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**REPORT OF THE MARINE ENVIRONMENT PROTECTION COMMITTEE
ON ITS FIFTY-SEVENTH SESSION**

Attached are annexes 5 and 6 to the report of the Marine Environment Protection Committee on its fifty-seventh session (MEPC 57/21).

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ANNEX 5**DRAFT AMENDMENTS TO MARPOL ANNEX VI****REGULATIONS FOR THE PREVENTION OF AIR POLLUTION FROM SHIPS****CHAPTER 1 – GENERAL****Regulation 1*****Application***

The provisions of this Annex shall apply to all ships, except where expressly provided otherwise in regulations 3, 5, 6, 13, 15, and 18 of this Annex.

Regulation 2***Definitions***

“Annex” means Annex VI to the International Convention for the Prevention of Pollution from Ships 1973 (MARPOL), as modified by the Protocol of 1978 relating thereto, and as modified by the Protocol of 1997 adopted by resolution 1 of the 1997 MARPOL Conference, as amended by the Organization, provided that such amendments are adopted and brought into force in accordance with the provisions of article 16 of the present Convention concerning amendment procedures applicable to an appendix to an Annex.

For the purpose of this Annex:

- (1) “A similar stage of construction” means the stage at which:
 - (a) construction identifiable with a specific ship begins; and
 - (b) assembly of that ship has commenced comprising at least 50 tonnes or one per cent of the estimated mass of all structural material, whichever is less.
- (2) “Anniversary date” means the day and the month of each year which will correspond to the date of expiry of the International Air Pollution Prevention Certificate.
- (3) “Auxiliary control device” means a system, function, or control strategy installed on a marine diesel engine that is used to protect the engine and/or its ancillary equipment against operating conditions that could result in damage or failure, or that is used to facilitate the starting of the engine. An auxiliary control device may also be a strategy or measure that has been satisfactorily demonstrated not to be a defeat device.
- (4) “Continuous feeding” is defined as the process whereby waste is fed into a combustion chamber without human assistance while the incinerator is in normal operating conditions with the combustion chamber operative temperature between 850°C and 1200°C.

(5) “Defeat device” means a device which measures, senses, or responds to operating variables (*e.g.*, engine speed, temperature, intake pressure or any other parameter) for the purpose of activating, modulating, delaying or deactivating the operation of any component or the function of the emission control system such that the effectiveness of the emission control system is reduced under conditions encountered during normal operation, unless the use of such a device is substantially included in the applied emission certification test procedures.

(6) “Marine diesel engine” means any reciprocating internal combustion engine operating on liquid or dual fuel, to which regulation 13 of this Annex applies, including booster/compound systems if applied.

(7) “Emission” means any release of substances, subject to control by this Annex, from ships into the atmosphere or sea.

(8) “Emission Control Area” means an area where the adoption of special mandatory measures for emissions from ships is required to prevent, reduce and control air pollution from SO_x, NO_x, and particulate matter and its attendant adverse impacts on human health and the environment. Emission Control Areas shall include those listed in, or designated under, regulations 13 and 14 of this Annex.

(9) “Fuel oil” means any fuel delivered to and intended for combustion purposes for propulsion or operation on board a ship, including distillate and residual fuels.

(10) “Gross tonnage” means the gross tonnage calculated in accordance with the tonnage measurement regulations contained in Annex I to the International Convention on Tonnage Measurements of Ships, 1969 or any successor Convention.

(11) “Installations” in relation to regulation 12 of this Annex means the installation of systems, equipment including portable fire extinguishing units, insulation, or other material on a ship, but excludes the repair or recharge of previously installed systems, equipment, insulation, or other material, or the recharge of portable fire extinguishing units.

(12) “Installed” means a marine diesel engine that is or is intended to be fitted on a ship, including a portable auxiliary marine diesel engine, only if its fuelling, cooling, or exhaust system is an integral part of the ship. A fuelling system is considered integral to the ship only if it is permanently affixed to the ship. This definition includes a marine diesel engine that is used to supplement or augment the installed power capacity of the ship and is intended to be an integral part of the ship.

(13) “Irrational emission control strategy” means any strategy or measure that, when the ship is operated under normal conditions of use, reduces the effectiveness of an emission control system to a level below that expected on the applicable emission test procedures.

(14) “NO_x Technical Code” means the Technical Code on Control of Emission of Nitrogen Oxides from Marine Diesel Engines adopted by resolution 2 of the 1997 MARPOL Conference, as amended by the Organization, provided that such amendments are adopted and brought into force in accordance with the provisions of article 16 of the present Convention concerning amendment procedures applicable to an appendix to an Annex.

(15) “Ozone depleting substances” means controlled substances defined in paragraph (4) of article 1 of the Montreal Protocol on Substances that Deplete the Ozone Layer, 1987, listed in Annexes A, B, C or E to the said Protocol in force at the time of application or interpretation of this Annex.

“Ozone depleting substances” that may be found on board ship include, but are not limited to:

Halon 1211 Bromochlorodifluoromethane.

Halon 1301 Bromotrifluoromethane

Halon 2402 1, 2-Dibromo -1, 1, 2, 2-tetrafluoroethane (also known as Halon 114B2)

CFC-11 Trichlorofluoromethane

CFC-12 Dichlorodifluoromethane

CFC-113 1, 1, 2 – Trichloro – 1, 2, 2 – tetrafluoroethane

CFC-114 1, 2 – Dichloro –1, 1, 2, 2 – tetrafluoroethane

CFC-115 Chloropentafluoroethane

(16) “Shipboard incineration” means the incineration of wastes or other matter on board a ship, if such wastes or other matter were generated during the normal operation of that ship.

(17) “Shipboard incinerator” means a shipboard facility designed for the primary purpose of incineration.

(18) “Ships constructed” means ships the keels of which are laid or which are at a similar stage of construction.

(19) “Sludge oil” means sludge from the fuel oil or lubricating oil separators, waste lubricating oil from main or auxiliary machinery, or waste oil from bilge water separators, oil filtering equipment or drip trays.

(20) “Tanker” means an oil tanker as defined in regulation 1.5 of Annex I or a chemical tanker as defined in regulation 1.16.1 of Annex II of the present Convention.

Regulation 3 ***Exceptions and Exemptions***

General

Regulations of this Annex shall not apply to:

- (1) (a) any emission necessary for the purpose of securing the safety of a ship or saving life at sea; or
- (b) any emission resulting from damage to a ship or its equipment:

- (i) provided that all reasonable precautions have been taken after the occurrence of the damage or discovery of the emission for the purpose of preventing or minimizing the emission; and
- (ii) except if the owner or the master acted either with intent to cause damage, or recklessly and with knowledge that damage would probably result.

Trials for Ship Emission Reduction and Control Technology Research

(2) The Administration of a Party may, in co-operation with other Administrations as appropriate, issue an exemption from specific provisions of this Annex for a ship to conduct trials for the development of ship emission reduction and control technologies and engine design programmes.

Such an exemption shall only be provided if the applications of specific provisions of the Annex or the NO_x Technical Code could impede research into the development of such technologies or programmes. A permit for such an exemption shall only be provided to the minimum number of ships necessary and be subject to the following provisions:

- (a) for marine diesel engines with per cylinder displacement up to 30 litres, the duration of the sea trial shall not exceed 18 months. If additional time is required, a permitting Administration or Administrations may permit a renewal for one additional 18-month period; and
- (b) for a marine diesel engine with a per cylinder displacement at or above 30 litres, the duration of the ship trial shall not exceed five years and shall require a progress review by the permitting Administration or Administrations at each intermediate survey. A permit may be withdrawn based on this review if the testing has not adhered to the conditions of the permit or if it is determined that the technology or programme is not likely to produce effective results in the reduction and control of ship emissions. If the reviewing Administration or Administrations determine that additional time is required to conduct a test of a particular technology or programme, a permit may be renewed for an additional time period not to exceed five years.

Emissions from Seabed Mineral Activities

(3) (a) Emissions directly arising from the exploration, exploitation and associated offshore processing of seabed mineral resources are, consistent with article 2(3)(b)(ii) of the present Convention, exempt from the provisions of this Annex. Such emissions include the following:

- (i) emissions resulting from the incineration of substances that are solely and directly the result of exploration, exploitation and associated offshore processing of seabed mineral resources, including but not limited to the flaring of hydrocarbons and the burning of cuttings, muds, and/or stimulation fluids during well completion and testing operations, and flaring arising from upset conditions;
- (ii) the release of gases and volatile compounds entrained in drilling fluids and cuttings;

- (iii) emissions associated solely and directly with the treatment, handling, or storage of seabed minerals; and
- (iv) emissions from marine diesel engines that are solely dedicated to the exploration, exploitation and associated offshore processing of seabed mineral resources.

(b) The requirements of regulation 18 of this Annex shall not apply to the use of hydrocarbons which are produced and subsequently used on site as fuel, when approved by the Administration.

Regulation 4 ***Equivalents***

- (1) The Administration of a Party may allow any fitting, material, appliance or apparatus to be fitted in a ship or other procedures, alternative fuel oils, or compliance methods used as an alternative to that required by this Annex if such fitting, material, appliance or apparatus or other procedures, alternative fuel oils, or compliance methods are at least as effective in terms of emissions reductions as that required by this Annex, including any of the standards set forth in regulations 13 and 14.
- (2) The Administration of a Party which allows a fitting, material, appliance or apparatus or other procedures, alternative fuel oils, or compliance methods used as an alternative to that required by this Annex shall communicate to the Organization for circulation to the Parties particulars thereof, for their information and appropriate action, if any.
- (3) The Administration of a Party should take into account any relevant guidelines developed by the Organization pertaining to the equivalents provided for in this regulation.
- (4) The Administration of a Party which allows the use of an equivalent as set forth in paragraph (1) of this regulation shall endeavour not to impair or damage its environment, human health, property, or resources or those of other States.

CHAPTER 2 SURVEY, CERTIFICATION AND MEANS OF CONTROL

Regulation 5 *Surveys*

(1) Every ship of 400 gross tonnage and above and every fixed and floating drilling rig and other platforms shall be subject to the surveys specified below:

- (a) An initial survey before the ship is put into service or before the certificate required under regulation 6 of this Annex is issued for the first time. This survey shall be such as to ensure that the equipment, systems, fittings, arrangements and material fully comply with the applicable requirements of this Annex;
- (b) A renewal survey at intervals specified by the Administration, but not exceeding five years, except where regulation 9(2), 9(5), 9(6) or 9(7) of this Annex is applicable. The renewal survey shall be such as to ensure that the equipment, systems, fittings, arrangements and material fully comply with applicable requirements of this Annex;
- (c) An intermediate survey within three months before or after the second anniversary date or within three months before or after the third anniversary date of the certificate which shall take the place of one of the annual surveys specified in paragraph (1)(d) of this regulation. The intermediate survey shall be such as to ensure that the equipment and arrangements fully comply with the applicable requirements of this Annex and are in good working order. Such intermediate surveys shall be endorsed on the certificate issued under regulations 6 or 7 of this Annex;
- (d) An annual survey within three months before or after each anniversary date of the certificate, including a general inspection of the equipment, systems, fittings, arrangements and material referred to in paragraph (1)(a) of this regulation to ensure that they have been maintained in accordance with paragraph (4) of this regulation and that they remain satisfactory for the service for which the ship is intended. Such annual surveys shall be endorsed on the certificate issued under regulation 6 or 7 of this Annex; and
- (e) An additional survey either general or partial, according to the circumstances, shall be made after a repair resulting from investigations prescribed in paragraph (4) of this regulation, or whenever any important repairs or renewals are made. The survey shall be such as to ensure that the necessary repairs or renewals have been effectively made, that the material and workmanship of such repairs or renewals are in all respects satisfactory and that the ship complies in all respects with the requirements of this Annex.

(2) In the case of ships of less than 400 gross tonnage, the Administration may establish appropriate measures in order to ensure that the applicable provisions of this Annex are complied with.

- (3) (a) Surveys of ships as regards the enforcement of the provisions of this Annex shall be carried out by officers of the Administration. The Administration may, however, entrust the surveys either to surveyors nominated for the purpose or to organizations recognized by it. Such organizations shall comply with the guidelines adopted by the Organization;*
- (b) The survey of marine diesel engines and equipment for compliance with regulation 13 of this Annex shall be conducted in accordance with the NO_x Technical Code;
- (c) When a nominated surveyor or recognized organization determines that the condition of the equipment does not correspond substantially with the particulars of the certificate, they shall ensure that corrective action is taken and shall in due course notify the Administration. If such corrective action is not taken, the certificate should be withdrawn by the Administration. If the ship is in a port of another Party, the appropriate authorities of the port State shall also be notified immediately. When an officer of the Administration, a nominated surveyor or recognized organization has notified the appropriate authorities of the port State, the Government of the port State concerned shall give such officer, surveyor or organization any necessary assistance to carry out their obligations under this regulation; and
- (d) In every case, the Administration concerned shall fully guarantee the completeness and efficiency of the survey and shall undertake to ensure the necessary arrangements to satisfy this obligation.
- (4) (a) The equipment shall be maintained to conform with the provisions of this Annex and no changes shall be made in the equipment, systems, fittings, arrangements, or material covered by the survey, without the express approval of the Administration. The direct replacement of such equipment and fittings with equipment and fittings that conform with the provisions of this Annex is permitted; and
- (b) Whenever an accident occurs to a ship or a defect is discovered, which substantially affects the efficiency or completeness of its equipment covered by this Annex, the master or owner of the ship shall report at the earliest opportunity to the Administration, a nominated surveyor, or recognized organization responsible for issuing the relevant certificate.

* Refer to the Guidelines for the authorization of organizations acting on behalf of the Administration, adopted by the Organization by resolution A.739(18), and the Specifications on the survey and certification functions of recognized organizations acting on behalf of the Administration, adopted by the Organization by resolution A.789(19).

Regulation 6

Issue of endorsement of a Certificate

- (1) An International Air Pollution Prevention Certificate shall be issued, after an initial or renewal survey in accordance with the provisions of regulation 5 of this Annex, to:
 - (a) any ship of 400 gross tonnage and above engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties; and
 - (b) platforms and drilling rigs engaged in voyages to waters under the sovereignty or jurisdiction of other Parties.
- (2) A ship constructed before the date of entry into force of Annex VI for such ship's Administration shall be issued with an International Air Pollution Prevention Certificate in accordance with paragraph (1) of this regulation no later than the first scheduled dry-docking after the date of such entry into force, but in no case later than 3 years after this date.
- (3) Such certificate shall be issued or endorsed either by the Administration or by any person or organization duly authorized by it. In every case, the Administration assumes full responsibility for the certificate.

Regulation 7

Issue of a Certificate by another Party

- (1) A Party may, at the request of the Administration, cause a ship to be surveyed and, if satisfied that the provisions of this Annex are complied with, shall issue or authorize the issuance of an International Air Pollution Prevention Certificate to the ship, and where appropriate, endorse or authorize the endorsement of that certificate on the ship, in accordance with this Annex.
- (2) A copy of the certificate and a copy of the survey report shall be transmitted as soon as possible to the requesting Administration.
- (3) A certificate so issued shall contain a statement to the effect that it has been issued at the request of the Administration and it shall have the same force and receive the same recognition as a certificate issued under regulation 5 of this Annex.
- (4) No International Air Pollution Prevention Certificate shall be issued to a ship which is entitled to fly the flag of a State which is not a Party.

Regulation 8

Form of Certificate

The International Air Pollution Prevention Certificate shall be drawn up in a form corresponding to the model given in appendix I to this Annex and shall be at least in English, French or Spanish. If an official language of the issuing country is also used, this shall prevail in case of a dispute or discrepancy.

Regulation 9

Duration and Validity of Certificate

- (1) An International Air Pollution Prevention Certificate shall be issued for a period specified by the Administration, which shall not exceed five years.
- (2)
 - (a) Notwithstanding the requirements of paragraph (1) of this regulation, when the renewal survey is completed within three months before the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal survey to a date not exceeding five years from the date of expiry of the existing certificate;
 - (b) When the renewal survey is completed after the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal survey to a date not exceeding five years from the date of expiry of the existing certificate; and
 - (c) When the renewal survey is completed more than three months before the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal survey to a date not exceeding five years from the date of completion of the renewal survey.
- (3) If a certificate is issued for a period of less than five years, the Administration may extend the validity of the certificate beyond the expiry date to the maximum period specified in paragraph (1) of this regulation, provided that the surveys referred to in regulations 5(1)(c) and 5(1)(d) of this Annex applicable when a certificate is issued for a period of five years are carried out as appropriate.
- (4) If a renewal survey has been completed and a new certificate cannot be issued or placed on board the ship before the expiry date of the existing certificate, the person or organization authorized by the Administration may endorse the existing certificate and such a certificate shall be accepted as valid for a further period which shall not exceed five months from the expiry date.
- (5) If a ship, at the time when a certificate expires, is not in a port in which it is to be surveyed, the Administration may extend the period of validity of the certificate but this extension shall be granted only for the purpose of allowing the ship to complete its voyage to the port in which it is to be surveyed, and then only in cases where it appears proper and reasonable to do so. No certificate shall be extended for a period longer than three months, and a ship to which an extension is granted shall not, on its arrival in the port in which it is to be surveyed, be entitled by virtue of such extension to leave that port without having a new certificate. When the renewal survey is completed, the new certificate shall be valid to a date not exceeding five years from the date of expiry of the existing certificate before the extension was granted.
- (6) A certificate issued to a ship engaged on short voyages which has not been extended under the foregoing provisions of this regulation may be extended by the Administration for a period of grace of up to one month from the date of expiry stated on it. When the renewal survey is completed, the new certificate shall be valid to a date not exceeding five years from the date of expiry of the existing certificate before the extension was granted.

