for each analyzer is then adjusted for time delays that are inherent in both instruments and the sample path. Once the data file is correctly aligned, a subtraction of NO from NOx is performed on a second by second basis. The result of this subtraction is then integrated over the entire test run. The result of this integration is the amount of NO_2 over the entire test cycle in PPM. The equation for calculating total NOx (Code of Federal Regulations, Title 40, part 86, Subpart N) is then used to generate a gram per mile or g/bhp-hr NO_2 value.

(b) Limits on Other Pollutants. In order to be verified, a diesel emission control strategy must not increase the emissions of criteria pollutants (i.e., NMHC, CO, and NOx) greater than ten percent from the baseline level.

(c) Fuel Additives. Diesel emission control strategies that use fuel additives must meet the following additional requirements for verification. Fuel additives must be used in combination with a diesel particulate filter unless they can be proven to the satisfaction of the Executive Officer to be safe for use alone. In addition, the applicant must meet the following requirements:

(1) The applicant must submit the exact chemical formulation of the fuel additive,

(2) Diesel emission control systems employing the dosing of an additive in conjunction with a diesel particulate filter must include an on-board monitor of the additive level in the reservoir, integrated with the diesel particulate filter. The on-board monitor for fuel additive must include indicators to notify the operator when the additive level becomes low and when the additive tank is empty. In addition, the on-board monitor must be capable of shutting off additive, if there is a detected diesel particulate filter problem,

(3) The applicant must submit to the Executive Officer environmental, toxicological, epidemiological, and other health-related data pertaining to

the fuel additive every two years. The Executive Officer will review the data, including any new information, and may revoke the verification if the data indicate that the fuel additives cause, or are linked, to negative environmental, or health consequences.

(4) The applicant must conduct additional emission tests of fuel additives that contain metals.

(A) Except as provided (B) below, the additional emission tests must follow the same test procedures, test cycles, and number of test runs as indicated in Section 2703, except that the concentration of metal must be at least 50 ppm or 10 times higher than that specified for normal use, whichever is highest. In all other respects, the metal in the high concentration test solutions must be identical to that in the fuel additive submitted for verification.

(B) The applicant may petition to use a concentration of metal less than 50 ppm, if the higher dose would result in catastrophic damage to the engine. The applicant must supply information on the failure modes, and the level of additive that would trigger failure. The applicant must also supply information and data supporting the highest feasible dose for testing. An increase in emissions is not by itself sufficient to justify a dose lower than 50 ppm and must be correlated to potential engine damage. After reviewing this information and any other relevant information, the Executive Officer shall determine if testing at a lower level could be accepted, or if testing must be conducted at 50 ppm or ten times the specified dose rate as required in (A).

(d) Engine Backpressure and Monitoring. During the emission and durability testing, the applicant must demonstrate that the backpressure caused by its diesel emission control system is within the engine manufacturer's specified limits, or will not result in any damage to the engine. Furthermore,

(1) If operation of the engine with the diesel emission control system installed will result in a gradual build-up of backpressure exceeding the engine's specified limits over time (such as due to the accumulation of ash), information describing how the backpressure will be reduced must be included.

(2) All filter-based diesel emission control systems must be installed with a backpressure monitor to notify the operator when the high backpressure limit, as specified by the engine manufacturer or included in the verification, is approached. The applicant must identify the high backpressure limits of the system in its application for verification.

(3) The Executive Officer reserves the right to require monitors that identify low backpressure limits in those cases where failures leading to low backpressure are unlikely to be detected, or have the potential to cause environmental damage beyond that caused by the engine prior to being equipped with the emission control strategy (e.g., systems that introduce additives into the fuel).

(e) Fuel and Oil Requirements. The applicant must specify the fuel and lubricating oil requirements necessary for proper functioning of the diesel emission control system. The applicant must also specify any consequences that will be caused by failure to comply with these requirements, as well as methods for reversing any negative consequences.

(f) Maintenance Requirements. The applicant must identify all normal maintenance requirements for the diesel emission control system. The applicant must specify the recommended intervals for cleaning and/or replacing components. Any components to be replaced within the defects warranty period must be covered with the original diesel emission control system package or provided free of charge to the customer at the appropriate maintenance intervals. Any normal maintenance items that the applicant does not intend to provide free of charge must be approved by the Executive Officer. In addition, the applicant must specify procedures for proper handling of spent components and/or materials cleaned from the diesel emission control system. If any such materials are hazardous, the applicant must identify them as such in the owner's manual. For filter-based diesel emission control strategies, the applicant must include procedures for resetting any backpressure monitors after maintenance procedures are completed.

(g) System Labeling.

(1) The applicant must affix a legible and durable label on both the diesel emission control system and the engine on which the diesel emission control system is installed. This label must identify the name, address, and phone number of the manufacturer, the diesel emission control strategy family name (defined in (2) below), a unique serial number, and the month and year of manufacture. A scale drawing of a sample label must be submitted with the verification application. The label information must be in the following format:

Name, Address, and Phone Number of Manufacturer
Diesel Emission Control Strategy Family Name
Product Serial Number
ZZ-ZZ (Month and Year of manufacture, e.g., 06-02)

(2) Diesel Emission Control Strategy Family Name. Each diesel emission control strategy shall be assigned a family name defined as below:

CA/MMM/YYYY/PM#/N##/APP/XXXXX

CA:	Designates a diesel emission control strategy verified in California
MMM:	Manufacturer code (assigned by ARB)
YYYY:	Year of manufacture
PM#:	PM verification level 1, 2, or 3 (e.g., PM3 means a level 3 PM emission control system).
N##:	NOx verified reduction level in percent, if any (e.g., N25 means NOx reduction of 25 percent).
APP:	ON: On-road OF: Off-road ST: Stationary
XXXXX:	Five alphanumeric character code issued by the ARB

(h) Additional Information. The Executive Officer may require the applicant to provide additional information about the diesel emission control strategy or its implementation when such information is needed to assess environmental impacts associated with its use.

(i) Owner's Manual. The applicant must provide a copy of the diesel emission control system owner's manual, which must clearly specify at least the following information:

(1) Warranty statement including the warranty period over which the applicant is liable for any defects.
(2) Installation and maintenance requirements for the diesel emission control system.
(3) Possible backpressure range imposed on the engine.
(4) Fuel consumption penalty, if any.
(5) Fuel sulfur limit, if any.
(6) Handling and supply of additives, if any.
(7) Instructions for reading and resetting the backpressure monitor.
(8) Requirements for lubrication oil quality and maximum lubrication oil consumption rate.
(9) Contact information for replacement components and cleaning agents.
(10) Contact information to assist an end-user to determine proper ways to dispose of waste generated by the diesel emission control strategy (e.g., ash accumulated in filter-based systems). At a minimum, the owner's manual should indicate that disposal must be in accordance with all applicable Federal, State and local laws governing waste disposal.

(j) Noise Level Control. Any diesel emission control system that replaces a muffler must continue to provide at a minimum the same level of exhaust noise attenuation as the muffler with which the vehicle was originally equipped by the applicant. Applicants must ensure that the diesel emission control system

complies with all applicable noise limits contained in Part 205, Title 40, Code of Federal Regulations and California Vehicle Code, Sections 27150, 27151 and 27200 through 27207, for the gross vehicle weight rating and year of manufacture of the vehicle for which the diesel emission control strategy is intended. Applicants must maintain a list of the types of vehicles (make, model, engine, gross vehicle weight rating, and year of manufacture) for which the diesel emission control strategy complies with all applicable noise limits contained in Part 205, Title 40, Code of Federal Regulations and California Vehicle Code Sections 27150, 27151 and 27200 through 27207. Diesel emission control systems may not be installed on vehicles not on that list.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2707. Warranty Requirements.

(a) Warranty. The applicant shall warrant to the ultimate purchaser and to each subsequent purchaser that its verified diesel emission control strategy is free from defects in design, materials, workmanship or operation which cause the diesel emission control strategy to fail to conform to the emission control performance level it was verified to, or to the other requirements of Sections 2700-2706, for the minimum periods shown in Table 5, below. For each engine type and size listed in Table 5, below, the minimum defects warranty period is terminated by that listed event which occurs first. The warranty shall cover the full replacement cost of the diesel emission control strategy, including parts and labor. The warranty shall also cover the full repair or replacement cost, including parts and labor, for damage to the engine or other vehicle components proximately caused by the verified diesel emission control strategy. Repair or replacement of any warranted part, including the engine and other parts, shall be performed at no charge to the vehicle or engine owner. This includes diagnostic expenses. The repair or replacement of any warranted part otherwise eligible for warranty coverage, shall be excluded from such warranty coverage if the applicant demonstrates that the diesel emission control strategy, vehicle or engine has been abused, neglected, or improperly maintained, and that such abuse, neglect, or improper maintenance was the direct cause of the need for the repair or replacement of the part. Failure of the vehicle or engine owner to ensure scheduled maintenance or to keep maintenance records shall not, per se, be grounds for disallowing a warranty claim.