(7) In special circumstances, as determined by the Administration, a new certificate need not be dated from the date of expiry of the existing certificate as required by paragraph (2)(b), (5) or (6) of this regulation. In these special circumstances, the new certificate shall be valid to a date not exceeding five years from the date of completion of the renewal survey.

(8) If an annual or intermediate survey is completed before the period specified in regulation 5 of this Annex, then:

- (a) the anniversary date shown on the certificate shall be amended by endorsement to a date which shall not be more than three months later than the date on which the survey was completed;
- (b) the subsequent annual or intermediate survey required by regulation 5 of this Annex shall be completed at the intervals prescribed by that regulation using the new anniversary date; and
- (c) the expiry date may remain unchanged provided one or more annual or intermediate surveys, as appropriate, are carried out so that the maximum intervals between the surveys prescribed by regulation 5 of this Annex are not exceeded.

(9) A certificate issued under regulations 6 or 7 of this Annex shall cease to be valid in any of the following cases:

- (a) if the relevant surveys are not completed within the periods specified under regulation 5(1) of this Annex;
- (b) if the certificate is not endorsed in accordance with regulation 5(1)(c) or 5(1)(d) of this Annex; and
- (c) upon transfer of the ship to the flag of another State. A new certificate shall only be issued when the Government issuing the new certificate is fully satisfied that the ship is in compliance with the requirements of regulation 5(4)(a) of this Annex. In the case of a transfer between Parties, if requested within three months after the transfer has taken place, the Government of the Party whose flag the ship was formerly entitled to fly shall, as soon as possible, transmit to the Administration copies of the certificate carried by the ship before the transfer and, if available, copies of the relevant survey reports.

Regulation 10

Port State Control on Operational Requirements

(1) A ship, when in a port or an offshore terminal under the jurisdiction of another Party, is subject to inspection by officers duly authorized by such Party concerning operational requirements under this Annex, where there are clear grounds for believing that the master or crew are not familiar with essential shipboard procedures relating to the prevention of air pollution from ships.

(2) In the circumstances given in paragraph (1) of this regulation, the Party shall take such steps as will ensure that the ship shall not sail until the situation has been brought to order in accordance with the requirements of this Annex.

(3) Procedures relating to the port State control prescribed in article 5 of the present Convention shall apply to this regulation.

(4) Nothing in this regulation shall be construed to limit the rights and obligations of a Party carrying out control over operational requirements specifically provided for in the present Convention.

Regulation 11

Detection of Violations and Enforcement

(1) Parties shall co-operate in the detection of violations and the enforcement of the provisions of this Annex, using all appropriate and practicable measures of detection and environmental monitoring, adequate procedures for reporting and accumulation of evidence.

(2) A ship to which this Annex applies may, in any port or offshore terminal of a Party, be subject to inspection by officers appointed or authorized by that Party for the purpose of verifying whether the ship has emitted any of the substances covered by this Annex in violation of the provision of this Annex. If an inspection indicates a violation of this Annex, a report shall be forwarded to the Administration for any appropriate action.

(3) Any Party shall furnish to the Administration evidence, if any, that the ship has emitted any of the substances covered by this Annex in violation of the provisions of this Annex. If it is practicable to do so, the competent authority of the former Party shall notify the master of the ship of the alleged violation.

(4) Upon receiving such evidence, the Administration so informed shall investigate the matter, and may request the other Party to furnish further or better evidence of the alleged contravention. If the Administration is satisfied that sufficient evidence is available to enable proceedings to be brought in respect of the alleged violation, it shall cause such proceedings to be taken in accordance with its law as soon as possible. The Administration shall promptly inform the Party which has reported the alleged violation, as well as the Organization, of the action taken.

(5) A Party may also inspect a ship to which this Annex applies when it enters the ports or offshore terminals under its jurisdiction, if a request for an investigation is received from any Party together with sufficient evidence that the ship has emitted any of the substances covered by the Annex in any place in violation of this Annex. The report of such investigation shall be sent to the Party requesting it and to the Administration so that the appropriate action may be taken under the present Convention.

(6) The international law concerning the prevention, reduction, and control of pollution of the marine environment from ships, including that law relating to enforcement and safeguards, in force at the time of application or interpretation of this Annex, applies, *mutatis mutandis*, to the rules and standards set forth in this Annex.

CHAPTER 3

REQUIREMENTS FOR CONTROL OF EMISSIONS FROM SHIPS

Regulation 12

Ozone depleting Substances

(1) This regulation does not apply to permanently sealed equipment where there are no refrigerant charging connections or potentially removable components containing ozone-depleting substances.

(2) Subject to the provisions of regulation 3, any deliberate emissions of ozone-depleting substances shall be prohibited. Deliberate emissions include emissions occurring in the course of maintaining, servicing, repairing or disposing of systems or equipment, except that deliberate emissions do not include minimal releases associated with the recapture or recycling of an ozone-depleting substance. Emissions arising from leaks of an ozone-depleting substance, whether or not the leaks are deliberate, may be regulated by Parties.

(3) (a) Installations which contain ozone depleting substances shall be prohibited:

(i) on ships constructed on or after 19 May 2005; or

(ii) in the case of ships constructed before 19 May 2005, which have a contractual delivery date of the equipment to the ship on or after 19 May 2005 or, in the absence of a contractual delivery date, the actual delivery of the equipment to the ship on or after 19 May 2005.

(b) Installations which contain hydro-chlorofluorocarbons shall be prohibited:

(i) on ships constructed on or after 1 January 2020; or

(ii) in the case of ships constructed before 1 January 2020, which have a contractual delivery date of the equipment to the ship on or after 1 January 2020 or, in the absence of a contractual delivery date, the actual delivery of the equipment to the ship on or after 1 January 2020.

(4) The substances referred to in this regulation, and equipment containing such substances, shall be delivered to appropriate reception facilities when removed from ships.

(5) Subject to this regulation, each ship shall maintain a list of equipment containing ozone-depleting substances.¹

(6) Every ship of 400 gross tonnage and above which has rechargeable systems that contain ozone-depleting substances shall maintain an Ozone-Depleting Substances Record Book. This Record Book may form part of an existing log-book or electronic recording system as approved by the Administration.

¹ See Annex VI, as amended, Appendix I, Supplement to International Air Pollution Prevention Certificate (IAPP Certificate), section 2.1.

(7) Entries in the Ozone Depleting Substances Record Book shall be recorded in terms of mass (kg) of substance and shall be completed without delay on each occasion, in respect of the following:

- (a) recharge, full or partial, of equipment containing ozone depleting substances;
- (b) repair or maintenance of equipment containing ozone depleting substances;
- (c) discharge of ozone depleting substances to the atmosphere:
 - (i) deliberate; and
 - (ii) non-deliberate;
- (d) discharge of ozone depleting substances to land-based reception facilities; and
- (e) supply of ozone depleting substances to the ship.

Regulation 13
Nitrogen Oxides (NO_x)

Application

- (1) (a) This regulation shall apply to:
 - (i) each marine diesel engine with a power output of more than 130 kW installed on a ship; and
 - (ii) each marine diesel engine with a power output of more than 130 kW which undergoes a major conversion except when demonstrated to the satisfaction of the Administration that such engine is an identical replacement to the engine which it is replacing and is otherwise not covered under subparagraph (i) of paragraph (1)(a) of this regulation.
- (b) This regulation does not apply to:
 - (i) a marine diesel engine intended to be used solely for emergencies, or solely to power any device or equipment intended to be used solely for emergencies on the ship on which it is installed, or a marine diesel engine installed in lifeboats intended to be used solely for emergencies; and
 - (ii) a marine diesel engine installed on a ship solely engaged in voyages within waters subject to the sovereignty or jurisdiction of the State the flag of which the ship is entitled to fly, provided that such engine is subject to an alternative NO_x control measure established by the Administration.
- (c) Notwithstanding the provisions of subparagraph (a) of this paragraph, the Administration may provide an exclusion from the application of this regulation for any marine diesel engine which is installed on a ship constructed, or for any marine diesel engine which undergoes a major conversion, before 19 May 2005, provided that the ship on which the engine is installed is solely engaged in

voyages to ports or offshore terminals within the State the flag of which the ship is entitled to fly.

- (2) (a) For the purpose of this regulation, “major conversion” means a modification of a marine diesel engine that has not already been certified to the standards set forth in paragraph (3), (4), or (5)(a)(i) of this regulation where:
- (i) the engine is replaced by a marine diesel engine or an additional marine diesel engine is installed, or
 - (ii) any substantial modification, as defined in the NO_x Technical Code, is made to the engine, or
 - (iii) the maximum continuous rating of the engine is increased by more than 10% compared to the maximum continuous rating of the original certification of the engine.
- (b) For a major conversion involving the replacement of a marine diesel engine with a non-identical marine diesel engine or the installation of an additional marine diesel engine, the standards in this regulation in force at the time of the replacement or addition of the engine shall apply. On or after 1 January 2016, in the case of replacement engines only, if it is not possible for such a replacement engine to meet the standards set forth in subparagraph (i) of paragraph (5)(a) of this regulation (Tier III), then that replacement engine shall meet the standards set forth in paragraph (4) of this regulation (Tier II). Guidelines are to be developed by the Organization to set forth the criteria of when it is not possible for a replacement engine to meet the standards in subparagraph (i) of paragraph (5)(a) of this regulation.
- (c) For a marine diesel engine referred to in subparagraph (ii) or (iii) of paragraph (2)(a), then the engine shall meet the following standards:
- (i) for ships constructed prior to 1 January 2000, the standards set forth in paragraph (3) of this regulation shall apply; and
 - (ii) for ships constructed on or after 1 January 2000, the standards in force at the time the ship is constructed shall apply.

Tier I

(3) Subject to regulation 3 of this Annex, the operation of a marine diesel engine which is installed on a ship constructed on or after 1 January 2000 and prior to 1 January 2011 is prohibited, except when the emission of nitrogen oxides (calculated as the total weighted emission of NO₂) from the engine is within the following limits, where n = rated engine speed (crankshaft revolutions per minute):

- (a) 17.0g/kWh when n is less than 130 rpm
- (b) $45.0 \cdot n^{(-0.2)}$ g/kWh when n is 130 or more but less than 2,000 rpm
- (c) 9.8 g/kWh when n is 2000 rpm or more.

Tier II

(4) Subject to regulation 3 of this Annex, the operation of a marine diesel engine which is installed on a ship constructed on or after 1 January 2011 is prohibited, except when the emission of nitrogen oxides (calculated as the total weighted emission of NO₂) from the engine is within the following limits, where n = rated engine speed (crankshaft revolutions per minute):

- (a) 14.4 g/kWh when n is less than 130 rpm
- (b) $44 * n^{(-0.23)}$ g/kWh when n is 130 or more but less than 2,000 rpm
- (c) 7.7 g/kWh when n is 2000 rpm or more.

Tier III

(5) (a) Subject to regulation 3 of this Annex, the operation of a marine diesel engine which is installed on a ship constructed on or after 1 January 2016:

(i) is prohibited except when the emission of nitrogen oxides (calculated as the total weighted emission of NO₂) from the engine is within the following limits, where n = rated engine speed (crankshaft revolutions per minute):

- (a) 3.4 g/kWh when n is less than 130 rpm
- (b) $9 * n^{(-0.2)}$ g/kWh when n is 130 or more but less than 2,000 rpm
- (c) 2.0 g/kWh when n is 2,000 rpm or more.

(ii) is subject to the standards set forth in subparagraph (i) of this paragraph when the ship is operating in an Emission Control Area designated under paragraph (6) of this regulation; and

(iii) is subject to the standards set forth in paragraph (4) of this regulation when the ship is operating outside of an Emission Control Area designated under paragraph (6) of this regulation.

(b) Subject to the review set forth in paragraph (11) of this regulation, the standards set forth in subparagraph (i) of paragraph (5)(a) of this regulation shall not apply to:

- (i) a marine diesel engine installed on a ship with a length (L) less than 24 metres when it has been specifically designed, and is used solely, for recreational purposes; or
- (ii) a marine diesel engine installed on a ship with a combined nameplate diesel engine propulsion power of less than 750 kW if it is demonstrated, to the satisfaction of the Administration, that the ship cannot comply with the standards set forth in subparagraph (i) of paragraph (5)(a) of this regulation because of design or construction limitations of the ship.

(6) For the purpose of this regulation, an Emission Control Area shall be any sea area, including any port area, designated by the Organization in accordance with the criteria and procedures set forth in Appendix III to this Annex.

Marine Diesel Engines Installed on a Ship Constructed Prior to 1 January 2000

- (7) (a) Notwithstanding subparagraph (a)(i) of paragraph (1) of this regulation, a marine diesel engine with a power output of more than 5,000 kW and a per cylinder displacement at or above 90 litres installed on a ship constructed on or after 1 January 1990 but prior to 1 January 2000 shall comply with the emission limits set forth in subparagraph (d) of this paragraph, provided that an Approved Method for that engine has been certified by an Administration of a Party and notification of such certification has been submitted to the Organization by the certifying Administration. A marine diesel engine for which an Approved Method has been certified and notification submitted to the Organization, shall be:
- (i) certified on board that it operates within the limits set forth in paragraph (d) of this regulation, or
 - (ii) certified on board, in accordance with any other method set forth in the NO_x Technical Code, that it operates within the limits set forth in paragraph (3), (4), or (5)(a)(i) of this regulation.
- (b) Subparagraph (a) shall apply no later than the first renewal survey that occurs 12 months or more after deposit of the notification in subparagraph (a). If a shipowner of a ship on which an Approved Method is to be installed can demonstrate to the satisfaction of the Administration that the Approved Method was not commercially available despite best efforts to obtain it, then that Approved Method shall be installed on the ship no later than the next annual survey of that ship which falls after the Approved Method is commercially available.
- (c) With regard to a ship with a marine diesel engine with a power output of more than 5,000 kW and a per cylinder displacement at or above 90 litres installed on a ship constructed on or after 1 January 1990 but prior to 1 January 2000, the IAPP Certificate shall for a marine diesel engine to which subparagraph (a) of this paragraph applies, indicate that an Approved Method has been applied or that an Approved Method does not yet exist or is not yet commercially available as described in subparagraph (b) of this regulation.
- (d) Subject to regulation 3 of this Annex, the operation of a marine diesel engine described in subparagraph (a) is prohibited, except when the emission of nitrogen oxides (calculated as the total weighted emission of NO₂) from the engine is within or does not exceed the following limits, where n = rated engine speed (crankshaft revolutions per minute):
- (i) 17.0 g/kW when n is less than 130 rpm
 - (ii) $45.0 * n^{(-0.2)}$ g/kWh when n is 130 or more but less than 2000 rpm
 - (iii) 9.8 g/kWh when n is 2000 rpm or more

- (e) Certification of an Approved Method shall be in accordance with chapter 7 of the NO_x Technical Code and shall include verification:
- (i) by the designer of the base marine diesel engine to which the Approved Method applies that the calculated effect of the Approved Method will not decrease engine rating by more than 1.0%, increase fuel consumption by more than 2.0% as measured according to the appropriate test cycle set forth in the NO_x Technical Code or adversely affect engine durability or reliability, and
 - (ii) that the cost of the Approved Method is not excessive, which is determined by a comparison of the amount of NO_x reduced by the Approved Method to achieve the standard set forth in subparagraph (d) of this paragraph and the cost of purchasing and installing such Approved Method.²

Alternatives

(8) Notwithstanding paragraphs (3), (4), (5) and (7) of this regulation, the operation of a marine diesel engine is permitted when an exhaust gas cleaning system, approved by the Administration in accordance with the NO_x Technical Code, is applied to the engine to reduce onboard NO_x emissions at least to the limits specified in paragraphs (3), (4), (5)(a)(i), and (7)(d) of this regulation.

Certification

(9) The certification, testing, and measurement procedures for the standards set forth in this regulation are set forth in the NO_x Technical Code.

(10) The procedures for determining NO_x emissions set out in the NO_x Technical Code are intended to be representative of the normal operation of the engine. Defeat devices and irrational emission control strategies undermine this intention and shall not be allowed. This regulation shall not prevent the use of auxiliary control devices that are used to protect the engine and/or its ancillary equipment against operating conditions that could result in damage or failure or that are used to facilitate the starting of the engine.

Review

(11) Beginning in 2012 and completed no later than 2013, the Organization shall review the status of the technological developments to implement the standards set forth in subparagraph (a)(i) of paragraph (5) of this regulation and shall, if proven necessary, adjust the time periods set forth in that subparagraph.