Table 5. Minimum Warranty Periods

Engine Type	Engine Size	Minimum Warranty Period
On-Road	Light heavy-duty, 70 to 170 hp, Gross Vehicle Weight Rating (GVWR) less than 19,500 lbs.	5 years or 60,000 miles
	Medium heavy-duty, 170 to 250 hp, GVWR from 19,500 lbs. to 33,000 lbs.	5 years or 100,000 miles
	Heavy heavy-duty, exceeds 250 hp, GVWR exceeds 33,000 lbs.	5 years or 150,000 miles
Off-Road (includes portable engines) and Stationary	Under 25 hp, and for constant speed engines rated under 50 hp with rated speeds greater than or equal to 3,000 rpm	3 years or 1,600 hours
	At or above 25 hp and under 50 hp	4 years or 2,600 hours
	At or above 50 hp	5 years or 4,200 hours

(b) Diesel Emission Control Strategy Warranty Statement. The applicant must furnish a copy of the following statement in the owner's manual.

YOUR WARRANTY RIGHTS AND OBLIGATIONS

(Applicant's name) must warrant the diesel emission control system in the application for which it is sold for the periods of time listed below, provided there has been no abuse, neglect, or improper maintenance of your vehicle or equipment. This warranty also covers other vehicle parts from damaged caused by the diesel emission control system, subject to the same exclusions for abuse, neglect or improper maintenance of your vehicle or equipment. Your diesel emission control system may include a core part (e.g., particulate filter, diesel oxidation catalyst, selective catalytic reduction converter) as well as hoses, connectors, a back pressure monitor (if applicable), and other emission-related assemblies. Where a warrantable condition exists, (applicant's name) will repair or replace your diesel emission control system at no cost to you including diagnosis, parts, and labor.

APPLICANT'S WARRANTY COVERAGE:

For a (engine size) engine used in a(n) (type of application) application, the warranty period will be (time or mileage) whichever occurs first.

(1) If your (vehicle, engine, equipment) fails the in-use compliance test within the warranty period, all necessary repairs or part replacements will be made by (applicant's name) to ensure your PERFORMANCE WARRANTY.

(2) If any emission-related part of your diesel emission control system is defective in any way, the part will be repaired or replaced by (applicant's name) to ensure your DEFECT WARRANTY.

OWNER'S WARRANTY RESPONSIBILITY

As the (vehicle, engine, equipment) owner, you are responsible for performing the required maintenance described in your owner's manual. (Applicant's name) recommends that you retain all receipts for diesel emission control system maintenance expenses, but (applicant's name) cannot deny warranty solely because you do not keep your receipts or fail to perform all scheduled maintenance. You are responsible for presenting your diesel emission control system to a (applicant's name) dealer as soon as a problem is detected. The warranty repair or replacement should be completed in a reasonable amount of time, not to exceed 30 days.

If you have questions regarding your warranty rights and responsibilities, you should contact (Insert chosen applicant's contact) at 1-800-xxx-xxxx or the California Air Resources Board at 9528 Telstar Avenue, El Monte, CA 91731, or (800) 363-7664, or electronic mail: helpline@arb.ca.gov.

(c) Diesel Emission Control Strategy Warranty Report. The applicant must submit a warranty report to the Executive Officer by February 1 of each calendar year which includes the following information:

(1) Annual and cumulative sales of diesel emission control systems (California only).

(2) Annual and cumulative production of diesel emission control systems (California only).

(3) Annual summary of warranty claims. The summary must include:

(A) A description of the nature of the claims and of the warranty replacements or repairs. The applicant must categorize warranty claims for each diesel emission control strategy family by the component(s) replaced or repaired.

(B) The number and percentage of diesel emission control systems of each model for which a warranty replacement or repair was identified.

(C) A short description of the diesel emission control system component that was replaced or repaired under warranty and the most likely reason for its failure.

(4) Date the warranty claims were filed and the engine family and application the diesel emission control systems were used with.

(5) Delineate the reason(s) for any instances in which warranty service is not provided to end-users that file warranty claims.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2708. Determination of Emissions Reduction.

(a) Calculation of Emissions Reduction. The emissions reduction verified for a diesel emission control strategy is based on the average of all valid test results before (baseline) and after (control) implementation of the diesel emission control strategy. Test results from both emission testing and durability testing are to be used.

(1) Percentage Reduction. The percentage reduction for a given pair of baseline and control test sets (where a "set" consists of all test cycle repetitions, e.g., the test set of 1 cold and 3 hot-start UDDS tests) is the difference between the average baseline and average control emissions divided by the average baseline emissions, multiplied by 100 percent. The average of all such reductions, as shown in the equation below, is used in the verification of a diesel emission control strategy.

$$\text{Percentage Reduction} = 100\% \times \frac{\Sigma\,[(\text{baseline}_{AVG} - \text{control}_{AVG})/\text{baseline}_{AVG}]}{\text{Number of control test sets}}$$

Where:

Σ = sum over all control test sets

baseline_{AVG} or control_{AVG} = average of emissions from all baseline or control test repetitions within a given set

For any test set involving cold and hot starts, the time weighted emission result is to be calculated by weighting the cold-start emissions by one-seventh (1/7) and the hot-start emissions by six-sevenths (6/7) as shown below. If the applicant chooses not to do the final durability baseline test, it must use the initial durability baseline test results to calculate reductions for both the initial control and final control tests.

Weighted Emission Result = 1/7* average cold-start emissions + 6/7* average hot-start emissions

(2) The absolute emission level is the average control emission level, as defined in the following equation:

$$\text{Absolute Emission Level} = \frac{\Sigma\,(\text{control}_{AVG})}{\text{Number of control test sets}}$$

(b) Categorization of the Diesel Emission Control Strategy. ARB categorizes diesel emission control strategies to reduce PM and NOx emissions based on their verified emission reductions. Diesel emission control strategies that reduce NOx will be assigned their verified emission reduction in five percent

increments. Diesel emission control strategies are categorized by their PM reductions as follows:

(1) Level one: the system has been demonstrated under these procedures to reduce PM emissions by at least 25 percent but less than 50 percent from the baseline emission level.

(2) Level two: the system has been demonstrated under these procedures to reduce PM emissions by at least 50 percent but less than 85 percent from the baseline emission level.

(3) Level three: the system has been demonstrated under these procedures to reduce PM emissions by at least 85 percent from the baseline emission level, or to achieve PM emission levels of 0.01 grams per brake-horsepower-hour (g/bhp-hr) or less.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2709. In-Use Compliance Requirements

(a) Applicability. These in-use compliance requirements apply to all diesel emission control strategies for on-road, off-road, and stationary applications. It is the responsibility of the applicant to perform in-use compliance testing for each verified diesel emission control strategy family (see Section 2706(g)(2)). Testing is required when 50 units within a given diesel emission control strategy family have been sold in the California market. Applicants must submit an in-use compliance testing proposal for approval by the Executive Officer prior to the in-use compliance testing.

(b) Test Phases. In-use compliance testing, as described below in (c), (d), and (e), must be conducted at two different phases for each diesel emission control strategy family:

(1) Phase 1. Applicants must obtain and test diesel emission control systems once they have been operated for at least one year or within three months of their first maintenance, whichever comes first.

(2) Phase 2. Applicants must obtain and test diesel emission control systems once they have been operated between 60 and 80 percent of their minimum warranty period.

(c) Selection of Diesel Emission Control Systems for Testing. For each diesel emission control strategy family and for both test phases, the Executive Officer will identify a representative sample of engines or vehicles equipped with diesel emission control systems for in-use compliance testing. The engines or vehicles equipped with the selected diesel emission control

systems must have good maintenance records and may receive a tune-up or normal maintenance prior to testing. The applicant must obtain information from the end users regarding the accumulated mileage or hours of usage, maintenance records (to the extent practicable), operating conditions and a description of any unscheduled maintenance that may affect the emission results.

(d) Number of Diesel Emission Control Systems to be Tested. The number of diesel emission control systems an applicant must test in each of the two test phases will be determined as follows:

(1) A minimum of four diesel emission control systems in each diesel emission control strategy family must be tested. For every system tested that does not reduce emissions by at least 90 percent of the lower bound of its initial verification level (or does not achieve an emission level less than or equal to 0.011 g/bhp-hr), two more diesel emission control systems from the same family must be obtained and tested. The total number of systems tested shall not exceed ten per diesel emission control strategy family.

(2) At the discretion of the Executive Officer, applicants may begin by testing more than the minimum of four diesel emission control systems. Applicants may concede failure of an emission control system before testing a total of ten diesel emission control systems.