² The cost of an Approved Method should not exceed 375 SDR/metric ton NO_x calculated in accordance with the Cost-Effectiveness formula below:

$$C_e = \frac{\text{Cost of Approved Method} * 10^6}{P(\text{kW}) * 0.768 * 6000\text{h/yr} * 5 \text{ years} * \text{DELTA NO}_x(\text{g/KWh})}$$

Regulation 14
Sulphur Oxides (SO_x) and Particulate Matter (PM)

General requirements

(1) The sulphur content of any fuel oil used on board ships shall not exceed the following concentrations:

- (a) 4.50% m/m prior to 1 January 2012;
- (b) 3.50% m/m on and after 1 January 2012; and
- (c) 0.50% m/m on and after 1 January 2020.

(2) The worldwide average sulphur content of residual fuel oil supplied for use on board ships shall be monitored taking into account guidelines developed by the Organization.³

Requirements within Emission Control Areas

(3) For the purpose of this regulation, Emission Control Areas shall include:

- (a) the Baltic Sea area as defined in regulation 1.11.2 of Annex I, the North Sea as defined in regulation 5(1)(f) of Annex V; and
- (b) any other sea area, including port areas, designated by the Organization in accordance with criteria and procedures set forth in appendix III to this Annex.

(4) While ships are operating within an Emission Control Area, the sulphur content of fuel oil used on board ships shall not exceed the following limitations:

- (a) 1.50% m/m prior to 1 March 2010;
- (b) 1.00% m/m on and after 1 March 2010; and
- (c) 0.10% m/m on and after 1 January 2015.

(5) The sulphur content of fuel oil referred to in paragraph (1) and paragraph (4) of this regulation shall be documented by the supplier as required by regulation 18 of this Annex.

(6) Those ships using separate fuel oils to comply with paragraph (4) of this regulation and entering or leaving an Emission Control Area set forth in paragraph (3) of this regulation shall carry a written procedure showing how the fuel oil change-over is to be done, allowing sufficient time for the fuel oil service system to be fully flushed of all fuel oils exceeding the applicable sulphur content specified in paragraph (4) of this regulation prior to entry into an Emission Control Area. The volume of low sulphur fuel oils in each tank as well as the date, time, and position of the ship when any fuel-oil-change-over operation is completed prior to the entry into an Emission Control Area or commenced after exit from such an area, shall be recorded in such log-book as prescribed by the Administration.

³ MEPC.82(43), "Guidelines for Monitoring the World-wide Average Sulphur Content of Residual Oils Supplied for Use On Board Ships".

(7) During the first twelve months immediately following amendment to the present Protocol designating a specific Emission Control Area under paragraph (3)(b) of this regulation, ships operating in an Emission Control Area designated under paragraph (3)(b) of this regulation are exempt from the requirements in paragraphs (4) and (6) of this regulation and from the requirements of paragraph (5) of this regulation insofar as they relate to paragraph (4) of this regulation.

Review Provision

- (8) (a) A review of the standard set forth in subparagraph (c) of paragraph (1) of this regulation shall be completed by 2018 to determine the availability of fuel oil to comply with the fuel oil standard set forth in that paragraph and shall take into account the following elements:
- (i) the global market supply and demand for fuel oil to comply with subparagraph (c) of paragraph (1) of this regulation that exist at the time that the review is conducted,
 - (ii) an analysis of the trends in fuel oil markets; and
 - (iii) any other relevant issue.
- (b) The Organization shall establish a group of experts, comprising of representatives with the appropriate expertise in the fuel oil market and appropriate maritime, environmental, scientific, and legal expertise, to conduct the review referred to in subparagraph (a) of paragraph (8) of this regulation. The group of experts shall develop the appropriate information to inform the decision to be taken by the Parties.
- (c) The Parties, based on the information developed by the group of experts, may decide whether it is possible for ships to comply with the date in subparagraph (c) of paragraph (1) of this regulation. If a decision is taken that it is not possible for ships to comply, then the standard in that subparagraph shall become effective on 1 January 2025.

Regulation 15

Volatile Organic Compounds (VOCs)

(1) If the emissions of VOCs from a tanker are to be regulated in a port or ports or a terminal or terminals under the jurisdiction of a Party, they shall be regulated in accordance with the provisions of this regulation.

(2) A Party regulating tankers for VOC emissions shall submit a notification to the Organization. This notification shall include information on the size of tankers to be controlled, the cargoes requiring vapour emission control systems, and the effective date of such control. The notification shall be submitted at least six months before the effective date.

(3) A Party which designates ports or terminals at which VOCs emissions from tankers are to be regulated shall ensure that vapour emission control systems, approved by that Party taking

into account the safety standards for such systems developed by the Organization⁴, are provided in any designated port and terminal and are operated safely and in a manner so as to avoid undue delay to a ship.

(4) The Organization shall circulate a list of the ports and terminals designated by Parties to other Parties and Member States of the Organization for their information.

(5) A tanker to which paragraph (1) of this regulation applies shall be provided with a vapour emission collection system approved by the Administration taking into account the safety standards for such systems developed by the Organization⁵, and shall use this system during the loading of relevant cargoes. A port or terminal which has installed vapour emission control systems in accordance with this regulation may accept tankers which are not fitted with vapour collection systems for a period of three years after the effective date identified in paragraph (2) of this regulation.

(6) A tanker carrying crude oil shall have on board and implement a VOC management plan approved by the Administration. Such a plan shall be prepared taking into account the guidelines⁶ developed by the Organization. The plan shall be specific to each ship and shall at least:

- (a) provide written procedures for minimizing VOC emissions during the loading, sea passage, and discharge of cargo;
- (b) give consideration to the extra VOC generated by crude oil washing;
- (c) identify a person responsible for implementing the plan; and
- (d) for ships on international voyages, be written in the working language of the master and officers and, if the working language of the master and officers is not English, French, or Spanish, include a translation into one of these languages.

(7) This regulation shall also apply to gas carriers only if the type of loading and containment systems allow safe retention of non-methane VOCs on board or their safe return ashore.⁷

Regulation 16

Shipboard Incineration

(1) Except as provided in paragraph (4) of this regulation, shipboard incineration shall be allowed only in a shipboard incinerator.

(2) Shipboard incineration of the following substances shall be prohibited:

- (a) residues of cargoes subject to Annexes I, II and III of the present Convention or related contaminated packing materials;

⁴ MSC/Circ.585, Standards for vapour emission control systems.

⁵ MSC/Circ.585, Standards for vapour emission control systems.

⁶ Resolution MEPC.[xx]((57)), "Guidelines for the Development of a VOC Management Plan".

⁷ MSC.30(61), "International Code for the Construction and Equipment of Ships Carrying Liquefied Gases in Bulk", chapter 5.

- (b) polychlorinated biphenyls (PCBs);
 - (c) garbage, as defined by Annex V of the present Convention, containing more than traces of heavy metals;
 - (d) refined petroleum products containing halogen compounds;
 - (e) sewage sludge and sludge oil either of which are not generated on board the ship; and
 - (f) exhaust gas cleaning system residues.
- (3) Shipboard incineration of polyvinyl chlorides (PVCs) shall be prohibited, except in shipboard incinerators for which IMO Type Approval Certificates* have been issued.
- (4) Shipboard incineration of sewage sludge and sludge oil generated during normal operation of a ship may also take place in the main or auxiliary power plant or boilers, but in those cases, shall not take place inside ports, harbours and estuaries.
- (5) Nothing in this regulation either:
- (a) affects the prohibition in, or other requirements of, the Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter, 1972, as amended, and the 1996 Protocol thereto, or
 - (b) precludes the development, installation and operation of alternative design shipboard thermal waste treatment devices that meet or exceed the requirements of this regulation.
- (6) (a) Except as provided in subparagraph (b) of this paragraph, each incinerator on a ship constructed on or after 1 January 2000 or incinerator which is installed on board a ship on or after 1 January 2000 shall meet the requirements contained in appendix IV to this Annex. Each incinerator subject to this shall be approved by the Administration taking into account the standard specifications for shipboard incinerators developed by the Organization** ; and
- (b) The Administration may allow exclusion from the application of subparagraph (a) of this paragraph to any incinerator which is installed on board a ship before 19 May 2005, provided that the ship is solely engaged in voyages within waters subject to the sovereignty or jurisdiction of the State the flag of which the ship is entitled to fly.
- (7) Incinerators installed in accordance with the requirements of paragraph (6)(a) of this regulation shall be provided with a manufacturer's operating manual which is to be retained with the unit and which shall specify how to operate the incinerator within the limits described in paragraph (2) of appendix IV of this Annex.

* Type Certificates issued in accordance with resolution MEPC.59(33) or MEPC.76(40).

** Refer to resolution MEPC.76(40), Standard specification for shipboard incinerators.

(8) Personnel responsible for the operation of an incinerator shall be trained to implement the guidance provided in the manufacturer's operating manual as required by paragraph (7) of this regulation.

(9) For incinerators installed in accordance with the requirements of paragraph (6)(a) of this regulation the combustion chamber gas outlet temperature shall be monitored at all times the unit is in operation. Where that incinerator is of the continuous-feed type, waste shall not be fed into the unit when the combustion chamber gas outlet temperature is below 850°C. Where that incinerator is of the batch-loaded type, the unit shall be designed so that the combustion chamber gas outlet temperature shall reach 600°C within five minutes after start-up and will thereafter stabilize at a temperature not less than 850°C.

Regulation 17 ***Reception Facilities***

- (1) Each Party undertakes to ensure the provision of facilities adequate to meet the:
- (a) needs of ships using its repair ports for the reception of ozone depleting substances and equipment containing such substances when removed from ships;
 - (b) needs of ships using its ports, terminals or repair ports for the reception of exhaust gas cleaning residues from an approved exhaust gas cleaning system,
without causing undue delay to ships, and
 - (c) needs in ship breaking facilities for the reception of ozone depleting substances and equipment containing such substances when removed from ships.

(2) If a particular port or terminal of a Party is – taking into account the guidelines to be developed by the Organization – remotely located from, or lacking in, the industrial infrastructure necessary to manage and process those substances and therefore cannot accept such substances, then the Party shall inform the Organization of any such port or terminal so that this information may be circulated to all Parties for their information and any appropriate action. Each Party that has provided the Organization with such information shall also notify the Organization of its ports and terminals where reception facilities are available to manage and process such substances.

(3) Each Party shall notify the Organization for transmission to the Members of the Organization of all cases where the facilities provided under this regulation are unavailable or alleged to be inadequate.

Regulation 18 ***Fuel Oil Availability and Quality***

Fuel Oil Availability

(1) Each Party shall take all reasonable steps to promote the availability of fuel oils to comply with this Annex and inform the Organization of the availability of compliant fuel oils in its ports and terminals.

- (2) (a) If a ship is found by a Party not to be in compliance with the standards for compliant fuel oils set forth in this Annex, the competent authority of the Party is entitled to require the ship to:
- (i) present a record of the actions taken to attempt to achieve compliance; and
 - (ii) provide evidence that it attempted to purchase compliant fuel oil in accordance with its voyage plan and, if it was not made available where planned, that attempts were made to locate alternative sources for such fuel oil and that despite best efforts to obtain compliant fuel oil, no such fuel oil was made available for purchase.
- (b) The ship should not be required to deviate from its intended voyage or to delay unduly the voyage in order to achieve compliance.
- (c) If a ship provides the information set forth in subparagraph (a) of this paragraph, a Party shall take into account all relevant circumstances and the evidence presented to determine the appropriate action to take, including not taking control measures.
- (d) A ship shall notify its Administration and the competent authority of the relevant port of destination when it cannot purchase compliant fuel oil.
- (e) A Party shall notify the Organization when a ship has presented evidence of the non-availability of compliant fuel oil.

Fuel Oil Quality

- (3) Fuel oil for combustion purposes delivered to and used on board ships to which this Annex applies shall meet the following requirements:
- (a) except as provided in subparagraph (b):
 - (i) the fuel oil shall be blends of hydrocarbons derived from petroleum refining. This shall not preclude the incorporation of small amounts of additives intended to improve some aspects of performance;
 - (ii) the fuel oil shall be free from inorganic acid;
 - (iii) the fuel oil shall not include any added substance or chemical waste which:
 - (1) jeopardizes the safety of ships or adversely affects the performance of the machinery, or
 - (2) is harmful to personnel, or
 - (3) contributes overall to additional air pollution; and
 - (b) fuel oil for combustion purposes derived by methods other than petroleum refining shall not:
 - (i) exceed the sulphur content set forth in regulation 14 of this Annex;

- (ii) cause an engine to exceed the NO_x emission limits set forth in paragraphs (3), (4), (5)(a)(i), and (7)(d) of regulation 13;
 - (iii) contain inorganic acid; and
 - (iv)
 - (1) jeopardize the safety of ships or adversely affects the performance of the machinery; or
 - (2) be harmful to personnel, or
 - (3) contribute overall to additional air pollution.
- (4) This regulation does not apply to coal in its solid form or nuclear fuels.
- (5) For each ship subject to regulations 5 and 6 of this Annex, details of fuel oil for combustion purposes delivered to and used on board shall be recorded by means of a bunker delivery note which shall contain at least the information specified in appendix V to this Annex.
- (6) The bunker delivery note shall be kept on board the ship in such a place as to be readily available for inspection at all reasonable times. It shall be retained for a period of three years after the fuel oil has been delivered on board.
- (7)
 - (a) The competent authority of a Party may inspect the bunker delivery notes on board any ship to which this Annex applies while the ship is in its port or offshore terminal, may make a copy of each delivery note, and may require the master or person in charge of the ship to certify that each copy is a true copy of such bunker delivery note. The competent authority may also verify the contents of each note through consultations with the port where the note was issued; and
 - (b) The inspection of the bunker delivery notes and the taking of certified copies by the competent authority under this paragraph shall be performed as expeditiously as possible without causing the ship to be unduly delayed.
- (8)
 - (a) The bunker delivery note shall be accompanied by a representative sample of the fuel oil delivered taking into account guidelines developed by the Organization.⁸ The sample is to be sealed and signed by the supplier's representative and the master or officer in charge of the bunker operation on completion of bunkering operations and retained under the ship's control until the fuel oil is substantially consumed, but in any case for a period of not less than twelve months from the time of delivery.
 - (b) If the Administration requires the representative sample to be analysed, it shall be done in accordance with the verification procedure set forth in appendix VI to determine whether the fuel oil meets the requirements of this Annex.

⁸ Refer to MEPC.96(47), "Guidelines for the sampling of fuel oil for determination of compliance with Annex VI of MARPOL 73/78".

- (9) Parties undertake to ensure that appropriate authorities designated by them:
- (a) maintain a register of local suppliers of fuel oil;
 - (b) require local suppliers to provide the bunker delivery note and sample as required by this regulation, certified by the fuel oil supplier that the fuel oil meets the requirements of regulations 14 and 18 of this Annex;
 - (c) require local suppliers to retain a copy of the bunker delivery note for at least three years for inspection and verification by the port State as necessary;
 - (d) take action as appropriate against fuel oil suppliers that have been found to deliver fuel oil that does not comply with that stated on the bunker delivery note;
 - (e) inform the Administration of any ship receiving fuel oil found to be non-compliant with the requirements of regulation 14 or 18 of this Annex; and
 - (f) inform the Organization for transmission to Parties of all cases where fuel oil suppliers have failed to meet the requirements specified in regulation 14 or 18 of this Annex.
- (10) In connection with port State inspections carried out by Parties, the Parties further undertake to:
- (a) inform the Party or non-Party under whose jurisdiction a bunker delivery note was issued of cases of delivery of noncompliant fuel oil, giving all relevant information; and
 - (b) ensure that remedial action as appropriate is taken to bring noncompliant fuel oil discovered into compliance.
- (11) For every ship of 400 gross tonnage and above on scheduled services with frequent and regular port calls, an Administration may decide after application and consultation with affected States that compliance with paragraph (6) of this regulation may be documented in an alternative manner which gives similar certainty of compliance with regulations 14 and 18 of this Annex.

APPENDIX I

**Form of IAPP Certificate
(Regulation 8)**

INTERNATIONAL AIR POLLUTION PREVENTION CERTIFICATE

Issued under the provisions of the Protocol of 1997 as amended, to amend the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 related thereto (hereinafter referred to as "the Convention") under the authority of the Government of:

.....
(full designation of the country)

by.....
*(full designation of the competent person or organization
authorized under the provisions of the Convention)*

Particulars of ship*

Name of ship.....

Distinctive number or letters.....

Port of registry.....

Gross tonnage.....

IMO Number⁺

Type of ship:

- tanker
ship other than a tanker

.....
* Alternatively, the particulars of the ship may be placed horizontally in boxes.

⁺ In accordance with IMO ship identification number scheme adopted by the Organization by resolution A.600(15).

THIS IS TO CERTIFY:

- 1 That the ship has been surveyed in accordance with regulation 5 of Annex VI of the Convention; and
- 2 That the survey shows that the equipment, systems, fittings, arrangements and materials fully comply with the applicable requirements of Annex VI of the Convention.

Completion date of survey on which this Certificate is based:.....(dd/mm/yyyy)

This Certificate is valid until* subject to surveys in accordance with regulation 5 of Annex VI of the Convention.