(e) In-use Compliance Emission Testing. Applicants must follow the testing procedure used for emission reduction verification as described in Section 2703 (both baseline and control tests are required). In addition, applicants must select the same test cycle(s) that they used to verify the diesel emission control strategy originally. If a diesel emission control strategy verified by U.S. EPA must perform engine dynamometer testing with the Heavy-duty Transient FTP cycle to fulfill the in-use compliance requirements of that program, but was verified by ARB with chassis dynamometer testing, the Executive Officer will also accept testing with the Heavy-duty Transient FTP cycle for the in-use compliance requirements of this Procedure. If a diesel emission control strategy fails catastrophically during the in-use compliance testing, the applicant must provide an investigative report detailing the causes of the failure to the Executive Officer within 90 days of the failure.

(f) The Executive Officer may approve an alternative to the in-use testing described above, on a case by case basis, if such testing is overly burdensome to either the applicant or to the end-users due to the nature of the industry the particular diesel emission control systems are used in. The proposed alternative must use scientifically-sound methodology and be designed to determine whether the diesel emission control strategy is in compliance with the emission reductions the Executive Officer verified it to.

(g) The Executive Officer may, with respect to any diesel emission control strategy sold, offered for sale, or manufactured for sale in California, order the applicant or strategy manufacturer to make available for compliance testing and/or inspection a reasonable number of diesel emission control systems, and may direct that they be delivered at the applicant's expense to the state board at the Haagen-Smit Laboratory, 9528 Telstar Avenue, El Monte, California or where specified by the Executive Officer. The Executive Officer may also, with respect to any diesel emission control strategy being sold, offered for sale, or manufactured for sale in California, have an applicant compliance test and/or inspect a reasonable number of units at the applicant or manufacturer's facility or at any test laboratory under the supervision of an ARB Enforcement Officer.

(h) In-Use Compliance Report. The applicant must submit an in-use compliance report to the Executive Officer within three months of completing both phases of testing. The following information must be reported for each of the minimum of eight diesel emission control systems tested:
(1) Parties involved in conducting the in-use compliance tests.
(2) Quality control and quality assurance information for the test equipment.
(3) Diesel emission control strategy family name and manufacture date.
(4) Vehicle or equipment and type of engine (engine family name, make, model year, model, displacement, etc.) the diesel emission control system was applied to.
(5) Estimated mileage or hours the diesel emission control system was in use.
(6) Results of all emission testing.
(7) Summary of all maintenance, adjustments, modifications, and repairs performed on the diesel emission control system.

(i) The Executive Officer may request the applicant to perform additional in-use testing if the warranty claims exceed two percent of the number of diesel engines using the diesel emission control strategy, or based on other relevant information.

(j) Conditions for Passing In-Use Compliance Testing. For a diesel emission control strategy to pass in-use compliance testing, emission test results must indicate that the strategy reduced emissions by at least 90 percent of the lower bound of the emission reduction level the Executive Officer originally verified it to. If the first four diesel emission control systems tested within a diesel emission control strategy family meet this standard, the diesel emission control strategy passes in-use compliance testing. If any of the first four diesel emission control systems tested within a diesel emission control strategy family fail to reduce emissions by at least 90 percent of the lower bound of the emission reduction level the Executive Officer originally verified it to, and more than four units are tested, at least 70 percent of all units tested must pass the 90 percent standard for the diesel emission control strategy family to pass in-use compliance testing. For each failed test, for which the

cause of failure can be attributed to the product and not to maintenance or other engine-related problems, two additional units must be tested, up to a total of ten units per diesel emission control strategy family.

(k) Failure of In-use Compliance Testing. If a diesel emission control strategy family does not meet the minimum requirements for compliance, the applicant must submit a remedial report within 90 days after the in-use compliance report is submitted. The remedial report must include:
(1) Summary of the in-use compliance report.
(2) Detailed analysis of the failed diesel emission control systems and possible reasons for failure.
(3) Remedial measures to correct or replace failed diesel emission control systems as well as the rest of the in-use diesel emission control systems.

(l) The Executive Officer may evaluate the remedial report, annual warranty report, and all other relevant information to determine if the diesel emission control strategy family passes in-use compliance testing. The Executive Officer may request more information from the applicant. Based on this review, the Executive Officer may lower the verification level or revoke the verification status of a verified diesel emission control strategy family. The Executive Officer may also lower the verification level or revoke the verification status of a verified diesel emission control strategy family, if the applicant does not conduct in-use compliance testing in accordance with this section, or if the Executive Officer conducts in-use compliance testing in accordance with this section (including alternative testing) and the diesel emission control strategy family does not pass the standards in this section.

(m) The Executive Officer may lower the verification level or revoke the verification status of a verified diesel emission control strategy family if the applicant fails to observe the requirements of Sections 2706 or 2707. The Executive Officer must allow the applicant an opportunity to address the possible lowering or revocation of the verification level in a remedial report to the Executive Officer and the Executive Officer may make this determination based on all relevant information.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

§ 2710. Verification of Emission Reductions for Alternative Diesel Fuels

(a) Applicability. This section applies to in-use strategies that include emission reductions from the use of alternative diesel fuels. For the purpose of this

procedure, alternative diesel fuels mean fuels that are used in diesel engines that are not reformulated diesel fuels as defined in Sections 2281 and 2282 of Title 13, of the California Code of Regulations and do not require engine or fuel system modifications to operate, although minor modifications (e.g. recalibration of the engine fuel control) may enhance performance. The requirements in this section are in addition to those in Sections 2700-2709, except as specifically noted.

(b) Alternative Diesel Fuel Proposed Test Protocol. The applicant must submit a proposed test protocol which includes:
- (1) References to criteria pollutant and toxic emissions sampling and analyses that are consistent with the requirements of the Procedure.
- (2) Description and Parameters of Alternative Diesel Fuels.
  - (A) The applicant must describe the applicability of the alternative diesel fuel to diesel engines and identify any requirements for engine or fuel system modifications.
  - (B) The applicant must provide a general description of the alternative diesel fuel that includes the fuel type, fuel characteristics, fuel properties, fuel formulation, and chemical composition. The applicant for the candidate alternative diesel fuel must specify the following:
    - (i) Identity, chemical composition, and concentration of fuel additives
    - (ii) Sulfur content
    - (iii) Total aromatic content
    - (iv) Total polycyclic aromatic hydrocarbon content
    - (v) Nitrogen content
    - (vi) API gravity (density)
    - (vii) Distillation temperature distribution information, initial boiling point (IBP),
    - (viii) 10% recovered (REC), 5O% REC, 90% REC, and end point (EP)
  - (C) The applicant must provide information on the candidate alternative diesel fuel that may affect engine performance, engine wear, and safety. The applicant for the candidate alternative diesel fuel must specify the following:
    - (i) Viscosity (engine performance)
    - (ii) Fuel volatility (engine performance)
    - (iii) Ignition quality (engine performance)
    - (iv) Fuel operating temperatures (engine performance)
    - (v) Engine wear tendencies (engine wear)
    - (vi) Corrosion (engine wear)
    - (vii) Lubricity (engine wear)
    - (viii) Fuel flash point (safety)
  - (D) The applicant must provide information on the candidate alternative diesel fuel to determine if there are chemicals in the fuel that may increase levels of toxic compounds or potentially form toxic compounds in the fuel. The applicant will conduct an analysis for metals and elements by a method specified by the applicant. Copper,

iron, cerium, lead, cadmium, chromium, and phosphorus must be included in the analysis. Additional analysis for other toxic compounds may be required after reviewing the chemical composition of the candidate alternative diesel fuel and its additives. (Note: For emulsified diesel fuels, a toxic analysis of the diesel base fuel is not necessary).

(E) With the approval of the Executive Officer or designee, an applicant may also specify different fuel parameters and test methods that are appropriate to better characterize the candidate alternative diesel fuel.

(F) Upon review of the proposed test protocol, the executive officer or designee may require additional fuel components, parameters, and specifications to be determined.

(3) Reference Fuel Specifications. The reference fuel used in the comparative testing described in Section 2710(d) allows the applicant three options in selecting a reference fuel.

(A) Option (1). The first option is to use a California produced 10% reference fuel. The reference fuel must be produced from straight-run California diesel fuel by a hydrodearomatization process and must have the characteristics set forth below under "Reference Fuel Specifications" (the listed ASTM methods are incorporated herein by reference).

(B) Option (2). The second option is to make the reference fuel from a custom blend using a "like" California diesel fuel made from a straight-run California diesel fuel by a hydroaromatization process and must have the characteristics set forth below under "Reference fuel Specifications. In addition the reference fuel must exhibit the bell shaped distillation curve characteristic of diesel fuel and no chemical feedstocks or pure chemicals such as solvents can be used as blend stocks. Details of the source and specifications of the feedstocks must be provided in the protocol and the processes and diesel feedstocks used to make the reference fuel must be reviewed and approved by the ARB.

(C) Option (3). For alternative diesel fuels that contain diesel as a base fuel such as emulsified diesel fuel and 80:20 biodiesel fuel, the base diesel fuel used to make the alternative diesel fuel can be used in place of the 10 percent reference fuel. The base diesel fuel must be a certified, commercially available diesel fuel sold in California. The sulfur content, aromatic hydrocarbon content, polycyclic aromatic hydrocarbon content, nitrogen content, natural cetane number, API gravity, viscosity, and distillation specifications must be provided for the base diesel fuel used for the reference fuel.

Table 6. Reference Fuel Specifications

Property	General Reference Fuel Specifications	ASTM Test Method
Sulfur Content	500 ppm max	D5453-93
Aromatic Hydrocarbon content, Vol. %	10% max	D5186-96
Polycyclic Aromatic Hydrocarbon content %	1.4% max	D5186-96
Nitrogen Content	10 ppm max	D4629-96
Natural Cetane Number	48 min	D613-84
Gravity, API	33-39	D287-82
Viscosity at 40°, cSt	2.0-4.1	D445-83
Flash point, °F	130	D93-80
Distillation, °F		D86-96
IBP	340-420	
10%REC	400-490	
50%REC	470-560	
90%REC	550-610	
EP	580-660	

(4) The identity of the entity proposed to conduct the tests described in Section 2710(d);
(5) Reasonably adequate quality assurance and quality control procedures;
(6) Notification of any outlier identification and exclusion procedure that will be used, and
(7) A demonstration that any procedure meets generally accepted statistical principles.

(c) Application for Alternative Diesel Fuel Emission Reduction Verification. Upon completion of the tests, the applicant may submit an application for verification to the executive officer or designee. The application must follow the format in Section 2702(d) as applicable and include:
(1) The approved test protocol,
(2) All of the test data,
(3) Copy of the complete test log prepared in accordance with Section 2710(d)(3)(B),
(4) A demonstration that the candidate alternative diesel fuel meets the requirements for verification set forth in this section, and
(5) Such other information as the executive officer or designee may reasonably require.

(d) Emissions Test Procedures for Particulates, Nitrogen Oxides, Soluble Organic Fraction, Hydrocarbons, and Toxics.
(1) Criteria pollutants test requirements. In each test of a fuel, exhaust emissions of NO_x, PM, and hydrocarbons must be measured. In addition,

for each test the soluble organic fraction (SOF) of the particulate matter in the exhaust emissions must be determined in accordance with the Air Resources Board's "Test Method for Soluble Organic Fraction (SOF) Extraction " dated April 1989, which is incorporated herein by reference.

(2) Toxic emissions sampling and analysis requirements. Exhaust emissions of formaldehyde, acetaldehyde, benzene, toluene, ethyl benzene, xylenes, butadiene, and polycyclic aromatic hydrocarbons are to be sampled and analyzed as specified in Table 7.

Table 7. Toxics sampling and analysis [1,2]

Toxics	Method
Formaldehyde and acetaldehyde	ARB SOP 104
Benzene toluene, ethyl benzene, xylenes, and butadiene	ARB SOP 102/103
Polycyclic aromatic hydrocarbons	ARB method 429[3]

[1]Additional toxics sampling may be required depending on the chemical composition of the additives in the fuel.
[2]At a minimum tunnel blanks are required prior to and after conducting toxic emissions sampling for the reference fuel and candidate alternative diesel fuel.
[3]PAH sampling consists of a filter to collect particulate PAHs and XAD resin to collect volatile PAHs. The sampling protocol needs to be included in the test protocol. Analysis of the samples will be performed by ARB method 429.

(3) Test sequence for emissions test program.

(A) The applicant must use one of the following test sequences:

(i) If both cold start and hot start exhaust emission tests are conducted, a minimum of five exhaust emission tests must be performed on the engine with each fuel, using either of the following sequences, where "R" is the reference fuel and "C" is the candidate alternative diesel fuel: RC CR RC CR RC (and continuing in the same order). The engine mapping procedures and a conditioning transient cycle must be conducted with the reference fuel before each cold start procedure using the reference fuel. The reference cycle used for the candidate alternative diesel fuel must be the same as determined for the reference fuel.

(ii) If only hot start exhaust emission tests are conducted, one of the following test sequences must be used throughout the testing, where "R" is the reference fuel and "C" is the candidate alternative diesel fuel:

Alternative 1: RC CR RC CR (continuing in the same order for a given calendar day; a minimum of twenty individual exhaust emission tests must be completed with each fuel)

Alternative 2: RR CC RR CC (continuing in the same order for a given calendar day; a minimum of twenty individual exhaust emission tests must be completed with each fuel)

Alternative 3: RRR CCC RRR CCC (continuing in the same order for a given calendar day: a minimum of twenty-one individual exhaust emission tests must be completed with each fuel)

For all alternatives, an equal number of tests must be conducted using the reference fuel and the candidate alternative diesel fuel on any given calendar day. At the beginning of each calendar day, the sequence of testing must begin with the fuel that was tested at the end of the preceding day. The engine mapping procedures and a conditioning transient cycle must be conducted at the beginning of each day for the reference fuel. The reference cycle used for the candidate alternative diesel fuel must be the same as determined for the reference fuel.

(B) The applicant must submit a test schedule to the executive officer or designee at least one week prior to commencement of the tests. The test schedule must identify the days on which the tests will be conducted, and must provide for conducting test consecutively without substantial interruptions other than those resulting from the normal hours of operations at the test facility. The executive officer or designee should be permitted to observe any tests. The party conducting the tests must maintain a test log which identifies all tests conducted, all engine mapping procedures, all physical modifications to or operational tests of the engine, all recalibrations or other changes to the test instruments, and all interruptions between tests, and the reason for each interruption. The party conducting the tests or the applicant must notify the executive officer or designee by telephone and in writing of any unscheduled interruption resulting in a test delay of 48 hours or more, and the reason for such delay. Prior to restarting the test, the applicant or person conducting the tests must provide the executive officer or designee with a revised schedule for the remaining tests. All tests conducted in accordance with the test schedule, other than any test rejected in accordance with an outlier identification and exclusion procedure included in the approved test protocol, must be included in the comparison of emissions.

(C) Upon approval of the executive officer or designee, the applicant may specify an alternative test sequence to Section 2710(d)(3)(A). The applicant must provide the rationale demonstrating that the alternative test sequence better characterizes the average emissions difference between the reference fuel and the alternative diesel fuel.

(e) Durability.
(1) The applicant must meet the durability testing requirements in Section 2704.
(2) The applicant must provide test data showing that the candidate alternative diesel fuel does not adversely affect the performance and operation of diesel engines or cause premature wear or cause damage to diesel engines. This must include but is not limited to lubricity, corrosion, and damage to engine parts such as fuel injector tips. The applicant must provide data showing under what temperature and conditions the candidate alternative diesel fuel remains stable and usable in California.

(f) Other Requirements. The candidate fuel must be in compliance with applicable federal, state, and local government requirements.
(1) The candidate fuel must be in compliance with applicable federal, state, and local government requirements.
(2) Applicants planning to market fuel in California must contact the US EPA and the California Dept. of Food and Agriculture. Contacts are listed below.

Office of Transportation and Air Quality
USEPA Head Quarters
Ariel Rios Blvd.
1200 Pennsylvania Ave, N.W.
Washington DC 20468
Phone (202) 564-9303

Petroleum Products/Weighmaster Enforcement Branch
Division of Measurement Standards
Dept. of Food and Agriculture
8500 Fruitridge Road, Sacramento CA 95826
Phone (916) 229-3000

(3) Additional government agencies such as the California Energy Commission, Area Council Governments, and Local Air Quality Management Districts may be contacted to facilitate the marketing of alternative diesel fuel in California.

NOTE: Authority cited: Sections 39002, 39003, 39500, 39600, 39601, 39650-39675, 40000, 43000, 43000.5, 43011, 43013, 43018 and 43105, 43600, 43700, Health and Safety Code. Reference: Sections 39650-39675, 43000, 43009.5, 43013, 43018, 43101, 43104, 43105, 43106, 43107, and 43204-43205.5 Health and Safety Code; Title 17 California Code of Regulations Section 93000.

Appendix B. Diesel Engine Emission Control Technologies

A variety of strategies exist for controlling emissions from diesel engines. In developing the Procedure, staff has striven to acknowledge the range of control strategies, and intends for the Procedure to be flexible enough to accommodate all such strategies. The following discussion briefly reviews the more prominent diesel emission control strategies thus far identified and, where appropriate, indicates how the Procedure addresses them.