Issued at
(Place of issue of certificate)

(dd/mm/yyyy):.....
(Date of issue)

.....
(signature of authorized official issuing the certificate)

(Seal or stamp of the authority, as appropriate)

* Insert the date of expiry as specified by the Administration in accordance with regulation 9(1) of Annex VI of the Convention. The day and the month of this date correspond to the anniversary date as defined in regulation 2(14) of Annex VI of the Convention, unless amended in accordance with regulation 9(8) of Annex VI of the Convention.

Endorsement for annual and intermediate surveys

THIS IS TO CERTIFY that at a survey required by regulation 5 of Annex VI of the Convention the ship was found to comply with the relevant provisions of the Convention:

Annual survey: Signed.....
(Signature of authorized official)
Place.....
Date (dd/mm/yyyy):.....
(Seal or stamp of the authority, as appropriate)

Annual/Intermediate* survey: Signed.....
(Signature of authorized official)
Place.....
Date (dd/mm/yyyy):.....
(Seal or stamp of the authority, as appropriate)

Annual/Intermediate* survey: Signed.....
(Signature of authorized official)
Place.....
Date (dd/mm/yyyy):.....
(Seal or stamp of the authority, as appropriate)

Annual survey: Signed.....
(Signature of authorized official)
Place.....
Date (dd/mm/yyyy):.....
(Seal or stamp of the authority, as appropriate)

* Delete as appropriate.

**Annual/intermediate survey in accordance
with regulation 9(8)(c)**

THIS IS TO CERTIFY that, at an annual/intermediate* survey in accordance with regulation 9(8)(c) of Annex VI of the Convention, the ship was found to comply with the relevant provisions of the Convention:

Signed:
(signature of authorized official)

Place:

Date (dd/mm/yyyy):.....

(Seal or stamp of the authority, as appropriate)

Endorsement to extend the certificate if valid for less than 5 years where regulation 9(3) applies

The ship complies with the relevant provisions of the Convention, and this certificate shall, in accordance with regulation 9(3) of Annex VI of the Convention, be accepted as valid until (dd/mm/yyyy):.....

Signed:
(signature of authorized official)

Place:

Date (dd/mm/yyyy):.....

(Seal or stamp of the authority, as appropriate)

Endorsement where the renewal survey has been completed and regulation 9(4) applies

The ship complies with the relevant provisions of the Convention, and this certificate shall, in accordance with regulation 9(4) of Annex VI of the Convention, be accepted as valid until (dd/mm/yyyy):.....

Signed:
(signature of authorized official)

Place:

Date (dd/mm/yyyy):.....

(Seal or stamp of the authority, as appropriate)

* Delete as appropriate.

Endorsement to extend the validity of the certificate until reaching the port of survey or for a period of grace where regulation 9(5) or 9(6) applies

This certificate shall, in accordance with regulation 9(6) or 9(6)* of Annex VI of the Convention, be accepted as valid until (dd/mm/yyyy):.....

Signed:
(signature of authorized official)

Place:

Date (dd/mm/yyyy):.....

(Seal or stamp of the authority, as appropriate)

Endorsement for advancement of anniversary date where regulation 9(8) applies

In accordance with regulation 9(8) of Annex VI of the Convention, the new anniversary date is (dd/mm/yyyy):.....

Signed:
(signature of authorized official)

Place:

Date (dd/mm/yyyy):.....

(Seal or stamp of the authority, as appropriate)

In accordance with regulation 9(8) of Annex VI of the Convention, the new anniversary date is (dd/mm/yyyy):.....

Signed:
(signature of authorized official)

Place:

Date (dd/mm/yyyy):.....

(Seal or stamp of the authority, as appropriate)

* Delete as appropriate.

**SUPPLEMENT TO
INTERNATIONAL AIR POLLUTION PREVENTION CERTIFICATE
(IAPP CERTIFICATE)**

RECORD OF CONSTRUCTION AND EQUIPMENT

In respect of the provisions of Annex VI of the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto (hereinafter referred to as "the Convention").

Notes:

- 1 This Record shall be permanently attached to the IAPP Certificate. The IAPP Certificate shall be available on board the ship at all times.
- 2 The Record shall be at least in English, French or Spanish. If an official language of the issuing country is also used, this shall prevail in case of a dispute or discrepancy.
- 3 Entries in boxes shall be made by inserting either a cross (x) for the answer "yes" and "applicable" or a (-) for the answers "no" and "not applicable" as appropriate.
- 4 Unless otherwise stated, regulations mentioned in this Record refer to regulations of Annex VI of the Convention and resolutions or circulars refer to those adopted by the International Maritime Organization.

1 Particulars of ship

- 1.1 Name of ship
- 1.2 Distinctive number or letters
- 1.3 IMO number
- 1.4 Port of registry
- 1.5 Gross tonnage
- 1.6 Date on which keel was laid or ship was at a similar stage of construction
- 1.7 Date of commencement of major engine conversion (if applicable) (regulation 13):
.....

2 Control of emissions from ships

- 2.1 Ozone-depleting substances (regulation 12)
 - 2.1.1 The following fire extinguishing systems and equipment containing halons may continue in service:

System Equipment	Location on board

2.1.2 The following systems and equipment containing CFCs may continue in service:

.....

System Equipment	Location on board

2.1.3 The following systems containing hydro-chlorofluorocarbons (HCFCs) installed before 1 January 2020 may continue in service:

System Equipment	Location on board

2.2 *Nitrogen oxides (NO_x) (regulation 13)*

2.2.1 The following diesel engines with power output greater than 130 kW, and installed on a ship constructed on or after 1 January 2000, comply with the emission standards of regulation 13(3)(a) in accordance with the NO_x Technical Code:

Manufacturer and Model	Serial Number	Use	Power Output (kW)	Rated Speed (RPM)

2.2.2 The following diesel engines with power output greater than 130 kW, and which underwent major conversion per regulation 13(2) on or after 1 January 2000, comply with the emission standards of regulation 13(3)(a) in accordance with the NO_x Technical Code:

Manufacturer and Model	Serial Number	Use	Power Output (kW)	Rated Speed (RPM)

2.2.3 The following diesel engines with a power output greater than 130 kW and installed on a ship constructed on or after 1 January 2000, or with a power output greater than 130 kW and which underwent major conversion per regulation 13(2) on or after 1 January 2000, are fitted with an exhaust gas cleaning system or other equivalent methods in accordance with regulation 13(3), and the NO_x Technical Code:.....

Manufacturer and Model	Serial Number	Use	Power Output (kW)	Rated Speed (RPM)

2.2.4 The following diesel engines from 2.2.1, 2.2.2 and 2.2.3 above are fitted with NO_x emission monitoring and recording devices in accordance with the NO_x Technical Code:

Manufacturer and Model	Serial Number	Use	Power Output (kW)	Rated Speed (RPM)

2.3 *Sulphur oxides (SO_x) (regulation 14)*

2.3.1 When the ship operates within an SO_x Emission Control Area specified in regulation 14(3), the ship uses:

- .1 fuel oil with a sulphur content that does not exceed 1.5% m/m as documented by bunker delivery notes; or
- .2 an approved exhaust gas cleaning system to reduce SO_x emissions below 6.0g SO_x/kWh; or
- .3 other approved technology to reduce SO_x emissions below 6.0g SO_x/kWh..

2.4 *Volatile organic compounds (VOCs) (regulation 15)*

2.4.1 The tanker has a vapour collection system installed and approved in accordance with MSC/Circ.585.

2.5 The ship has an incinerator:

.1 which complies with resolution MEPC.76(40) as amended.....

.2 installed before 1 January 2000 which does not comply with resolution MEPC.76(40) as amended

THIS IS TO CERTIFY that this Record is correct in all respects.

Issued at
(Place of issue of the Record)

(dd/mm/yyyy):.....
Date of Issue

.....
(Signature of duly authorized official
issuing the Record)

(Seal or Stamp of the authority, as appropriate)

APPENDIX II

**TEST CYCLES AND WEIGHTING FACTORS
(Regulation 13)**

The following test cycles and weighing factors should be applied for verification of compliance of marine diesel engines with the NO_x limits in accordance with regulation 13 of this Annex using the test procedure and calculation method as specified in the NO_x Technical Code.

- .1 For constant-speed marine engines for ship main propulsion, including diesel-electric drive, test cycle E2 should be applied;
- .2 For variable-pitch propeller sets test cycle E2 should be applied;
- .3 For propeller-law-operated main and propeller-law-operated auxiliary engines the test cycle E3 should be applied;
- .4 For constant-speed auxiliary engines test cycle D2 should be applied; and
- .5 For variable-speed, variable-load auxiliary engines, not included above, test cycle C1 should be applied.

Test cycle for *constant speed main propulsion* application
(including diesel-electric drive or variable pitch propeller installations)

Test cycle type E2	Speed	100%	100%	100%	100%
	Power	100%	75%	50%	25%
	Weighting factor	0.2	0.5	0.15	0.15

Test cycle for *propeller-law-operated main and propeller-law-operated auxiliary engine* application

Test cycle type E3	Speed	100%	91%	80%	63%
	Power	100%	75%	50%	25%
	Weighting factor	0.2	0.5	0.15	0.15

Test cycle for *constant-speed auxiliary engine* application

Test cycle type D2	Speed	100%	100%	100%	100%	100%
	Power	100%	75%	50%	25%	10%
	Weighting factor	0.05	0.25	0.3	0.3	0.1

Test cycle for *variable-speed and load auxiliary engine* application

Test cycle type C1	Speed	Rated				Intermediate			Idle
	Torque	100%	75%	50%	10%	100%	75%	50%	0%
	Weighting factor	0.15	0.15	0.15	0.1	0.1	0.1	0.1	0.15

APPENDIX III

CRITERIA AND PROCEDURES FOR DESIGNATION OF EMISSION CONTROL AREAS

1 OBJECTIVES

1.1 The purpose of this appendix is to provide the criteria and procedures to Parties for the formulation and submission of proposals for the designation of Emission Control Areas and to set forth the factors to be considered in the assessment of such proposals by the Organization.

1.2 Emissions of SO_x, NO_x, and particulate matter from ocean-going ships contribute to ambient concentrations of air pollution in cities and coastal areas around the world. Adverse public health and environmental effects associated with air pollution include premature mortality, cardiopulmonary disease, lung cancer, chronic respiratory ailments, acidification and eutrophication.

1.3 An Emission Control Area should be considered for adoption by the Organization if supported by a demonstrated need to prevent, reduce, and control emissions of SO_x and particulate matter or NO_x or all three types of emissions (hereinafter emissions) from ships.

2 PROCESS FOR THE DESIGNATION OF EMISSION CONTROL AREAS

2.1 A proposal to the Organization for designation of an Emission Control Area for SO_x and particulate matter or NO_x or all three types of emissions may be submitted only by Parties. Where two or more Parties have a common interest in a particular area, they should formulate a co-ordinated proposal.

2.2 A proposal to designate a given area as an Emission Control Area should be submitted to the Organization in accordance with the rules and procedures established by the Organization.

3 CRITERIA FOR DESIGNATION OF AN EMISSION CONTROL AREA

3.1 The proposal shall include:

- .1 a clear delineation of the proposed area of application, along with a reference chart on which the area is marked;
- .2 the type or types of emission(s) that is or are being proposed for control (*i.e.* SO_x and particulate matter or NO_x or all three types of emissions);
- .3 a description of the human populations and environmental areas at risk from the impacts of ship emissions;
- .4 an assessment that emissions from ships operating in the proposed area of application are contributing to ambient concentrations of air pollution or to adverse environmental impacts. Such assessment shall include a description of the impacts of the relevant emissions on human health and the environment, such as adverse impacts to terrestrial and aquatic ecosystems, areas of natural productivity, critical habitats, water quality, human health, and areas of cultural

and scientific significance, if applicable. The sources of relevant data including methodologies used shall be identified;

- .5 relevant information pertaining to the meteorological conditions in the proposed area of application to the human populations and environmental areas at risk, in particular prevailing wind patterns, or to topographical, geological, oceanographic, morphological, or other conditions that contribute to ambient concentrations of air pollution or adverse environmental impacts;
- .6 the nature of the ship traffic in the proposed Emission Control Area, including the patterns and density of such traffic;
- .7 a description of the control measures taken by the proposing Party or Parties addressing land-based sources of SO_x, NO_x and particulate matter emissions affecting the human populations and environmental areas at risk that are in place and operating concurrent with the consideration of measures to be adopted in relation to provisions of regulations 13 and 14 of Annex VI; and
- .8 the relative costs of reducing emissions from ships when compared with land-based controls, and the economic impacts on shipping engaged in international trade.

3.2 The geographical limits of an Emission Control Area will be based on the relevant criteria outlined above, including emissions and deposition from ships navigating in the proposed area, traffic patterns and density, and wind conditions.

4 PROCEDURES FOR THE ASSESSMENT AND ADOPTION OF EMISSION CONTROL AREAS BY THE ORGANIZATION

4.1 The Organization shall consider each proposal submitted to it by a Party or Parties.

4.2 In assessing the proposal, the Organization shall take into account the criteria which are to be included in each proposal for adoption as set forth in section 3 above.

4.3 An Emission Control Area shall be designated by means of an amendment to this Annex, considered, adopted and brought into force in accordance with article 16 of the present Convention.

5 OPERATION OF EMISSION CONTROL AREAS

5.1 Parties which have ships navigating in the area are encouraged to bring to the Organization any concerns regarding the operation of the area.

APPENDIX IV

TYPE APPROVAL AND OPERATING LIMITS FOR SHIPBOARD INCINERATORS (Regulation 16)

(1) Ships incinerators described in regulation 16(6)(a) on board shall possess an IMO type approval certificate for each incinerator. In order to obtain such certificate, the incinerator shall be designed and built to an approved standard as described in regulation 16(6)(a). Each model shall be subject to a specified type approval test operation at the factory or an approved test facility, and under the responsibility of the Administration, using the following standard fuel/waste specification for the type approval test for determining whether the incinerator operates within the limits specified in paragraph (2) of this appendix:

Sludge Oil Consisting of:	75% Sludge oil from HFO; 5% waste lubricating oil; and 20% emulsified water.
Solid waste consisting of:	50% food waste; 50% rubbish containing; approx. 30% paper, " 40% cardboard, " 10% rags, " 20% plastic The mixture will have up to 50% moisture and 7% incombustible solids.

(2) Incinerators described in regulation 16(6)(a) shall operate within the following limits:

O ₂ in combustion chamber:	6 – 12%
CO in flue gas maximum average:	200 mg/MJ
Soot number maximum average:	Bacharach 3 or Ringelman 1 (20% opacity) (A higher soot number is acceptable only during very short periods such as starting up)
Unburned components in ash residues:	Maximum 10% by Weight
Combustion chamber flue gas outlet temperature range:	850 – 1200 degrees Celsius

APPENDIX V
INFORMATION TO BE INCLUDED IN THE BUNKER DELIVERY NOTE
(Regulation 18(3))

Name and IMO Number of receiving ship

Port

Date of commencement of delivery

Name, address, and telephone number of marine fuel oil supplier

Product name(s)

Quantity in metric tons

Density at 15°C, kg/m³*

Sulphur content (%m/m)**

A declaration signed and certified by the fuel oil supplier's representative that the fuel oil supplied is in conformity with regulation 14(1) or (4)(a) and regulation 18(1) of this Annex.

* Fuel oil should be tested in accordance with ISO 3675

** Fuel oil should be tested in accordance with ISO 8754.

APPENDIX VI

Fuel Verification Procedure for MARPOL Annex VI Fuel Samples

The following procedure shall be used to determine whether the fuel oil delivered to and used on board ships is compliant with the standards required by MARPOL Annex VI.

1 General Requirements

1.1 The representative fuel oil sample, which is required by paragraph (6)(a) of regulation 18 (the “MARPOL sample”) shall be used to verify the sulphur content of the fuel oil supplied to a ship.

1.2 An Administration, through its competent authority, shall manage the verification procedure.

1.3 The laboratories responsible for the verification procedure set forth in this appendix shall be fully accredited⁹ for the purpose of conducting the test method(s).

2 Verification Procedure Stage 1

2.1 The MARPOL sample should be delivered by the competent authority to the laboratory.

2.2 The laboratory shall:

- .1 record the details of the seal number and the sample label on the test record;
- .2 confirm that the condition of the seal on the MARPOL sample has not been broken; and
- .3 reject any MARPOL sample where the seal has been broken.

2.3 If the seal of the MARPOL sample has not been broken, the laboratory shall proceed with the verification procedure and shall:

- .1 ensure that the MARPOL sample is thoroughly homogenized;
- .2 draw two sub-samples from the MARPOL sample; and
- .3 reseal the MARPOL sample and record the new reseal details on the test record.

⁹ Accreditation is in accordance with ISO 17025 or an equivalent standard.

2.4 The two sub-samples should be tested in succession, in accordance with the specified test method referred to in Appendix V. For the purposes of this verification procedure, the results of the test analysis shall be referred to as “A” and “B”:

- .1 If the results of “A” and “B” are within the repeatability (r) of the test method, the results shall be considered valid; and
- .2 If the results of “A” and “B” are not within the repeatability (r) of the test method, both results shall be rejected and two new sub-samples should be taken by the laboratory and analysed. The sample bottle should be resealed in accordance with paragraph 2.3.3 above after the new sub-samples have been taken.