B.1 Diesel Oxidation Catalyst

A diesel oxidation catalyst (DOC) converts pollutants into harmless gases by means of oxidation. In addition to oxidizing compounds such as carbon monoxide (CO) and gaseous hydrocarbons (HC), oxidation catalysts can reduce the mass of the liquid-phase HCs (unburned fuel and oil) by 90 percent under certain operating conditions. The liquid HCs, or soluble organic fraction (SOF), contribute up to 30 percent of the total PM mass.

There are some potential adverse environmental impacts of DOCs. First, as is the case with most processes that incorporate catalytic oxidation, the formation of sulfates increases at higher temperatures. Depending on the exhaust temperature and sulfur content of the fuel, the increase in sulfate particles may offset the reductions in SOF emissions. Using low sulfur (15 parts per million) diesel fuel can minimize this effect.

Additionally, DOCs and other strategies that involve catalytic action (e.g., passive diesel particulate filters -- see below) can increase the proportion of NO_2 relative to NO, even though total NOx emissions do not increase. As described in the body of the report, there are concerns with an increase in NO_2, and the proposal includes a limit on NO_2 emissions.

Generally speaking, catalysis can potentially generate other harmful chemical species besides sulfates and NO_2. It was found in a Southwest Research Institute study, for instance, that a DOC significantly increased the nitro-polyaromatic hydrocarbons (nPAH) in diesel exhaust (Pan, 2000). A study by the New York State Department of Environmental Conservation indicates, however, that passive catalyzed DPFs can effectively reduce nPAH emissions (Lanni, 2001). The procedure recognizes the general problem of secondary emissions by allowing for ARB to request additional exhaust analysis beyond criteria pollutant and PM emission measurements, should there be reason for concern.

B.2 Diesel Particulate Filters

In general, a diesel particulate filter (DPF) consists of a porous substrate that permits gases in the exhaust to pass through but traps the PM. DPFs are very efficient in reducing PM emissions; they can typically achieve PM reductions in excess of 90

percent. Most DPFs employ some means to periodically regenerate the filter (i.e., burn off the accumulated PM). These can be divided into two types of systems, passive and active.

B.2.1 Passive Diesel Particulate Filters

A passive DPF is one in which a catalytic material, typically a platinum group metal, is applied to the substrate. The catalyst lowers the temperature at which trapped PM will oxidize to temperatures periodically reached in diesel exhaust. No additional source of energy is required for regeneration, hence the term "passive".

Field experience has indicated that the success or failure of a passive DPF is primarily determined by the average exhaust temperature at the filter's inlet and the rate of PM generated by the engine. These two quantities, however, are determined by a host of factors pertaining to both the details of the application and the state and type of engine being employed. As a result, the technical information that is readily accessible can sometimes serve as a guide, but may be insufficient to determine whether a passive DPF will be successful in a given application.

The PM emission level that an engine was initially certified to, for instance, is based on PM generated and measured over a single prescribed test cycle. Testing done by West Virginia University, however, shows that a given diesel truck can generate a wide range of PM emission levels depending on the test cycle chosen (Nine, et al, 2000). How well an engine has been maintained is another factor in determining the actual PM emission rate. The ARB's informational package for its heavy-duty vehicle inspection programs lists sixteen different common causes of high smoke levels that are related to engine maintenance (ARB, 1999).

With regard to estimating average exhaust temperature in actual use, commonly documented engine characteristics such as the exhaust temperature at peak power and peak torque are insufficient. The exhaust temperature at the DPF's inlet is highly application dependent, in that the particular duty cycle experienced plays a prominent role, as do heat losses in the exhaust system. Very vehicle-specific characteristics enter the heat loss equation, such as the length of piping exhaust must travel through before it reaches the DPF. Lower average exhaust temperatures can also be the result of operating vehicles with engines that are oversized for the application, as one DPF manufacturer has pointed out.

Time and resource requirements aside, the only way to have "foolproof" verification is therefore to evaluate a passive DPF on each individual vehicle in its own specific application. Of course, such an approach is more time-consuming and resources-intensive than is practical. That responsibility must be left to the emission control system suppliers and their customers. Staff does not presume that the proposed verification procedure will guarantee success, but rather that it will establish a high level of confidence that a given strategy will give real and durable emission reductions in compatible applications.

Passive DPFs have the intrinsic problem that if they do not match the application well and do not regenerate adequately, they can plug up, causing excessive backpressure on the engine. Excessive backpressure can cause the engine to stall, thereby terminating vehicle operation. To address this concern, the procedure requires that DPFs be installed with backpressure monitors that will alert the operator when the backpressure exceeds some pre-set level. With some insight into the state of the DPF, the operator can avoid potentially costly failures.

Even when regenerating properly, adding a DPF to the exhaust system of a vehicle will increase the backpressure by some amount. If more work is required from the engine to push combusted gases out through the exhaust system, a fuel economy penalty can result. The procedure requires that the manufacturer demonstrate that the backpressure caused by its product is within the engine manufacturer's specified limits, and if it is not, that it will nevertheless not cause any damage to the engine. It is noted in passing that test data received from the two verified passive DPF manufacturers show no discernible fuel economy penalty.

B.2.2 Active Diesel Particulate Filters

Unlike passive DPFs, active DPFs use a source of energy beyond the heat in the exhaust stream itself to help regeneration. Active DPF systems can be regenerated electrically, with fuel burners, with microwaves, or with the aid of additional fuel injection to increase exhaust gas temperature. Some active DPFs induce regeneration automatically on-board the vehicle or equipment when a specified backpressure is reached. Others simply indicate to the operator when regeneration is needed, and require the operator to initiate the regeneration process. Some active systems collect and store diesel PM over the course of a full day or shift and are regenerated at the end of the day or shift with the vehicle or equipment shut off. A number of the smaller filters are removed and regenerated externally at a "regeneration station."

Because they have control over their regeneration and are not dependent on the heat carried in the exhaust, active DPFs have a much broader range of application and a much lower probability of getting plugged than passive DPFs. One result of this is that emission control groups for active systems are most likely larger than those for passive filters, depending on the particular system.

While actively regenerated traps do not generally increase NO_2 emissions as passive DPFs may (unless they include catalysis), special attention needs to be given to active traps during regeneration. Spikes in emissions have been observed to occur during regeneration, prompting European researchers involved with the VERT project to require emission measurements over the regeneration period (Mayer, 2001). ARB's verification procedure incorporates the same requirement.

B.2.3 Ash

Filter technology has been identified by ARB staff as potentially generating a new waste stream. As discussed earlier, DPFs are designed to trap diesel particulate matter (PM) to achieve a net decrease in PM emissions. The carbonaceous component of the PM captured by the filter, which is by far the majority, is burned off when the filter regenerates. Any inorganic components are left behind as ash in the filter and accumulate over time. This ash must be cleaned from the filter periodically and properly disposed of.

Ash Production and Composition

Ash that accumulates within a DPF is comprised of inorganic substances carried along in an engine's exhaust stream. The primary source of ash is the combustion of lubrication oil in the engine. The nature of the inorganic additives present in the oil, therefore, determines the composition of the majority of the ash in a DPF. Other sources of ash include material arising from engine wear (small compared to oil ash) and any inorganic fuel additives that may be used. Not considering fuel additives, the rate of ash accumulation within a DPF is primarily a function of the rate at which an engine burns oil.

Ash collected from a diesel engine using typical lubrication oil and no fuel additives is primarily composed of oxides of the following elements: calcium, zinc, phosphorus, silicon, sulfur, and iron. Zinc is the component of primary concern, because it can be considered a hazardous waste depending on its concentration. In Section 66261.24, Title 22, of the California Code of Regulations, identifies two threshold limits for zinc: 250 mg/l for the Soluble Threshold Limit Concentration and 5,000 mg/kg for the Total Threshold Limit Concentration Value. Any ash with zinc levels above these limits is considered a hazardous waste and should be handled accordingly.

Determination of Hazardous Waste

Applicable hazardous waste laws are found in the California Health and Safety Code, Division 20; California Code of Regulations, Title 22, Division 4.5; and Title 40 of the Code of Federal Regulations. Staff recommends requiring manufacturers to notify consumers if a waste stream from their product is known to be a hazardous waste.

Since actions of the end user can influence the composition of ash and other waste streams, it is also the responsibility of the owner/operator/maintenance provider of the engine using the diesel emission control system to determine if the waste stream is classified as hazardous according to Section 66261.3, Title 22 of the California Code of Regulations. If a waste stream is determined to be hazardous, the hazardous waste generator (as defined in 22 CCR, § 66262.10) must comply with all appropriate County, State and Federal Regulations. This can include application for state and/or federal generator identification numbers, proper handling, storage and management of the hazardous waste stream, and proper disposal and treatment of the hazardous waste stream.

Excluded Recyclable Material
Section 25143.2 of the Health and Safety Code allows for wastes that can be reused or recycled to be treated accordingly. This option might be open to some waste streams, especially those containing precious metals and/or other reclaimable components.

B.3 Fuel Additives

Fuel additives are essentially any substance added to the fuel. Additives can reduce the total mass of particulate matter (PM), with variable effects on CO, NOx and HC production. Use of some additives alone shows 15 percent to 50 percent mass reductions in PM. The reduction can be as high as 99 percent when used with a DPF. Some additive-based systems reduce polynuclear aromatic hydrocarbons by around 80 percent. Additives can range from less than 10 parts per million (ppm) to greater than 100 ppm in the fuel. Additives can significantly decrease soot combustion temperatures facilitating DPF regeneration. Mixed data exist regarding fuel economy. Some studies show a fuel economy improvement ranging from five to seven percent, while others show an equivalent fuel penalty. Most additives are fairly insensitive to fuel sulfur content and will work with a range of sulfur concentrations as well as different fuels and other fuel additives (HEI, Attachment A; DieselNet, 2000.02b; Mayer, 1999).

An additive added to diesel fuel in order to aid in soot removal in diesel particulate filters by decreasing the ignition temperature of the carbonaceous exhaust is called a fuel borne catalyst (FBC). These can be used in conjunction with both passive and active filter systems. As noted in the body of the report, FBC can improve fuel economy, aid other system's performance, aid other retrofit systems, and decrease mass PM emissions. FBC/diesel particulate filters systems are in wide spread use in Europe in both on-road and off-road, mobile and stationary applications (DieselNet 2000.02b).

The following sections describe properties of some of the more common additives that staff has encountered in its research.

B.3.1 Cerium based additives:

Description: When used with appropriate filters, regeneration tends to be smooth, high local peak temperatures inside the trap do not occur and engine backpressure remains approximately constant. Typical concentrations for Cerium additives can range from around 20 ppm up to 100 ppm. However, at the highest concentrations, there can be some problems with backpressure increases and filter plugging depending on the system and application. Lower level cerium additives tend to avoid this problem provided that periodic trap regeneration occurs. There is evidence supporting the increase of nano-particulate matter (Mayer, 2002). This is related to additive concentration with appreciable increases in nano-particulate formation with higher additive concentrations. For instance, 100 ppm cerium reduces the balance temperature of a trap system from 537-557 °C to 432 °C. Used in conjunction with a filter, PM mass emissions are reduced from 70 to 98 percent and NOx is either

unchanged or reduced. Use of cerium additives can increase fuel consumption by 4.7 percent in some circumstances (DieselNet 2000.02; Mayer, 1999; Mayer, 1998; Lemaire, 1999; HEI, Attachment A; Mayer, April 1998).

Current Use: Cerium based additives are in wide spread use in Europe and VERT approved when used with DPFs. A cerium based additive is part of Peugeot's new filter based system and, in addition to on-road applications, cerium additives are used off-road in construction and forklift applications (Mayer, 2002; Lemaire, 1999).

Environmental Fate and Transport: Crops can take up cerium. Cerium has affinity for humic substances that may alter its availability in aquatic systems. Current fate and transport studies are limited and may not adequately address long term environmental exposure risks to both humans and other organisms (Molycorp Inc., 1995; HEI, 2001).

Health Risks: Although cerium has low acute toxicity, long term health and environmental effects are less well understood. Inhalation is thought to be the primary method of expose to cerium from diesel exhaust. However, other routes of entry might include direct contact with the additives and ingestion. The form cerium takes can also influence its biological and environmental fate. Cerium oxide is the primary form found in the exhaust although cerium can also form salts. Oxides and hydroxides of cerium are poorly soluble in body fluids and are slow to clear from the organism. Nitrates, phosphates and chlorides have intermediate solubility and have clearance times up to several weeks. Sulfates and sulfides are easily soluble and clear from an organism within days. Cerium can affect the respiratory tract and associated lymph nodes (inhalation exposure) and once in the circulatory system can partition to the skeleton, liver, kidney and spleen. Studies subjecting animals to large dosages of cerium show evidence of neurological effects, possibly due to cerium competing with calcium binding sites in the brain. Long term human expose to cerium is correlated with rare earth pneumoconiosis, but the precise role of cerium in this disease is not well characterized due to confounding metal aerosols (HEI, Attachment A; HEI, 2001; DieselNet, 2002.02b; Mayer, 1998; Mayer, 1999). Effects of nano-particulate cerium oxide are unknown (Mayer, 2002). However, projections show the environmental exposure to cerium from fuel additives will be orders of magnitude below occupational exposure limits. Further research is necessary to identify the size of emitted particles containing cerium, potential developmental and neurotoxic effects of cerium particles, the effects of engine aging and regeneration on emissions of cerium and the chronic effects of inhaled cerium particles in emissions on target organs (HEI, 2001; HEI, Attachment A).

B.3.2 Copper Based Additives

Description: Copper will decrease PM emissions, lower the soot combustion temperature and facilitate filter regeneration. As with other additives, when used in conjunction with DPFs, the higher the additive concentration the greater the filter pressure drop due to ash accumulation and the greater the operating costs of the system. Copper platinum blends dropped balance temperature for trap systems from 537-557 °C to 347 °C. There are significant problems with copper-based additives.

They can cause severe fouling of fuel injectors and cyclic soot loading of the filter yielding high temperature peaks during regeneration. Some ceramic fiber wound filters were determined to be incompatible with copper based additives as the high regeneration temperatures caused glazing of the copper and oil ash resulting in bonding of the fibers and decreased filter durability. Copper-based additives result in dioxin and furane emissions (DieselNet, 2000.02b; Mayer, 1998; Mayer, 1999).

Fate and Transport: Some fate and transport studies address environmental risks from copper. Copper is toxic to certain species, but more importantly, coppers additives result in the deleterious secondary emissions of furanes and dioxins. This precludes them from further consideration (DieselNet, 2000.02b; Mayer, 1998).

B.3.3 Platinum Based Additives:

Description: The most common platinum additives are actually bi-metallic additives consisting of Platinum in conjunction with another metal. Platinum additives lower balance temperature for traps facilitating regeneration. Platinum/cerium blends display a synergistic effect and drop balance temperatures from 537-557 °C to 327 °C and are typically used at low dosage levels (less than 10 ppm). The low dosage results in decrease nano-particulate formation as compared to additives with higher effective concentrations (HEI, Attachment A; DieselNet, 2000.02b). However, at this low concentration, it is possible that any increase in nano-particulate is masked by soot (Mayer, 2002). Data for the one additive used alone show 25 percent reduction in particulate emissions as well as 35 percent reductions in hydrocarbons and 11 percent reductions in carbon monoxide. When used in conjunction with an oxidation catalyst reductions up to 50 percent are achieved and this number increased to 95 percent when the additive was coupled with a DPF. Up to a 20 percent decrease in NOx for certain fuel/technology/additive combinations have been reported. Fuel economy benefits of five to seven percent have been reported for heavy-duty diesel engines. Without a filter, six percent of the metal input is released from the engine after 1000 hours of high load; a filter reduces the release of metal to less then one percent (DieselNet, 2000.02b; HEI, Attachment A; Mayer, 1999; Valentine, 2002; Mayer, 1998, Valentine et al, 2000; Khair, et al, 1999; Fanick et al, 2001; Vincent et al, 2001).

Current Use: Platinum based additives are in use in Europe with DPF systems for both on and off road applications and stationary sources (Valentine, 2002).

Fate and Transport: Studies show an increase in platinum group element concentrations in ambient air and dust since the introduction of catalytic converters. Catalytic converters contribute more platinum into the environment than other industrial sources. Levels up to 130 µg/kg are found in dust samples collected in Germany. Normal levels found in the earth's crust are on the order of 5 µg/kg. Platinum is found in all particulate matter size ranges and has the potential of airborne transport (HEI, Attachment A; Zereini, 200; Veltz, 1996; Artelt, 1999; Artelt, 1998, DieselNet, 2000.02b).