2.5 If the test results of “A” and “B” are valid, an average of these two results should be calculated thus giving the result referred to as “X”.

- .1 If the result of “X” is equal to or falls below the standards required by Annex VI, the fuel oil shall be deemed to meet the requirements; and
- .2 If the result of “X” is greater than the standards required by Annex VI, Verification Procedure Stage 2 should be conducted; however, if the result of “X” is greater than the specification limit by $0.59R$ (where R is the reproducibility of the test method), the fuel oil shall be considered non-compliant and no further testing is necessarily.

3 Verification Procedure Stage 2

3.1 If Stage 2 of the verification procedure is necessary in accordance with paragraph 2.5.2 above, the competent authority shall send the MARPOL sample to a second accredited laboratory.

3.2 Upon receiving the MARPOL sample, the laboratory shall:

- .1 record the details of the seal number and the sample label on the test record;
- .2 draw two sub-samples from the MARPOL sample; and
- .3 reseal the MARPOL sample and record the new reseal details on the test record.

3.3 The two sub-samples should be tested in succession, in accordance with the test method specified in Appendix V. For the purposes of this verification procedure, the results of the test analysis shall be referred to as “C” and “D”.

- .1 if the results of “C” and “D” are within the repeatability (r) of the test method, the results shall be considered valid; and
- .2 if the results of “C” and “D” are not within the repeatability (r) of the test method, both results shall be rejected and two new sub-samples shall be taken by the laboratory and analysed. The sample bottle should be resealed in accordance with paragraph 3.1.3 after the new sub-samples have been taken.

3.4 If the test results of “C” and “D” are valid, and the results of “A”, “B”, “C”, and “D” are within the reproducibility (R) of the test method then the laboratory shall average the results, which is referred to as “Y”.

- .1 if the result of “Y” is equal to or falls below the standards required by Annex VI, the fuel oil shall be deemed to meet the requirements; and
- .2 if the result of “Y” is greater than the standards required by Annex VI, then the fuel oil fails to meet the standards required by Annex VI.

3.5 If the result of “A”, “B”, “C”, and “D” are not within the reproducibility (R) of the test method then the Administration may discard all of the test results and, in its discretion, repeat the entire testing process.

3.6 The results obtained from the verification procedure are final.

ANNEX 6

DRAFT AMENDMENTS TO THE NO_x TECHNICAL CODE

Foreword

On 26 September 1997, the Conference of Parties to the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto (MARPOL 73/78) adopted, by Conference resolution 2, the Technical Code on Control of Emission of Nitrogen Oxides from Marine Diesel Engines (NO_x Technical Code). Following the entry into force, on 19 May 2005, of MARPOL Annex VI – Regulations for the Prevention of Air Pollution from Ships, each marine diesel engine to which regulation 13 of that Annex applies, must comply with the provisions of this Code. MEPC 53 in July 2005 agreed to the revision of MARPOL Annex VI and the NO_x Technical Code. That review was concluded at MEPC 58 in October 2008 and this version of the NO_x Technical Code, hereunder referred to as the Code, is an outcome of that process.

As general background information, the precursors to the formation of nitrogen oxides during the combustion process are nitrogen and oxygen. Together these compounds comprise 99% of the engine intake air. Oxygen will be consumed during the combustion process, with the amount of excess oxygen available being a function of the air/fuel ratio which the engine is operating under. The nitrogen remains largely unreacted in the combustion process; however, a small percentage will be oxidized to form various oxides of nitrogen. The nitrogen oxides (NO_x) which can be formed include nitric oxide (NO) and nitrogen dioxide (NO₂), while the amounts are primarily a function of flame or combustion temperature and, if present, the amount of organic nitrogen available from the fuel, NO_x formation is also a function of the time the nitrogen and the excess oxygen are exposed to the high temperatures associated with the diesel engine's combustion process. In other words, the higher the combustion temperature (e.g., high peak pressure, high compression ratio, high rate of fuel delivery, etc.), the greater the amount of NO_x formation. A slow speed diesel engine, in general, tends to have more NO_x formation than a high speed engine. NO_x has an adverse effect on the environment causing acidification, formation of tropospheric ozone, nutrient enrichment and contributes to adverse health effects globally.

The purpose of this Code is to provide mandatory procedures for the testing, survey and certification of marine diesel engines which will enable engine manufacturers, shipowners and Administrations to ensure that all applicable marine diesel engines comply with the relevant limiting emission values of NO_x as specified within regulation 13 of Annex VI. The difficulties of establishing with precision, the actual weighted average NO_x emission of marine diesel engines in service on vessels have been recognized in formulating a simple, practical set of requirements in which the means to ensure compliance with the allowable NO_x emissions, are defined.

Administrations are encouraged to assess the emissions performance of marine propulsion and auxiliary diesel engines on a test bed where accurate tests can be carried out under properly controlled conditions. Establishing compliance with regulation 13 of Annex VI at this initial stage is an essential feature of this Code. Subsequent testing on board the ship may inevitably be limited in scope and accuracy and its purpose shall be to infer or deduce the emission performance and to confirm that engines are installed, operated and maintained in accordance with the manufacturer's specifications and that any adjustments or modifications do not detract from the emissions performance established by initial testing and certification by the manufacturer.

Abbreviations, Subscripts and Symbols

Tables 1, 2, 3, and 4 below summarize the abbreviations, subscripts and symbols used throughout the Code, including specifications for the analytical instruments in appendix 3, calibration requirements for the analytic instruments contained in appendix 4, the formulae for calculation of gas mass flow as contained in chapter 5 and appendix 6 of this Code and the symbols used in respect of data for onboard verification surveys in chapter 6.

- .1 Table 1: symbols used to represent the chemical components of diesel engine gas emissions and calibration and span gases addressed throughout this Code;
- .2 Table 2: abbreviations for the analysers used in the measurement of gas emissions from diesel engines as specified in appendix 3 of this Code;
- .3 Table 3: symbols and subscripts of terms and variables used in chapter 5, chapter 6, appendix 4 and appendix 6 of this Code; and
- .4 Table 4: symbols for fuel composition used in chapter 5 and chapter 6 and appendix 6 of this Code.

Table 1 – Symbols and abbreviations for the chemical components

Symbol	Definition
CH ₄	Methane
C ₃ H ₈	Propane
CO	Carbon monoxide
CO ₂	Carbon dioxide
HC	Hydrocarbons
H ₂ O	Water
NO	Nitric oxide
NO ₂	Nitrogen dioxide
NO _x	Nitrogen oxides
O ₂	Oxygen

*Table 2 – Abbreviations for Analysers for measurement of diesel engine gaseous emissions
(refer to appendix 3 of this Code)*

CLD	Chemiluminescent detector
ECS	Electrochemical sensor
HCLD	Heated chemiluminescent
HFID	Heated flame ionization detector
NDIR	Non-dispersive infrared analyser
PMD	Paramagnetic detector
ZRDO	Zirconium dioxide sensor

Table 3 – Symbols and subscripts for terms and variables measurement methods
(refer to chapter 5, chapter 6, appendix 4 and appendix 6 of this Code)

Symbol	Term	Unit
A/F_{st}	Stoichiometric air to fuel ratio	1
c_x	Concentration in the exhaust (with suffix of the component nominating, d=dry or w=wet)	ppm % (V/V)
E_{CO_2}	CO ₂ quench of NO _x analyser	%
E_{H_2O}	Water quench of NO _x analyser	%
E_{NO_x}	Efficiency of NO _x converter	%
E_{O_2}	Oxygen analyser correction factor	1
λ	Excess air factor kg dry air/(kg fuel · A/F _{st})	1
f_a	Test condition parameter	1
f_c	Carbon factor	1
f_{fd}	Fuel specific factor for exhaust flow calculation on dry basis	1
f_{fw}	Fuel specific factor for exhaust flow calculation on wet basis	1
H_a	Absolute humidity of the intake air (g water / kg dry air)	g/kg
H_{SC}	Humidity of the charge air	g/kg
i	Subscript denoting an individual mode	1
k_{hd}	Humidity correction factor for NO _x for diesel engines	1
k_{wa}	Dry to wet correction factor for the intake air	1
k_{wr}	Dry to wet correction factor for the raw exhaust gas	1
n_d	Engine speed	min ⁻¹
n_{turb}	Turbocharger speed	min ⁻¹
$\%O_2I$	HC analyser percentage oxygen interference	%
p_a	Saturation vapour pressure of the engine intake air determined using a temperature value for the intake air measured at the same physical location as the measurements for p_b and R_a	kPa
p_b	Total barometric pressure	kPa
p_C	Charge air pressure	kPa
p_r	Water vapour pressure after cooling bath of the analysis system	kPa
p_s	Dry atmospheric pressure calculated by the following formula: $p_s = p_b - R_a \cdot p_a / 100$	kPa
p_{SC}	Saturation vapour pressure of the charge air	kPa
P	Uncorrected brake power	kW
P_{aux}	Declared total power absorbed by auxiliaries fitted for the test and not required by ISO 14396	kW
P_m	Maximum measured or declared power at the test engine speed under test conditions	kW
q_{mad}	Intake air mass flow rate on dry basis	kg/h
q_{maw}	Intake air mass flow rate on wet basis	kg/h
q_{mew}	Exhaust gas mass flow rate on wet basis	kg/h

q_{mf}	Fuel mass flow rate	kg/h
$q_{m\text{gas}}$	Emission mass flow rate of individual gas	g/h
R_a	Relative humidity of the intake air	%
r_h	Hydrocarbon response factor	1
ρ	Density	kg/m ³
s	Fuel rack position	
T_a	Intake air temperature determined at the engine intake	K
T_{caclin}	Charge air cooler, coolant inlet temperature	K
T_{caclout}	Charge air cooler, coolant outlet temperature	K
T_{Exh}	Exhaust gas temperature	K
T_{Fuel}	Fuel oil temperature	K
T_{Sea}	Seawater temperature	K
T_{SC}	Charge air/intercooled air temperature	K
T_{SCRef}	Charge air/intercooled air reference temperature	K
u	Ratio of exhaust component and exhaust gas densities	1
W_F	Weighting factor	1

Table 4 – Symbols for fuel composition

Symbol	Definition
w_{ALF}	H content of fuel, % m/m
w_{BET}	C content of fuel, % m/m
w_{GAM}	S content of fuel, % m/m
w_{DEL}	N content of fuel, % m/m
w_{EPS}	O content of fuel, % m/m
α	molar ratio (H/C)

Chapter 1

General

1.1 Purpose

1.1.1 The purpose of this Technical Code on Control of Emission of Nitrogen Oxides from Marine Diesel Engines, hereunder referred to as the Code, is to specify the requirements for the testing, survey and certification of marine diesel engines to ensure they comply with the nitrogen oxides (NO_x) emission limits of regulation 13 of Annex VI. All references to regulations within this Code refer to Annex VI.

1.2 Application

1.2.1 This Code applies to all marine diesel engines with a power output of more than 130 kW which are installed, or are designed and intended for installation, on board any ship subject to Annex VI, with the exception of those engines described in paragraph 1(b) of regulation 13. Regarding the requirements for survey and certification under regulation 5, this Code addresses only those requirements applicable to an engine's compliance with the NO_x emission limits.

1.2.2 For the purpose of the application of this Code, Administrations are entitled to delegate all functions required of an Administration by this Code to an organization authorized to act on behalf of the Administration¹. In every case, the Administration assumes full responsibility for the survey and certificate.

1.2.3 For the purpose of this Code, an engine shall be considered to be operated in compliance with the applicable NO_x limit of regulation 13 if it can be demonstrated that the weighted NO_x emissions from the engine are within those limits at the initial certification, annual, intermediate and renewal surveys and such other surveys as are required.

1.3 Definitions

1.3.1 *Nitrogen Oxide (NO_x) emissions* means the total emission of nitrogen oxides, calculated as the total weighted emission of NO₂ and determined using the relevant test cycles and measurement methods as specified in this Code.

1.3.2 *Substantial modification* of a marine diesel engine means:

- .1 For engines installed on ships constructed on or after 1 January 2000, *substantial modification* means any modification to an engine that could potentially cause the engine to exceed the applicable emission limit set out in regulation 13. Routine replacement of engine components by parts specified in the Technical File that do not alter emission characteristics shall not be considered a "substantial modification" regardless of whether one part or many parts are replaced.

¹ Refer to the Guidelines for the Authorization of Organizations Acting on Behalf of Administrations adopted by the Organization by resolution A.739(18) and to the Specifications on the Survey and Certification Functions of Recognized Organizations Acting on Behalf of the Administration adopted by the Organization by resolution A.789(19).

- .2 For engines installed on ships constructed before 1 January 2000, *substantial modification* means any modification made to an engine which increases its existing emission characteristics established by the Simplified Measurement method as described in 6.3 in excess of the allowances set out in 6.3.11. These changes include, but are not limited to, changes in its operations or in its technical parameters (e.g., changing camshafts, fuel injection systems, air systems, combustion chamber configuration, or timing calibration of the engine).

1.3.3 *Components* are those interchangeable parts which influence the NO_x emissions performance, identified by their design/parts number.

1.3.4 *Setting* means adjustment of an adjustable feature influencing the NO_x emissions performance of an engine.

1.3.5 *Operating values* are engine data, like cylinder peak pressure, exhaust gas temperature, etc., from the engine log which are related to the NO_x emission performance. These data are load-dependent.

1.3.6 The *EIAPP Certificate* is the Engine International Air Pollution Prevention Certificate which relates to NO_x emissions.

1.3.7 The *IAPP Certificate* is the International Air Pollution Prevention Certificate.

1.3.8 *Administration* has the same meaning as Article 2, sub-paragraph (5) of MARPOL 73/78.

1.3.9 *Onboard NO_x verification procedures* mean a procedure, which may include an equipment requirement, to be used on board at initial certification survey or at the renewal, annual or intermediate surveys, as required, to verify compliance with any of the requirements of this Code, as specified by the applicant for engine certification and approved by the Administration.

1.3.10 *Marine diesel engine* means any reciprocating internal combustion engine operating on liquid or dual fuel, to which regulation 13 applies, including booster/compound systems if applicable.

Where an engine is intended to be operated normally in the gas mode, i.e. with the main fuel gas and only a small amount of liquid pilot fuel, the requirements of regulation 13 have to be met only for this operation mode. Operation on pure liquid fuel resulting from restricted gas supply in cases of failures shall be exempted for the voyage to the next appropriate port for the repair of the failure.

1.3.11 *Rated power* means the maximum continuous rated power output as specified on the nameplate and in the Technical File of the marine diesel engine to which regulation 13 and the Code apply.

1.3.12 *Rated speed* is the crankshaft revolutions per minute at which the rated power occurs as specified on the nameplate and in the Technical File of the marine diesel engine.

1.3.13 *Brake power* is the observed power measured at the crankshaft or its equivalent, the engine being equipped only with the standard auxiliaries necessary for its operation on the test bed.

1.3.14 *Onboard conditions* mean that an engine is:

- .1 installed on board and coupled with the actual equipment which is driven by the engine; and
- .2 under operation to perform the purpose of the equipment.

1.3.15 A *Technical File* is a record containing all details of parameters, including components and settings of an engine, which may influence the NO_x emission of the engine, in accordance with 2.4 of this Code.

1.3.16 A *Record Book of Engine Parameters* is the document used in connection with the Engine Parameter Check method for recording all parameter changes, including components and engine settings, which may influence NO_x emission of the engine.

1.3.17 An *Approved Method* is a method for a particular engine, or a range of engines, which, when applied to the engine, will ensure that the engine complies with the applicable NO_x limit as detailed in regulation 13(7).

1.3.18 An *Existing Engine* is an engine which is subject to regulation 13(7).

1.3.19 An *Approved Method File* is a document which describes an Approved Method and its means of survey.

Chapter 2

Survey and certification

2.1 General

2.1.1 Each marine diesel engine specified in 1.2, except as otherwise permitted by this Code, shall be subject to the following surveys:

- .1 A pre-certification survey which shall be such as to ensure that the engine, as designed and equipped, complies with the applicable NO_x emission limit contained in regulation 13. If this survey confirms compliance, the Administration shall issue an Engine International Air Pollution Prevention (EIAPP) Certificate.
- .2 An initial certification survey which shall be conducted on board a ship after the engine is installed but before it is placed in service. This survey shall be such as to ensure that the engine, as installed on board the ship, including any modifications and/or adjustments since the pre-certification, if applicable, complies with the applicable NO_x emission limit contained in regulation 13. This survey, as part of the ship's initial survey, may lead to either the issuance of a ship's initial International Air Pollution Prevention (IAPP) Certificate or an amendment of a ship's valid IAPP Certificate reflecting the installation of a new engine.
- .3 Renewal, annual and intermediate surveys, which shall be conducted as part of a ship's surveys required by regulation 5, to ensure the engine continues to fully comply with the provisions of this Code.
- .4 An initial engine certification survey which shall be conducted on board a ship every time a major conversion, as defined in regulation 13, is made to an engine to ensure that the engine complies with the applicable NO_x emission limit contained in regulation 13. This will result in the issue, if applicable, of an EIAPP Certificate and the amendment of the IAPP Certificate.