Health Risks: Platinum is toxic to some species and the effect of nano-particulate platinum fraction is poorly understood. There is evidence that an inverse correlation exists between the diameter of the platinum particles and solubility. Platinum salts are known allergens at concentrations found in occupational settings. The United Kingdom's Department of Health reviewed platinum based diesel fuel additives and concluded there were minimal human health risks from FBCs. Bioavaliability studies show platinum partitioning to the lungs, lung macrophages, blood, liver, gastrointestinal tract and kidneys depending on the route of exposure. Additionally bioavailability studies shows a significant fraction of ultrafine platinum particles are bioavailable. Long term ramifications of increased environmental platinum levels are inconclusive (Mayer, 2002; Veltz, 1996; Artelt, 1999; Artelt, 1998; Zereini, 2001;DieselNet, 2000.02b; HEI, Attachment A; Toxicity, Mutagenicity and Carcinogenicity Report, 1996)

B.3.4 Manganese Based Additives:

Description: Methylcyclopentadienyl manganese tricarbonyl (MMT) is one of the better documented manganese based fuel additives. It has been used in gasoline in the United States and Canada and can be used with a variety of fuel types. MMT reduces NOx by as much as 20 percent in some applications, and also acts as an octane booster and smoke abator. Although the US EPA determined that MMT does not cause failures of emission control devices or systems, the EPA requested a battery of tests to better characterize potential health effects (HEI, Attachment A, National Round Table on the Environment and Economy, 2001)

Health Risks: Use of this additive, as well as any manganese based fuel additive, increases manganese species in the environment. Long term exposure to high levels of manganese results in manganism, a neurological condition similar to Parkinson's disease. Reproductive and respiratory effects have been reported, with evidence showing inhaled manganese is more toxic than ingested manganese. However, Health Canada repeatedly determined that there was no evidence to indicate a hazard to human health. Some researchers have challenged this conclusion on the grounds that long term health effects and environmental fate and transport are poorly understood (HEI, Attachment A; National Round Table on the Environment and Economy, 2001)

B.3.5 Iron Based Additives:

Description: These include ferrocene derivatives, and iron blend FBCs. Typical dosing concentrations are 10 ppm to 20 ppm. Older testing was done with doses of 60 and 120 ppm. As with other high concentration FBC's, use of additives at this level ppm increases nano-particulate emissions by up to two orders of magnitude. Iron based additives, used without a filter at low ppm concentrations, can result in a 20 percent in PM. Iron based additives are compatible with most engines and exhaust after treatment systems, although some iron additives might be problematic with some technologies. Iron additives increase octane, allow for a shorter burn out time of the soot, and lower the ignition temperature of soot down to about 350 °C. Up to 99.9 percent of fine particulates are retained in the system when the additive is used with a filter.

Reductions in both particle mass and number are seen when used in conjunction with DPF. In addition to PM reductions, there is a decrease in PAH's and no increased NOx emissions. Platinum/iron blends can reduce balance temperatures from 537 °C – 557 °C to 357 °C. Results from studies with traps show soot filtration efficiencies greater than 90 percent with normal regeneration of the filter. Most of the iron ash is retained in the filter with a 0.85 percent increase in fuel consumption (DieselNet, 2000.02b; HEI, Attachment A; Werner, 2002).

Current usage: Iron based products are in use in construction vehicles/building machinery in Germany, Austria and Switzerland for greater than 5 years. Additionally, several hundred city buses, garbage trucks, forklifts and cleaning machinery have used these additives for the last several years (Werner, 2002).

Environmental Fate and Transport: Ferrocene will biodegrade given long time periods. Swedish EPA considers this product (in gasoline) as presenting no environmental hazard over conventional gasoline (Werner, 2002).

Heath Risks: Ferrocene has relatively low toxicity. Based on EU requirements, it is listed in the lowest toxicity class. There is no evidence of carcinogenicity or neurotoxic effects. Emission testing showed no general trends save an increase in iron in the exhaust. Chronic exposure studies showed no significant effect on the subjects (HEI, Attachment A; DieselNet, 2000.02b; Werner, 2002).

B.4 Alternative Diesel Fuels

A basic definition of an alternative diesel fuel is a fuel that can be used in a diesel engine without modification to the engine and that is not just a reformulated diesel fuel. For example, alternative diesel fuels may include emulsified fuels, biodiesel fuels, Fischer Tropsch fuels, or a combination of these fuels with regular diesel fuel. The emissions effects of these fuels can vary widely.

In general, alternative diesel fuels need to follow the same procedure as other emission control strategies. The major exception is that alternative diesel fuels must undergo a more extensive test procedure which includes 21 transient FTP tests on the base fuel and the same on the test fuel. Those fuels are alternated according to one of three testing sequences found in the procedures. Fewer tests are required if cold starts are included. A second additional requirement for fuels is that applicability, description, and fuel parameters need to be included with the application. Staff has harmonized these requirements with the interim procedure for alternative diesel fuels conducted through with the ARB's Stationary Source Division (SSD). Although the SSD verification by itself would not be acceptable for the diesel emission control strategy program, the emission reductions may be claimed for other programs. The data from the alternative diesel fuel program may be used in the emission control strategies program.

As with other strategies, the effect of the fuel on the engine durability must be demonstrated. The levels of reduction would be granted in the same manner as other

diesel emission control strategies. As is the case for other strategies, the verification would cover a specific group of engines or engine families. Extension of the verification may be sought after initial verification by supplementing the data supporting the original verification with additional data and engineering analysis.

B.5 NOx Control Strategies

Although not as mature as PM control strategies in general, significant research into NOx control strategies that may be suitable for retrofit use is being conducted and a number of NOx control strategies for diesel engines are nearing commercial readiness. A sampling of NOx control technologies are briefly described below. As noted in the staff report, the verification procedure is appropriate for verifying NOx reductions equal to or greater than 15 percent.

B.5.1 Exhaust Gas Recirculation

Exhaust gas recirculation (EGR) is one of the most effective engine control methods for reducing NOx emissions. Spent combustion gases recirculated back into the intake system serve as a diluent to lower the oxygen concentration and to also increase the heat capacity of the air/fuel charge. Cooling the exhaust gas that is to be recirculated can used to minimize combustion temperatures. This reduces peak combustion temperature and the rate of combustion, thus reducing NOx emissions. Typical NOx reductions are about 50 percent. However, PM emissions may increase and fuel economy may decrease. The proper balance of EGR and temperature may provide the characteristics necessary for decreasing NOx emissions without increasing PM emissions. It is anticipated that cooled EGR would be an integral part of the engine manufacturers' effort to meet the lower NOx emission requirements in October 2002. Recently, hundreds of EGR systems which include diesel particulate filters have been successfully installed on existing Swedish urban buses, giving 50 percent NOx reductions and over 90 percent PM reductions (STT Emtec product literature).

B.5.2 Selective Catalytic Reduction Systems

Selective catalytic reduction (SCR) systems use a reductant, usually ammonia or urea, to convert NOx to nitrogen and oxygen. These systems are common in stationary sources and are also used on a few mobile sources in Europe. In this system, the reductant is injected into the exhaust upstream of the catalyst . As the exhaust gases, along with the reductant, pass over a catalyst applied to either a ceramic or metallic substrate, NOx emissions can be reduced by more than 70 percent (MECA, 2000). In addition, staff estimates that PM emissions could be reduced by 25 percent and HC emissions by 50 to 90 percent in SCR systems. SCR retrofit systems are expected to be available for urban bus applications within two to three years.

B.5.3 NOx Adsorbers

NOx adsorbers, also called NOx traps, are one of the newest emission control strategies under development. They employ catalysts to which NOx in the exhaust stream adsorbs when the engine runs lean. After the adsorber has been fully saturated with NOx, the system is regenerated with released NOx being catalytically reduced when the engine runs rich. NOx reductions in excess of 80-90 percent have been reported (Majewski, 2001). A prerequisite for proper functioning of this new technology is low-sulfur fuel.

B.5.4 Reprogramming of Defeat Devices

Some NOx reductions may be achieved through reprogramming of engines with defeat devices. In October 1998, some heavy-duty engine manufacturers and the U.S. EPA settled a court case regarding the use of an illegal emission defeat device. Engine manufacturers had installed engine control software to artificially increase NOx emissions during steady highway cruising in order to maintain high fuel economy at highway speeds. The settlement required engine manufacturers to lower NOx emissions by upgrading existing heavy-duty engines and disabling the engine control software. Although the consent decree does produce NOx emission reductions, the scope of the decree is relatively limited in that it is only applicable to those on-road engines that had the devices originally. Early reprogramming does yield NOx emission reductions that could be verified.

Appendix C. Application Process and Flowchart

This appendix illustrates the overall process through which a diesel emission control strategy would be verified. To illustrate the steps an applicant must follow, a flowchart is presented at the end.

If an applicant would like to have an emission control strategy verified, it should first submit a proposed verification testing protocol to ARB. The proposed protocol should lay out the applicant's plans for meeting the testing requirements. This step, although not a requirement, helps to ensure that ARB ultimately receives the information it needs to evaluate the technology and also that the applicant understands the requirements and does not waste its own time and resources with unnecessary or irrelevant testing.

In the proposal, the applicant should suggest what the emission control group parameters and the parameters' values should be, based on the nature of its system. Staff will work with the applicant to determine an appropriate set of parameters and values. After defining the preliminary emission control groups, the applicant must select one with which to verify its system. The proposal, and later the formal application itself, must both focus on use of the control strategy with this single emission control group. By requiring that the scope of the first application be restricted, staff will be more able to conduct a thorough review of the diesel emission control strategy. Extensions of existing verifications need not be limited to a single emission control group, but are nevertheless made on an emission control group basis.