2.1.2 To comply with the various survey and certification requirements described in 2.1.1, there are methods included in this Code from which the engine manufacturer, ship builder or shipowner, as applicable, can choose to measure, calculate, test or verify an engine for its NO_x emissions, as follows:

- .1 test bed testing for the pre-certification survey in accordance with chapter 5;
- .2 onboard testing for an engine not pre-certificated for a combined pre certification and initial certification survey in accordance with the full test bed requirements of chapter 5;
- .3 onboard Engine Parameter Check method, using the component data, engine settings and engine performance data as specified in the Technical File, for confirmation of compliance at initial, renewal, annual and intermediate surveys for pre-certified engines or engines that have undergone modifications or adjustments to NO_x critical components, settings and operating values, since they were last surveyed, in accordance with 6.2;

- .4 onboard Simplified Measurement method for confirmation of compliance at renewal, annual and intermediate surveys or confirmation of pre-certified engines for initial certification surveys, in accordance with 6.3 when required; or
- .5 onboard Direct Measurement and Monitoring method for confirmation of compliance at renewal, annual and intermediate surveys only, in accordance with 6.4.

2.2 Procedures for pre-certification of an engine

2.2.1 Prior to installation on board, every marine diesel engine (Individual Engine), except as allowed by 2.2.2 and 2.2.4, shall:

- .1 be adjusted to meet the applicable NO_x emission limit,
- .2 have its NO_x emissions measured on a test bed in accordance with the procedures specified in chapter 5 of this Code, and
- .3 be pre-certified by the Administration, as documented by issuance of an EIAPP Certificate.

2.2.2 For the pre-certification of serially manufactured engines, depending on the approval of the Administration, the Engine Family or the Engine Group concept may be applied (see chapter 4). In such a case, the testing specified in 2.2.1.2 is required only for the Parent Engine(s) of an Engine Family or Engine Group.

2.2.3 The method of obtaining pre-certification for an engine is for the Administration to:

- .1 certify a test of the engine on a test bed;
- .2 verify that all engines tested, including, if applicable, those to be delivered within an Engine Family or Engine Group, meet the applicable NO_x limit; and
- .3 if applicable, verify that the selected Parent Engine(s) is representative of an Engine Family or Engine Group.

2.2.4 There are engines which, due to their size, construction and delivery schedule, cannot be pre-certified on a test bed. In such cases, the engine manufacturer, shipowner or ship builder shall make application to the Administration requesting an onboard test (see 2.1.2.2). The applicant must demonstrate to the Administration that the onboard test fully meets all of the requirements of a test bed procedure as specified in chapter 5 of this Code. Such a survey may be accepted for an Individual Engine or for an Engine Group represented by the Parent Engine only, but it shall not be accepted for an Engine Family certification. In no case shall an allowance be granted for possible deviations of measurements if an initial survey is carried out on board a ship without any valid pre-certification test. For engines undergoing an onboard certification test, in order to be issued with an EIAPP Certificate, the same procedures apply as if the engine had been pre certified on a test bed.

2.2.5 NO_x reducing devices

- .1 Where a NO_x reducing device is to be included within the EIAPP certification, it must be recognized as a component of the engine and its presence shall be recorded in the engine's Technical File. The engine shall be tested, at the pre-certification test, with the NO_x reducing device fitted.
- .2 In those cases where a NO_x reducing device has been fitted due to failure to meet the required emission value at the pre-certification test, in order to receive an EIAPP Certificate for this assembly, the engine, including the reducing device, as installed, must be re-tested to show compliance with the applicable NO_x emission limit. However, in this case, the assembly may be re-tested in accordance with the Simplified Measurement method in accordance with 6.3. In no case shall the allowances given in 6.3.11 be granted.
- .3 Where, in accordance with 2.2.5.2, the effectiveness of the NO_x reducing device is verified by use of the Simplified Measurement method, that test report shall be added as an adjunct to the pre-certification test report which demonstrated the failure of the engine alone to meet the required emission value. Both test reports shall be submitted to the Administration, and test report data, as detailed in 2.4.1.5, covering both tests shall be included in the engine's Technical File.
- .4 The Simplified Measurement method used as part of the process to demonstrate compliance in accordance with 2.2.5.2 may only be accepted in respect of the engine and NO_x reducing device on which its effectiveness was demonstrated, and it shall not be accepted for Engine Family or Engine Group certification.
- .5 In both cases as given in 2.2.5.1 and 2.2.5.2, the NO_x reducing device shall be included on the EIAPP Certificate together with the emission value obtained with the device in operation and all other records as required by the Administration. The engine's Technical File shall also contain onboard NO_x verification procedures for the device to ensure it is operating correctly.

2.2.6 Where, due to changes of component design, it is necessary to establish a new Engine Family or Engine Group but there is no available Parent Engine the engine builder may apply to the Administration to use the previously obtained Parent Engine test data modified at each specific mode of the applicable test cycle so as to allow for the resulting changes in NO_x emission values. In such cases the engine used to determine the modification emission data shall correspond in accordance with the requirements of 4.4.6.1, 4.4.6.2 and 4.4.6.3 to the previously used Parent Engine. Where more than one component is to be changed the combined effect resulting from those changes is to be demonstrated by a single set of test results.

2.2.7 For pre-certification of engines within an Engine Family or Engine Group, an EIAPP Certificate shall be issued in accordance with procedures established by the Administration to the Parent Engine(s) and to every Member Engine produced under this certification to accompany the engines throughout their life whilst installed on ships under the authority of that Administration.

2.2.8 Issue of certification by the Administration of the country in which the engine is built

- .1 When an engine is manufactured outside the country of the Administration of the ship on which it will be installed, the Administration of the ship may request the Administration of the country in which the engine is manufactured to survey the engine. Upon satisfaction that the applicable requirements of regulation 13 are complied with pursuant to this Code, the Administration of the country in which the engine is manufactured shall issue or authorize the issuance of the EIAPP Certificate.
- .2 A copy of the certificate(s) and a copy of the survey report shall be transmitted as soon as possible to the requesting Administration.
- .3 A certificate so issued shall contain a statement to the effect that it has been issued at the request of the Administration.

2.2.9 Guidance in respect of the pre-certification survey and certification of marine diesel engines, as described in chapter 2 of this Code, is given in the relevant flow chart in appendix 2 of this Code. Where discrepancies exist, the text of chapter 2 takes precedence.

2.2.10 A model form of an EIAPP Certificate is attached as appendix 1 to this Code.

2.3 Procedures for certification of an engine

2.3.1 For those engines which have not been adjusted or modified relative to the original specification of the manufacturer, the provision of a valid EIAPP Certificate should suffice to demonstrate compliance with the applicable NO_x limits.

2.3.2 After installation on board, it shall be determined to what extent an engine has been subjected to further adjustments and/or modifications which could affect the NO_x emission. Therefore, the engine, after installation on board, but prior to issuance of the IAPP Certificate, shall be inspected for modifications and be approved using the onboard NO_x verification procedures and one of the methods described in 2.1.2.

2.3.3 There are engines which, after pre-certification, need final adjustment or modification for performance optimization. In such a case, the Engine Group concept could be used to ensure that the engine still complies with the applicable limit.

2.3.4 Every marine diesel engine installed on board a ship shall be provided with a Technical File. The Technical File shall be prepared by the applicant for engine certification and approved by the Administration, and is required to accompany an engine throughout its life on board ships. The Technical File shall contain the information as specified in 2.4.1.

2.3.5 Where a NO_x reducing device is installed and needed to comply with the NO_x limits, one of the options providing a ready means for verifying compliance with regulation 13 is the Direct Measurement and Monitoring method in accordance with 6.4. However, depending on the technical possibilities of the device used, subject to the approval of the Administration, other relevant parameters could be monitored.

2.3.6 Where, for the purpose of achieving NO_x compliance, an additional substance is introduced, such as ammonia, urea, steam, water, fuel additives, etc., a means of monitoring the consumption of such substance shall be provided. The Technical File shall provide sufficient information to allow a ready means of demonstrating that the consumption of such additional substances is consistent with achieving compliance with the applicable NO_x limit.

2.3.7 Where the Engine Parameter Check method in accordance with 6.2 is used to verify compliance, if any adjustments or modifications are made to an engine after its pre-certification, a full record of such adjustments or modifications shall be recorded in the engine's Record Book of Engine Parameters.

2.3.8 If all of the engines installed on board are verified to remain within the parameters, components, and adjustable features recorded in the Technical File, the engines should be accepted as performing within the applicable NO_x limit specified in regulation 13. In this case, provided all other applicable requirements of the Annex are complied with, an IAPP Certificate should then be issued to the ship.

2.3.9 If any adjustment or modification is made which is outside the approved limits documented in the Technical File, the IAPP Certificate may be issued only if the overall NO_x emission performance is verified to be within the required limits by: onboard Simplified Measurement in accordance with 6.3; or, reference to the test bed testing for the relevant Engine Group approval showing that the adjustments or modifications do not exceed the applicable NO_x emission limit. At surveys after the initial engine survey, the Direct Measurement and Monitoring method in accordance with 6.4, as approved by the Administration, may alternatively be used.

2.3.10 The Administration may, at its own discretion, abbreviate or reduce all parts of the survey on board, in accordance with this Code, to an engine which has been issued an EIAPP Certificate. However, the entire survey on board must be completed for at least one cylinder and/or one engine in an Engine Family or Engine Group, if applicable, and the abbreviation may be made only if all the other cylinders and/or engines are expected to perform in the same manner as the surveyed engine and/or cylinder. As an alternative to the examination of fitted components, the Administration may conduct that part of the survey on spare parts carried on board provided they are representative of the components fitted.

2.3.11 Guidance in respect of the survey and certification of marine diesel engines at initial, renewal, annual and intermediate surveys, as described in chapter 2 of this Code, is given in the flow charts in appendix 2 of this Code. Where discrepancies exist, the text of chapter 2 takes precedence.

2.4 Technical File and onboard NO_x verification procedures

2.4.1 To enable an Administration to perform the engine surveys described in 2.1, the Technical File required by 2.3.4 shall, at a minimum, contain the following information:

- .1 identification of those components, settings and operating values of the engine which influences its NO_x emissions including any NO_x reducing device or system;
- .2 identification of the full range of allowable adjustments or alternatives for the components of the engine;

- .3 full record of the relevant engine's performance, including the engine's rated speed and rated power;
- .4 a system of onboard NO_x verification procedures to verify compliance with the NO_x emission limits during onboard verification surveys in accordance with chapter 6;
- .5 a copy of the relevant Parent Engine test data, as given in section 2 of appendix 5 of this Code;
- .6 if applicable, the designation and restrictions for an engine which is an engine within an Engine Family or Engine Group;
- .7 specifications of those spare parts/components which, when used in the engine, according to those specifications, will result in continued compliance of the engine with the applicable NO_x emission limit; and
- .8 the EIAPP Certificate, as applicable.

2.4.2 As a general principle, onboard NO_x verification procedures shall enable a surveyor to easily determine if an engine has remained in compliance with the applicable requirements of regulation 13. At the same time, it shall not be so burdensome as to unduly delay the ship or to require in-depth knowledge of the characteristics of a particular engine or specialist measuring devices not available on board.

2.4.3 The onboard NO_x verification procedure shall be one of the following methods:

- .1 Engine Parameter Check method in accordance with 6.2 to verify that an engine's component, setting and operating values have not deviated from the specifications in the engine's Technical File;
- .2 Simplified Measurement method in accordance with 6.3; or
- .3 Direct Measurement and Monitoring method in accordance with 6.4.

2.4.4 When considering which onboard NO_x verification procedures should be included in an engine's Technical File to verify whether an engine complies with the NO_x emission limits during the required onboard verification surveys, other than at an engine's initial onboard survey, any of the three onboard NO_x verification procedures as specified in 6.1 may be applied. However, the procedures associated with the method applied are to be approved by the Administration. If the method differs from the verification procedure method specified in the Technical File as originally approved, the procedure of the method needs to be either added as an amendment to the Technical File or appended as an alternative to the procedure given in the Technical File. Thereafter the shipowner may choose which of the approved methods is to be used to demonstrate compliance.

2.4.5 In addition to the method specified by the engine manufacturer and given in the Technical File, as approved by the Administration for the initial certification in the engine, the ship owner shall have the option of direct measurement of NO_x emissions in accordance with 6.4. Such data may take the form of spot checks logged with other engine operating data on a regular basis and over the full range of engine operation or may result from continuous monitoring and data storage. Data must be current (taken within the last 30 days) and must have been acquired using the test procedures cited in this Code. These monitoring records shall be kept on board for three months for verification purposes by a Party in accordance with regulation 10. Data shall also be corrected for ambient conditions and fuel specification, and measuring equipment must be checked for correct calibration and operation, in accordance with the approved procedures given in the Onboard Operating Manual. Where exhaust gas after-treatment devices are fitted which influence the NO_x emissions, the measuring point(s) must be located downstream of such devices.

Chapter 3

Nitrogen oxides emission standards

3.1 Maximum allowable NO_x emission limits for marine diesel engines

3.1.1 The maximum allowable NO_x emission limit values are given by paragraphs 3, 4, 5(a) and 7(d) of regulation 13 as applicable. The total weighted NO_x emissions, as measured and calculated, corrected to one decimal place, in accordance with the procedures in this Code, shall be equal to or less than the applicable calculated value corresponding to the rated speed of the engine.

3.1.2 When the engine operates on test fuel oils in accordance with 5.3, the total emission of nitrogen oxides (calculated as the total weighted emission of NO₂) shall be determined using the relevant test cycles and measurement methods as specified in this Code.

3.1.3 An engine's exhaust emissions limit value, given from the formulae included in paragraph 3, 4, 5(a) or 7(d) of regulation 13 as applicable, and the actual calculated exhaust emissions value, corrected to one decimal place for the engine, shall be stated on the engine's EIAPP Certificate. If an engine is a Member Engine of an Engine Family or Engine Group, it is the relevant Parent Engine emission value that is compared to the applicable limit value for that Engine Family or Engine Group. The limit value given here shall be the limit value for the Engine Family or Engine Group based on the highest engine speed to be included in that Engine Family or Engine Group, in accordance with paragraphs 3, 4, 5(a) and (7d) of regulation 13, irrespective of the rated speed of the Parent Engine or the rated speed of the particular engine as given on the engine's EIAPP certificate.

3.1.4 In the case of an engine to be certified in accordance with paragraph 5(a) of regulation 13 the specific emission at each individual mode point shall not exceed the applicable NO_x emission limit value by more than 50% except as follows:

- .1 The 10% mode point in the D2 test cycle specified in 3.2.5.
- .2 The 10% mode point in the C1 test cycle specified in 3.2.6.
- .3 The idle mode point in the C1 test cycle specified in 3.2.6.

3.2 Test cycles and weighting factors to be applied

3.2.1 For every Individual Engine or Parent Engine of an Engine Family or Engine Group, one or more of the relevant test cycles specified in 3.2.2 to 3.2.6 shall be applied for verification of compliance with the applicable NO_x emission limit contained in regulation 13.

3.2.2 For constant speed marine diesel engines for ship main propulsion, including diesel electric drive, test cycle E2 shall be applied in accordance with table 1.

3.2.3 For an engine connected to a controllable pitch propeller, irrespective of combinator curve, test cycle E2 shall be applied in accordance with table 1.

Table 1 – Test cycle for “Constant-speed main propulsion” application (Including diesel-electric drive and all controllable-pitch propeller installations)

Test cycle type E2	Speed	100%	100%	100%	100% ^{*2}
	Power	100%	75%	50%	25%
	Weighting factor	0.2	0.5	0.15	0.15

3.2.4 For propeller law operated main and propeller law operated auxiliary engines, test cycle E3 shall be applied in accordance with table 2.

Table 2 – Test cycle for “Propeller-law-operated main and propeller-law-operated auxiliary engine” application

Test cycle type E3	Speed	100%	91%	80%	63%
	Power	100%	75%	50%	25%
	Weighting factor	0.2	0.5	0.15	0.15

3.2.5 For constant speed auxiliary engines, test cycle D2 shall be applied in accordance with table 3.

Table 3 – Test cycle for “Constant-speed auxiliary engine” application

Test cycle type D2	Speed	100%	100%	100%	100%	100%
	Power	100%	75%	50%	25%	10%
	Weighting factor	0.05	0.25	0.3	0.3	0.1

3.2.6 For variable speed, variable load auxiliary engines, not included above, test cycle C1 shall be applied in accordance with table 4.

Table 4 – Test cycle for “Variable-speed, variable-load auxiliary engine” application

Test cycle type C1	Speed	Rated				Intermediate			Idle
	Torque	100%	75%	50%	10%	100%	75%	50%	0%
	Weighting factor	0.15	0.15	0.15	0.1	0.1	0.1	0.1	0.15

3.2.7 The torque figures given in test cycle C1 are percentage values which represent for a given test mode the ratio of the required torque to the maximum possible torque at this given speed.