Another key point regarding the proposed verification testing protocol is that the applicant may submit existing test data for staff to determine whether it partially satisfies the testing requirements of the verification procedure. ARB recognizes that testing can be costly and particularly burdensome for smaller companies. Therefore, existing test data will be considered by staff even if, for example, it may have been generated with test cycles other than those requested in the procedure.

Once the applicant and staff agree on a test proposal, the application process begins. The applicant would submit an application in the format prescribed in the procedure (Section 2702(d)). Within 30 days of receipt of the application, staff will inform the applicant of its completeness and whether additional information is required. Within 60 days after an application has been deemed complete, the staff will determine whether the diesel emission control strategy merits verification. If staff verifies the strategy, ARB will issue an Executive Order to the applicant which classifies the system according to Table C1 below:

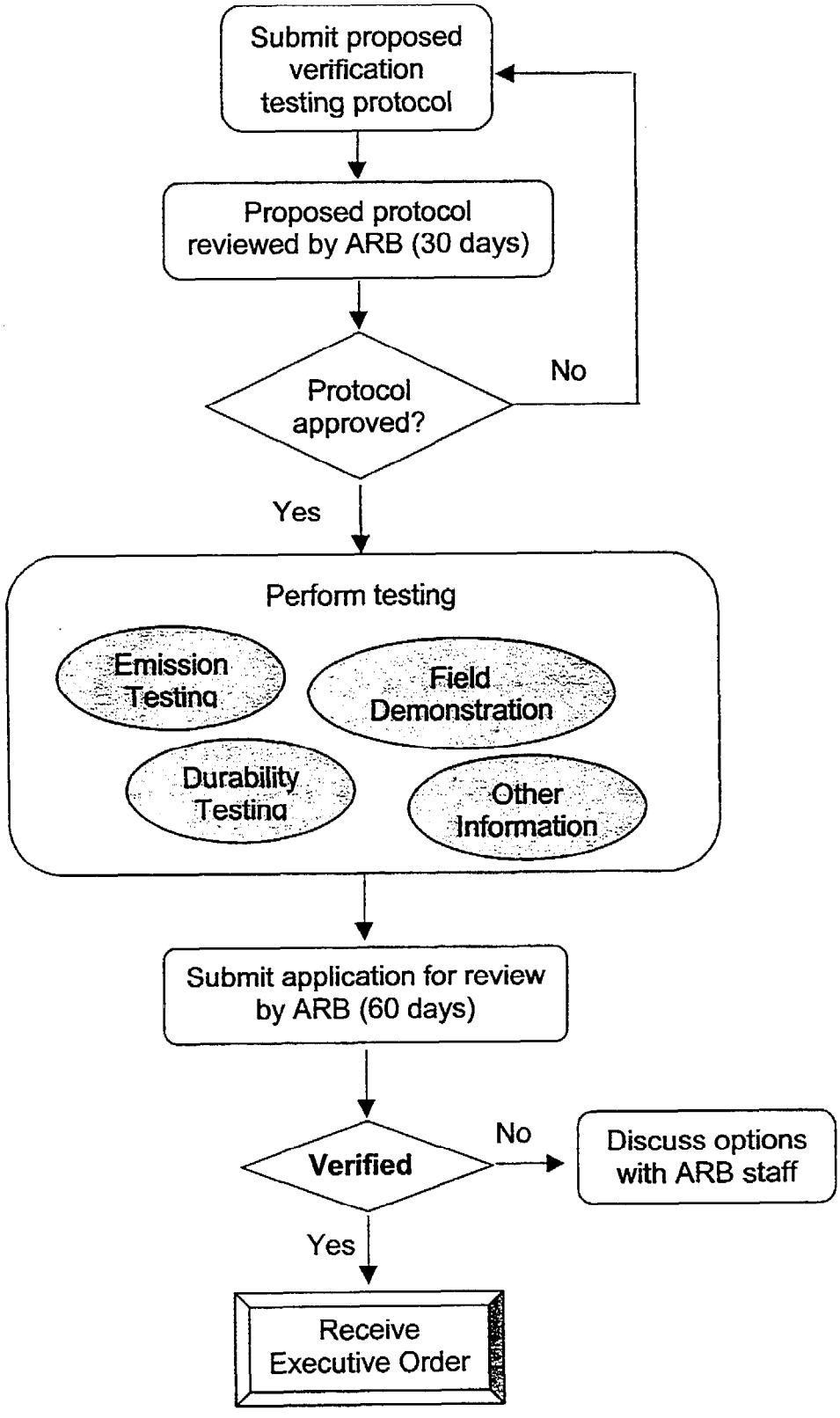
Table C1. Diesel Emission Control Strategy Verification Classifications

Pollutant	Reduction	Classification
PM	< 25%	Not verified
	≥ 25% but < 50%	Level 1
	≥ 50% but < 85%	Level 2
	≥ 85%, or ≤ 0.01 g/bhp-hr	Level 3
NOx	< 15%	Not verified
	≥ 15%	Verified in 5% increments

As already stated, the applicant must limit the scope of its initial application to verification of its system with only one emission control group. After the system is verified for use with one emission control group, the manufacturer may apply for extension of its verification to cover other emission control groups by using additional test data, engineering justification, and any other information deemed necessary by staff.

If an applicant makes design modifications to an already verified diesel emission control strategy, the modified version must be verified. The applicant must provide a detailed description of the design modification along with an explanation of how the modification will change the operation and performance of the diesel emission control strategy. To support its claims, the applicant may submit additional test data, engineering justification, and any other information deemed necessary by staff.

Application Process Flowchart



Appendix D. Estimate the Number of Tests to Verify NOx Control Technologies that Reduces NOx between 15 to 25 Percent

This appendix presents the calculations used to estimate the minimum number of tests required for verification of NOx control strategies. Staff based its calculations for NOx on the same statistical basis used for PM control. That is, the same level of confidence that is attained by 3 tests of a PM strategy that achieves a 25% reduction should also be attained prior to verification of NOx reduction.

In order to calculate the number of tests required for a given reduction level, staff first estimated the test-to-test variability. Factors contributing to test-to-test variability include, but are not limited to the condition of engine or vehicle, fuel, driver (for chassis testing), diesel emission control system, and analytical equipment. Staff used 10% as the variability from test-to-test, which is consistent with data gathered from chassis and engine dynamometer testing.

The criterion being used is that the minimum number of tests required to have a 95% probability of detecting the specified emission reduction at the 95% confidence level. The basic equation being used for the calculation is:

$$n \approx (Z_\alpha + Z_\beta)^2 [\sigma^2_1 + (1-\delta/100)^2 \cdot \sigma^2_2]/\delta^2 \qquad \text{(D-1)}$$

Where:

- n = sample size in each group;
- δ = difference between baseline and controlled engine emission mean; expressed as a percent of the baseline emission value;
- σ^2_1 = squared standard deviation of baseline-engine emission data, expressed as a percent of the baseline emission value;
- σ^2_2 = squared standard deviation of controlled-engine emission data, expressed as a percent of the baseline emission value;
- $1-\alpha$ = confidence coefficient on comparison of means;
- $1-\beta$ = probability of detection of reduction;
- Z_α = normal distribution value corresponding to upper-tail probability of α; and
- Z_β = normal distribution value corresponding to upper-tail probability of β.

Note that σ_1, σ_2 and δ, are expressed as percentages of the baseline emission. The parameter 'z' is tabulated under different names in statistics reference texts. It is the 'z' value corresponding to 'the tail area of the unit normal distribution' in Box, Hunter, and Hunter (1978). In the standard Mathematical Tables (CRC, 1968), 'z' is known as 'x", and the tail area is labeled '1-F(x)', where F(x) is the cumulative distribution function of a standardized normal random variable.

Table D.1 Estimation of Number of Tests.

Emission reduction relative to baseline (certification) emission, δ, %	15	20	25
Known measurement variability at specified emission reduction, σ_2, %	10	10	10
Known measurement variability for baseline engine, σ_1, %	10	10	10
α	0.05	0.05	0.05
z_α	1.645	1.645	1.645
β	0.05	0.05	0.05
z_β	1.645	1.645	1.645
Number of tests required, n	9.6	5.4	3.45

Table D.1 summarizes the estimate of number of tests, based on the confidence coefficient (0.95) and probability of detection (0.95), and test-to-test variability of 10 percent. It appears the number of tests is highly dependent on the emission reduction relative to the baseline. As noted from Table D.1, approximately three tests are needed to detect a 25 percent difference from the baseline. Since the above calculation is an estimate for the number of tests, the number of tests is truncated to the nearest lower integer. In order to maintain the same statistical basis, staff proposed the number of tests to be five and nine, in order to detect emission difference at 15 to 20 percent, 20 to 25 percent, respectively.

References for Appendix D

Box, G. E. P., W. G. Hunter, and J. S. Hunter. *Statistics for Experimenters*. John Wiley & Sons, New York, NY. 1978.