² There are exceptional cases, including large bore engines intended for E2 applications, in which, due to their oscillating masses and construction, engines cannot be run at low load at nominal speed without the risk of damaging essential components. In such cases, the engine manufacturer shall make application to the Administration that the test cycle as given in table 1 above may be modified for the 25% power mode with regard to the engine speed. The adjusted engine speed at 25% power, however, shall be as close as possible to the rated engine speed, as recommended by the engine manufacturer and approved by the Administration. The applicable weighting factors for the test cycle shall remain unchanged.

3.2.8 The intermediate speed for test cycle C1 shall be declared by the manufacturer, taking into account the following requirements:

- .1 For engines which are designed to operate over a speed range on a full load torque curve, the intermediate speed shall be the declared maximum torque speed if it occurs between 60% and 75% of rated speed.
- .2 If the declared maximum torque speed is less than 60% of rated speed, then the intermediate speed shall be 60% of the rated speed.
- .3 If the declared maximum torque speed is greater than 75% of the rated speed, then the intermediate speed shall be 75% of rated speed.
- .4 For engines which are not designed to operate over a speed range on the full load torque curve at steady state conditions, the intermediate speed will typically be between 60% and 70% of the maximum rated speed.

3.2.9 If an engine manufacturer applies for a new test cycle application on an engine already certified under a different test cycle specified in 3.2.2 to 3.2.6, then it may not be necessary for that engine to undergo the full certification process for the new application. In this case, the engine manufacturer may demonstrate compliance by recalculation, by applying the measurement results from the specific modes of the first certification test to the calculation of the total weighted emissions for the new test cycle application, using the corresponding weighting factors from the new test cycle.

Chapter 4

Approval for serially manufactured engines: Engine Family and Engine Group concepts

4.1 General

4.1.1 To avoid certification testing of every engine for compliance with the NO_x emission limits, one of two approval concepts may be adopted, namely the Engine Family or the Engine Group concept.

4.1.2 The Engine Family concept may be applied to any series produced engines which, through their design are proven to have similar NO_x emission characteristics, are used as produced, and, during installation on board, require no adjustments or modifications which could adversely affect the NO_x emissions.

4.1.3 The Engine Group concept may be applied to a smaller series of engines produced for similar engine application and which require minor adjustments and modifications during installation or in service on board.

4.1.4 Initially the engine manufacturer may, at its discretion, determine whether engines should be covered by the Engine Family or Engine Group concept. In general, the type of application shall be based on whether the engines will be modified, and to what extent, after testing on a test bed.

4.2 Documentation

4.2.1 All documentation for certification must be completed and suitably stamped by the duly authorized Authority as appropriate. This documentation shall also include all terms and conditions, including replacement of spare parts, to ensure that an engine is maintained in compliance with the required emission standards.

4.2.2 For an engine within an Engine Family or Engine Group, the required documentation for the Engine Parameter Check method is specified in 6.2.2.

4.3 Application of the Engine Family concept

4.3.1 The Engine Family concept provides the possibility of reducing the number of engines which must be submitted for approval testing, while providing safeguards that all engines within the Engine Family comply with the approval requirements. In the Engine Family concept, engines with similar emission characteristics and design are represented by a Parent Engine.

4.3.2 Engines that are series produced and not intended to be modified may be covered by the Engine Family concept.

4.3.3 The selection procedure for the Parent Engine is such that the selected engine incorporates those features which will most adversely affect the NO_x emission level. This engine, in general, shall have the highest NO_x emission level among all of the engines in the Engine Family.

4.3.4 On the basis of tests and engineering judgement, the manufacturer shall propose which engines belong to an Engine Family, which engine(s) produce the highest NO_x emissions, and which engine(s) should be selected for certification testing.

4.3.5 The Administration shall review for certification approval the selection of the Parent Engine within the Engine Family and shall have the option of selecting a different engine, either for approval or production conformity testing, in order to have confidence that all engines within the Engine Family comply with the applicable NO_x emission limit.

4.3.6 The Engine Family concept does allow minor adjustments to the engines through adjustable features. Marine diesel engines equipped with adjustable features must comply with all requirements for any adjustment within the physically available range. A feature is not considered adjustable if it is permanently sealed or otherwise not normally accessible. The Administration may require that adjustable features be set to any specification within its adjustable range for certification or in-use testing to determine compliance with the requirements.

4.3.7 Before granting an Engine Family approval, the Administration shall take the necessary measures to verify that adequate arrangements have been made to ensure effective control of the conformity of production. This may include, but is not limited to:

- .1 The connection between the NO_x critical component part or identification numbers as proposed for the Engine Family and the drawing numbers (and revision status if applicable) defining those components;
- .2 The means by which the Administration will be able, at the time of a survey, to verify that the drawings used for the production of the NO_x critical components correspond to the drawings established as defining the Engine Family;
- .3 Drawing revision control arrangements. Where it is proposed by a manufacturer that revisions to the NO_x critical component drawings defining an Engine Family may be undertaken through the life of an engine, then the conformity of production scheme would need to demonstrate the procedures to be adopted to cover the cases where revisions will, or will not, affect NO_x emissions. These procedures shall cover drawing number allocation, effect on the identification markings on the NO_x critical components and the provision for providing the revised drawings to the Administration responsible for the original Engine Family approval;

Where these revisions may affect the NO_x emissions the means to be adopted to assess or verify performance against the Parent Engine performance are to be stated together with the subsequent actions to be taken regarding advising the Administration and, where necessary, the declaration of a new Parent Engine prior to the introduction of those modifications into service;
- .4 The implemented procedures that ensure any NO_x critical component spare parts supplied to a certified engine will be identified as given in the approved Technical File and hence will be produced in accordance with the drawings as defining the Engine Family; or
- .5 Equivalent arrangements as approved by the Administration.

4.3.8 *Guidance for the selection of an Engine Family*

4.3.8.1 The Engine Family shall be defined by basic characteristics which must be common to all engines within the Engine Family. In some cases there may be interaction of parameters; these effects must also be taken into consideration to ensure that only engines with similar exhaust emission characteristics are included within an Engine Family, e.g., the number of cylinders may become a relevant parameter on some engines due to the charge air or fuel system used, but with other designs, exhaust emissions characteristics may be independent of the number of cylinders or configuration.

4.3.8.2 The engine manufacturer is responsible for selecting those engines from their different models of engines that are to be included in an Engine Family. The following basic characteristics, but not specifications, shall be common among all engines within an Engine Family:

- .1 combustion cycle
 - 2-stroke cycle
 - 4-stroke cycle
- .2 cooling medium
 - air
 - water
 - oil
- .3 individual cylinder displacement
 - to be within a total spread of 15%
- .4 number of cylinders and cylinder configuration
 - applicable in certain cases only, e.g., in combination with exhaust gas cleaning devices
- .5 method of air aspiration
 - naturally aspirated
 - pressure charged
- .6 fuel type
 - distillate/residual fuel oil
 - dual fuel
- .7 combustion chamber
 - open chamber
 - divided chamber
- .8 valve and porting, configuration, size and number
 - cylinder head
 - cylinder wall
- .9 fuel system type
 - pump-line-injector
 - in-line
 - distributor

- single element
- unit injector
- gas valve

- .10 miscellaneous features
- exhaust gas re-circulation
 - water/emulsion injection
 - air injection
 - charge cooling system
 - exhaust after-treatment
 - reduction catalyst
 - oxidation catalyst
 - thermal reactor
 - particulates trap

4.3.8.3 If there are engines which incorporate other features which could be considered to affect NO_x exhaust emissions, these features must be identified and taken into account in the selection of the engines to be included in the Engine Family.

4.3.9 *Guidance for selecting the Parent Engine of an Engine Family*

4.3.9.1 The method of selection of the Parent Engine for NO_x measurement shall be agreed to and approved by the Administration. The method shall be based upon selecting an engine which incorporates engine features and characteristics which, from experience, are known to produce the highest NO_x emissions expressed in grams per kilowatt hour (g/kWh). This requires detailed knowledge of the engines within the Engine Family. Under certain circumstances, the Administration may conclude that the worst case NO_x emission rate of the family can best be characterized by testing a second engine. Thus, the Administration may select an additional engine for test based upon features which indicate that it may have the highest NO_x emission levels of the engines within that Engine Family. If the range of engines within the Engine Family incorporate other variable features which could be considered to affect NO_x emissions, these features must also be identified and taken into account in the selection of the Parent Engine.

4.3.9.2 The Parent Engine shall have the highest emission value for the applicable test cycle.

4.3.10 *Certification of an Engine Family*

4.3.10.1 The certification shall include a list, to be prepared and maintained by the engine manufacturer and approved by the Administration, of all engines and their specifications accepted under the same Engine Family, the limits of their operating conditions and the details and limits of engine adjustments that may be permitted.

4.3.10.2 A pre-certificate, or EIAPP Certificate, shall be issued for a Member Engine of an Engine Family in accordance with this Code which certifies that the Parent Engine meets the applicable NO_x limit specified in regulation 13. Where Member Engine pre-certification requires the measurement of some performance values, the calibration of the equipment used for those measurements shall be in accordance with the requirements of 1.3 of appendix 4 of this Code.

4.3.10.3 When the Parent Engine of an Engine Family is tested and gaseous emissions measured under the most adverse conditions specified within this Code and confirmed as complying with the applicable maximum allowable emission limits as given in 3.1, the results of the test and NO_x measurement shall be recorded in the EIAPP Certificate issued for the particular Parent Engine and for all Member Engines of the Engine Family.

4.3.10.4 If two or more Administrations agree to accept each other's EIAPP Certificates, then an entire Engine Family, certified by one of these Administrations, shall be accepted by the other Administrations which entered into that agreement with the original certifying Administration, unless the agreement specified otherwise. Certificates issued under such agreements shall be acceptable as prima facie evidence that all engines included in the certification of the Engine Family comply with the specific NO_x emission requirements. There is no need for further evidence of compliance with regulation 13 if it is verified that the installed engine has not been modified and the engine adjustment is within the range permitted in the Engine Family certification.

4.3.10.5 If the Parent Engine of an Engine Family is to be certified in accordance with an alternative standard or a different test cycle than allowed by this Code, the manufacturer must prove to the Administration that the weighted average NO_x emissions for the appropriate test cycles fall within the relevant limit values under regulation 13 and this Code before the Administration may issue an EIAPP Certificate.

4.4 Application of the Engine Group concept

4.4.1 Engine Group engines normally require adjustment or modification to suit the on-board operating conditions but these adjustments or modifications shall not result in NO_x emissions exceeding the applicable limits in regulation 13.

4.4.2 The Engine Group concept also provides the possibility for a reduction in approval testing for modifications to engines in production or in service.

4.4.3 In general, the Engine Group concept may be applied to any engine type having the same design features as specified in 4.4.6, but individual engine adjustment or modification after test bed measurement is allowed. The range of engines in an Engine Group and choice of Parent Engine shall be agreed to and approved by the Administration.

4.4.4 The application for the Engine Group concept, if requested by the engine manufacturer or another party, shall be considered for certification approval by the Administration. If the engine owner, with or without technical support from the engine manufacturer, decides to perform modifications on a number of similar engines in the owner's fleet, the owner may apply for an Engine Group certification. The Engine Group may be based on a Parent Engine which is a test engine on the test bench. Typical applications are similar modifications of similar engines in similar operational conditions. If a party other than the engine manufacturer applies for engine certification, the applicant for the engine certification takes on the responsibilities of the engine manufacturer as elsewhere given within this Code.

4.4.5 Before granting an initial Engine Group approval for serially produced engines, the Administration shall take the necessary measures to verify that adequate arrangements have been made to ensure effective control of the conformity of production. The requirements of 4.3.7 apply *mutatis mutandis* to this section. This requirement may not be necessary for Engine Groups established for the purpose of engine modification on board after an EIAPP Certificate has been issued.

4.4.6 *Guidance for the selection of an Engine Group*

4.4.6.1 The Engine Group may be defined by basic characteristics and specifications in addition to the parameters defined in 4.3.8 for an Engine Family.

4.4.6.2 The following parameters and specifications shall be common to engines within an Engine Group:

- .1 bore and stroke dimensions;
- .2 method and design features of pressure charging and exhaust gas system:
 - constant pressure;
 - pulsating system;
- .3 method of charge air cooling system:
 - with/without charge air cooler;
- .4 design features of the combustion chamber that effect NO_x emission;
- .5 design features of the fuel injection system, plunger and injection cam which may profile basic characteristics that effect NO_x emission; and
- .6 rated power at rated speed. The permitted ranges of engine power (kW/cylinder) and/or rated speed are to be declared by the manufacturer and approved by the Administration.

4.4.6.3 Generally, if the criteria required by 4.4.6.2 are not common to all engines within a prospective Engine Group, then those engines may not be considered as an Engine Group. However, an Engine Group may be accepted if only one of those criteria is not common for all of the engines within a prospective Engine Group.

4.4.7 *Guidance for allowable adjustment or modification within an Engine Group*

4.4.7.1 Minor adjustments and modifications in accordance with the Engine Group concept are allowed after pre-certification or final test bed measurement within an Engine Group upon agreement of the parties concerned and approval of the Administration, if:

- .1 an inspection of emission-relevant engine parameters and/or provisions of the onboard NO_x verification procedures of the engine and/or data provided by the engine manufacturer confirm that the adjusted or modified engine complies with the applicable NO_x emission limits. The engine test bed results in respect of NO_x emissions may be accepted as an option for verifying on-board adjustments or modifications to an engine within an Engine Group; or
- .2 onboard measurement confirms that the adjusted or modified engine complies with the applicable NO_x emission limits.

4.4.7.2 Examples of adjustments and modifications within an Engine Group that may be permitted, but are not limited to those described below:

- .1 For onboard conditions, adjustment of:
 - injection timing for compensation of fuel property differences,
 - injection timing for optimization of maximum cylinder pressure,
 - fuel delivery differences between cylinders.

- .2 For performance optimization, modification of:
 - turbocharger,
 - injection pump components,
 - plunger specification,
 - delivery valve specification,
 - injection nozzles,
 - cam profiles,
 - intake and/or exhaust valve,
 - injection cam,
 - combustion chamber.

4.4.7.3 The above examples of modifications after a test-bed trial concern essential improvements of components or engine performance during the life of an engine. This is one of the main reasons for the existence of the Engine Group concept. The Administration, upon application, may accept the results from a demonstration test carried out on one engine, possibly a test engine, indicating the effects of the modifications on the NO_x level which may be accepted for all engines within that Engine Group without requiring certification measurements on each Member Engine of the Engine Group.

4.4.8 *Guidance for the selection of the Parent Engine of an Engine Group*

4.4.8.1 The selection of the Parent Engine shall be in accordance with the criteria in 4.3.9, as applicable. It is not always possible to select a Parent Engine from small-volume production engines in the same way as the mass-produced engines (Engine Family). The first engine ordered may be registered as the Parent Engine. Furthermore at the pre-certification test where a Parent Engine is not adjusted to the engine builder defined reference or maximum tolerance operating conditions (which may include, but not limited to, maximum combustion pressure, compression pressure, exhaust back pressure, charge air temperature) for the Engine Group, the measured NO_x emission values shall be corrected to the defined reference and maximum tolerance conditions on the basis of emission sensitivity tests on other representative engines. The resulting corrected average weighted NO_x emission value under reference conditions is to be stated in 1.9.7 of the Supplement to the EIAPP Certificate. In no case is the effect of the reference condition tolerances to result in an emission value which would exceed the applicable NO_x emission limit as required by regulation 13. The method used to select the Parent Engine to represent the Engine Group, the reference values and the applied tolerances shall be agreed to and approved by the Administration.

4.4.9 *Certification of an Engine Group*

4.4.9.1 The requirements of 4.3.10 apply *mutatis mutandis* to this section.

Chapter 5

Procedures for NO_x emission measurements on a test bed

5.1 General

5.1.1 This procedure shall be applied to every initial approval testing of a marine diesel engine regardless of the location of that testing (the methods described in 2.1.2.1 and 2.1.2.2).

5.1.2 This chapter specifies the measurement and calculation methods for gaseous exhaust emissions from reciprocating internal-combustion engines under steady-state conditions, necessary for determining the average weighted value for the NO_x exhaust gas emission.

5.1.3 Many of the procedures described below are detailed accounts of laboratory methods, since determining an emissions value requires performing a complex set of individual measurements, rather than obtaining a single measured value. Thus, the results obtained depend as much on the process of performing the measurements as they depend on the engine and test method.

5.1.4 This chapter includes the test and measurement methods, test run and test report as a procedure for a test-bed measurement.

5.1.5 In principle, during emission tests, an engine shall be equipped with its auxiliaries in the same manner as it would be used on board.

5.1.6 For many engine types within the scope of this Code, the auxiliaries which may be fitted to the engine in service may not be known at the time of manufacture or certification. It is for this reason that the emissions are expressed on the basis of brake power as defined in 1.3.13.

5.1.7 When it is not appropriate to test the engine under the conditions as defined in 5.2.3, e.g., if the engine and transmission form a single integral unit, the engine may only be tested with other auxiliaries fitted. In this case the dynamometer settings shall be determined in accordance with 5.2.3 and 5.9. The auxiliary losses shall not exceed 5% of the maximum observed power. Losses exceeding 5% shall be approved by the Administration involved prior to the test.

5.1.8 All volumes and volumetric flow rates shall be related to 273 K (0°C) and 101.3 kPa.

5.1.9 Except as otherwise specified, all results of measurements, test data or calculations required by this chapter shall be recorded in the engine's test report in accordance with 5.10.

5.1.10 References in this Code to the term 'charge air' apply equally to scavenge air.

5.2 Test conditions

5.2.1 *Test condition parameter and test validity for Engine Family approval*

5.2.1.1 The absolute temperature T_a of the engine intake air expressed in Kelvin shall be measured, and the dry atmospheric pressure p_s , expressed in kPa, shall be measured or calculated as follows:

$$p_s = p_b - 0.01 \cdot R_a \cdot p_a$$

p_a according to formula (10)

5.2.1.2 For naturally aspirated and mechanically pressure charged engines the parameter f_a shall be determined according to the following:

$$f_a = \left(\frac{99}{p_s} \right) \cdot \left(\frac{T_a}{298} \right)^{0.7} \quad (1)$$

5.2.1.3 For turbocharged engines with or without cooling of the intake air the parameter f_a shall be determined according to the following:

$$f_a = \left(\frac{99}{p_s} \right)^{0.7} \cdot \left(\frac{T_a}{298} \right)^{1.5} \quad (2)$$

5.2.1.4 For a test to be recognized as valid for Engine Family approval, the parameter f_a shall be such that:

$$0.93 \leq f_a \leq 1.07 \quad (3)$$

5.2.2 Engines with charge air cooling

5.2.2.1 The temperature of the cooling medium and the charge air temperature shall be recorded.

5.2.2.2 All engines when equipped as intended for installation on-board ships must be capable of operating within the applicable NO_x emission limit of regulation 13 at an ambient seawater temperature of 25°C. This reference temperature shall be considered in accordance with the charge air cooling arrangement applicable to the individual installation as follows:

- .1 Direct seawater cooling to engine charge air coolers. Compliance with the applicable NO_x limit shall be demonstrated with a charge air cooler coolant inlet temperature of 25°C.
- .2 Intermediate freshwater cooling to engine charge air coolers. Compliance with the applicable NO_x limit shall be demonstrated with the charge air cooling system operating with the designed in service coolant inlet temperature regime corresponding to an ambient seawater temperature of 25°C.

Note: Demonstration of compliance at a Parent Engine test for a direct seawater cooled system, as given by (.1) above, does not demonstrate compliance in accordance with the higher charge air temperature regime inherent with an intermediate freshwater cooling arrangement as required by this section.

- .3 For those installations incorporating no seawater cooling, either direct or indirect, to the charge air coolers, e.g., radiator cooled freshwater systems, air/air charge air coolers, compliance with the applicable NO_x limit shall be demonstrated with the engine and charge air cooling systems operating as specified by the manufacturer with 25°C air temperature.

5.2.2.3 Compliance with the applicable NO_x emission limit as defined by regulation 13 shall be demonstrated either by testing or by calculation using the intercooled air reference temperature (T_{SCRref}) specified and justified by the manufacturer, if applicable.

5.2.3 *Power*

5.2.3.1 The basis of specific emissions measurement is uncorrected brake power as defined in 1.3.11 and 1.3.13. The engine shall be submitted with auxiliaries needed for operating the engine (e.g., fan, water pump, etc.). If it is impossible or inappropriate to install the auxiliaries on the test bench, the power absorbed by them shall be determined and subtracted from the measured engine power.

5.2.3.2 Auxiliaries not necessary for the operation of the engine and which may be mounted on the engine may be removed for the test. See also 5.1.5 and 5.1.6.

5.2.3.3 Where auxiliaries have not been removed, the power absorbed by them at the test speeds shall be determined in order to calculate the dynamometer settings, except for engines where such auxiliaries form an integral part of the engine (e.g., cooling fans for air cooled engines).

5.2.4 *Engine air inlet system*

5.2.4.1 An engine air intake system or a test shop system shall be used presenting an air intake restriction within ± 300 Pa of the maximum value specified by the manufacturer for a clean air cleaner at the speed of rated power and full-load.

5.2.4.2 If the engine is equipped with an integral air inlet system, it shall be used for testing.

5.2.5 *Engine exhaust system*

5.2.5.1 An engine exhaust system or a test shop system shall be used which presents an exhaust backpressure within ± 650 Pa of the maximum value specified by the manufacturer at the speed of rated power and full load. The exhaust system shall conform to the requirements for exhaust gas sampling, as set out in 5.9.3.

5.2.5.2 If the engine is equipped with an integral exhaust system, it shall be used for testing.

5.2.5.3 If the engine is equipped with an exhaust after-treatment device, the exhaust pipe shall have the same diameter as found in-use for at least 4 pipe diameters upstream to the inlet of the beginning of the expansion section containing the after-treatment device. The distance from the exhaust manifold flange or turbocharger outlet to the exhaust after-treatment device shall be the same as in the on-board configuration or within the distance specifications of the manufacturer. The exhaust backpressure or restriction shall follow the same criteria as above, and may be set with a valve.

5.2.5.4 Where test-bed installation prevents adjustment to the exhaust gas backpressure as required, the effect on the NO_x emissions shall be demonstrated by the engine builder and, with the approval of the Administration, the emission value duly corrected as necessary.

5.2.6 *Cooling system*

5.2.6.1 An engine cooling system with sufficient capacity to maintain the engine at normal operating temperatures prescribed by the manufacturer shall be used.

5.3 **Test fuel oils**

5.3.1 Fuel oil characteristics may influence the engine exhaust gas emission; in particular, some fuel bound nitrogen can be converted to NO_x during combustion. Therefore, the characteristics of the fuel oil used for the test are to be determined and recorded. Where a reference fuel oil is used, the reference code or specifications and the analysis of the fuel oil shall be provided.

5.3.2 The selection of the fuel oil for the test depends on the purpose of the test. If a suitable reference fuel oil is not available, it is recommended to use a DM-grade marine fuel specified in ISO 8217:2005, with properties suitable for the engine type. In case a DM-grade fuel oil is not available, a RM-grade fuel oil according to ISO 8217:2005 shall be used. The fuel oil shall be analysed for its composition of all components necessary for a clear specification and determination of DM- or RM-grade. The nitrogen content shall also be determined. The fuel oil used during the Parent Engine test shall be sampled during the test.

5.3.3 The fuel oil temperature shall be in accordance with the manufacturer's recommendations. The fuel oil temperature shall be measured at the inlet to the fuel injection pump, or as specified by the manufacturer, and the temperature and location of measurement recorded.

5.3.4 Dual fuel engines (diesel-pilot natural gas engines) shall be tested using maximum liquid to gas fuel ratio. The liquid fraction of the fuel shall comply with 5.3.1, 5.3.2 and 5.3.3.

5.4 **Measurement equipment and data to be measured**

5.4.1 The emission of gaseous components by the engine submitted for testing shall be measured by the methods described in appendix 3 of this Code which describe the recommended analytical systems for the gaseous emissions.

5.4.2 Other systems or analysers may, subject to the approval of the Administration, be accepted if they yield equivalent results to that of the equipment referenced in 5.4.1. In establishing equivalency it shall be demonstrated that the proposed alternative systems or analysers would, as qualified by using recognized national or international standards, yield equivalent results when used to measure diesel engine exhaust emission concentrations in terms of the requirements referenced in 5.4.1.

5.4.3 For introduction of a new system the determination of equivalency shall be based upon the calculation of repeatability and reproducibility, as described in ISO 5725-1 and ISO 5725-2, or any other comparable recognized standard.

5.4.4 This Code does not contain details of flow, pressure, and temperature measuring equipment. Instead, only the accuracy requirements of such equipment necessary for conducting an emissions test are given in 1.3.1 of appendix 4 of this Code.

5.4.5 *Dynamometer specification*

5.4.5.1 An engine dynamometer with adequate characteristics to perform the appropriate test cycle described in 3.2 shall be used.

5.4.5.2 The instrumentation for torque and speed measurement shall allow the measurement accuracy of the shaft power within the given limits. Additional calculations may be necessary.

5.4.5.3 The accuracy of the measuring equipment shall be such that the maximum permissible deviations given in 1.3.1 of appendix 4 of this Code are not exceeded.

5.5 Determination of exhaust gas flow

5.5.1 The exhaust gas flow shall be determined by one of the methods specified in 5.5.2, 5.5.3, or 5.5.4.

5.5.2 *Direct measurement method*

5.5.2.1 This method involves the direct measurement of the exhaust flow by flow nozzle or equivalent metering system and shall be in accordance with a recognized international standard.

Note: Direct gaseous flow measurement is a difficult task. Precautions shall be taken to avoid measurement errors which will result in emission value errors.

5.5.3 *Air and fuel measurement method*

5.5.3.1 The method for determining exhaust emission flow using the air and fuel measurement method shall be conducted in accordance with a recognized international standard.

5.5.3.2 This involves measurement of the air flow and the fuel flow. Air flow-meters and fuel flow-meters with an accuracy defined in 1.3.1 of appendix 4 of this Code shall be used.

5.5.3.3 The exhaust gas flow shall be calculated as follows:

$$q_{mew} = q_{maw} + q_{mf} \quad (4)$$

5.5.3.4 The air flow-meter shall meet the accuracy specifications of appendix 4 of this Code, the CO₂ analyser used shall meet the specifications of appendix 3 of this Code, and the total system shall meet the accuracy specifications for the exhaust gas flow as given in appendix 4 of this Code.

5.5.4 *Fuel flow and carbon balance method*

5.5.4.1 This involves exhaust mass flow rate calculation from fuel consumption, fuel composition and exhaust gas concentrations using the carbon balance method, as specified in appendix 6 of this Code.

5.6 Permissible deviations of instruments for engine-related parameters and other essential parameters

5.6.1 The calibration of all measuring instruments including both the measuring instruments as detailed under appendix 4 of this Code and additional measuring instruments required in order to define an engine's NO_x emission performance, for example the measurement of peak cylinder or charge air pressures, shall be traceable to standards recognized by the Administration and shall comply with the requirements as set out in 1.3.1 of appendix 4 of this Code.

5.7 Analysers for determination of the gaseous components

5.7.1 The analysers to determine the gaseous emissions shall meet the specifications as set out in appendix 3 of this Code.

5.8 Calibration of the analytical instruments

5.8.1 Each analyser used for the measurement of an engine's gaseous emissions shall be calibrated in accordance with the requirements of appendix 4 of this Code.

5.9 Test run

5.9.1 *General*

5.9.1.1 Detailed descriptions of the recommended sampling and analysing systems are contained in 5.9.2 to 5.9.4 and appendix 3 of this Code. Since various configurations may produce equivalent results, exact conformance with these figures is not required. Additional components, such as instruments, valves, solenoids, pumps, and switches, may be used to provide additional information and co-ordinate the functions of the component systems. Other components which are not needed to maintain the accuracy on some systems may, with the agreement of the Administration, be excluded if their exclusion is based upon good engineering judgement.

5.9.1.2 The treatment of inlet restriction (naturally aspirated engines) or charge air pressure (turbo-charged engines) and exhaust back pressure shall be in accordance with 5.2.4 and 5.2.5 respectively.

5.9.1.3 In the case of a pressure charged engine, the inlet restriction conditions shall be taken as the condition with a clean air inlet filter and the pressure charging system working within the bounds as declared, or to be established, for the Engine Family or Engine Group to be represented by the Parent Engine test result.

5.9.2 *Main exhaust components: CO, CO₂, HC, NO_x and O₂*

5.9.2.1 An analytical system for the determination of the gaseous emissions in the raw exhaust gas shall be based on the use of analysers given in 5.4.

5.9.2.2 For the raw exhaust gas, the sample for all components may be taken with one sampling probe or with two sampling probes located in close proximity and internally split to the different analysers. Care must be taken that no condensation of exhaust components (including water and sulphuric acid) occurs at any point of the analytical system.

5.9.2.3 Specifications and calibration of these analysers shall be as set out in appendices 3 and 4 of this Code, respectively.

5.9.3 *Sampling for gaseous emissions*

5.9.3.1 The sampling probes for the gaseous emissions shall be fitted at least 10 pipe diameters after the outlet of the engine, turbocharger, or last after-treatment device, whichever is furthest downstream, but also at least 0.5 m or 3 pipe diameters upstream of the exit of the exhaust gas system, whichever is greater. For a short exhaust system that does not have a location that meets both of these specifications, an alternative sample probe location shall be subject to approval by the Administration.

5.9.3.2 The exhaust gas temperature shall be at least 190°C at the HC sample probe, and at least 70°C at the sample probes for other measured gas species where they are separate from the HC sample probe.

5.9.3.3 In the case of a multi-cylinder engine with a branched exhaust manifold, the inlet of the probe shall be located sufficiently far downstream so as to ensure that the sample is representative of the average exhaust emissions from all cylinders. In the case of a multi-cylinder engine having distinct groups of manifolds, it is permissible to acquire a sample from each group individually and calculate an average exhaust emission. Alternatively, it would also be permissible to acquire a sample from a single group to represent the average exhaust emission provided that it can be justified to the Administration that the emissions from other groups are identical. Other methods, subject to the approval of the Administration, which have been shown to correlate with the above methods may be used. For exhaust emission calculation, the total exhaust mass flow shall be used.

5.9.3.4 The exhaust gas sampling system shall be leakage tested in accordance with section 4 of appendix 4 of this Code.

5.9.3.5 If the composition of the exhaust gas is influenced by any exhaust after-treatment system, the exhaust gas sample shall be taken downstream of that device.

5.9.3.6 The inlet of the probe shall be located as to avoid ingestion of water which is injected into the exhaust system for the purpose of cooling, tuning or noise reduction.

5.9.4 *Checking of the analysers*

5.9.4.1 The emission analysers shall be set at zero and spanned in accordance with section 6 of appendix 4 of this Code.

5.9.5 *Test cycles*

5.9.5.1 An engine shall be tested in accordance with the test cycles as defined in 3.2. This takes into account the variations in engine application.

5.9.6 *Test sequence*

5.9.6.1 After the procedures in 5.9.1 to 5.9.5 have been completed, the test sequence shall be started. The engine shall be operated in each mode, in any order, in accordance with the appropriate test cycles defined in 3.2.

5.9.6.2 During each mode of the test cycle after the initial transition period, the specified speed shall be held within $\pm 1\%$ of the rated speed or $\pm 3 \text{ min}^{-1}$ whichever is greater except for low idle which shall be within the tolerances declared by the manufacturer. The specified torque shall be held so that the average over the period during which the measurements are being taken is within $\pm 2\%$ of the rated torque at the engine's rated speed.

5.9.7 *Analyser response*

5.9.7.1 When stabilized, the output of the analysers shall be recorded both during the test and during all zero and span response checks, using a data acquisition system or a strip chart recorder. The recording period shall not be less than 10 minutes when analysing exhaust gas or not less than 3 minutes for each zero and span response check. For data acquisition systems, a minimum sampling frequency of 3 per minute shall be used. Measured concentrations of CO, HC and NO_x are to be recorded in terms of, or equivalent to, ppm to at least the nearest whole number. Measured concentrations of CO₂ and O₂ are to be recorded in terms of, or equivalent to, % to not less than two decimal places.

5.9.8 *Engine conditions*

5.9.8.1 The engine speed, load and other essential parameters shall be measured at each mode point only after the engine has been stabilized. The exhaust gas flow shall be measured or calculated and recorded.

5.9.9 *Re-checking the analysers*

5.9.9.1 After the emission test, the zero and span responses of the analysers shall be re-checked using a zero gas and the same span gas as used prior to the measurements. The test shall be considered acceptable if:

- .1 the difference between the responses to the zero gas before and after the test is less than 2% of the initial span gas concentration; and
- .2 the difference between the responses to the span gas before and after the test is less than 2% of the initial span gas concentration.

5.9.9.2 Zero and span drift correction shall not be applied to the analyser responses recorded in accordance with 5.9.7.

5.10 Test report

5.10.1 For every Individual Engine or Parent Engine tested to establish an Engine Family or Engine Group, the engine manufacturer shall prepare a test report which shall contain the necessary data to fully define the engine performance and enable calculation of the gaseous emissions including the data as set out in section 1 of appendix 5 of this Code. The original of the test report shall be maintained on file with the engine manufacturer and a certified true copy shall be maintained on file by the Administration.

5.11 Data evaluation for gaseous emissions

5.11.1 For the evaluation of the gaseous emissions, the data recorded for at least the last 60 seconds of each mode shall be averaged, and the concentrations of CO, CO₂, HC, NO_x, and O₂ during each mode shall be determined from the averaged recorded data and the corresponding zero and span check data. The averaged results shall be given in terms of % to not less than two decimal places for CO₂ and O₂ species and in terms of ppm to at least the nearest whole number for CO, HC and NO_x species.

5.12 Calculation of the gaseous emissions

5.12.1 The final results for the test report shall be determined by following the steps in 5.12.2 to 5.12.6.

5.12.2 Determination of the exhaust gas flow

5.12.2.1 The exhaust gas flow rate (q_{mew}) shall be determined for each mode in accordance with one of the methods described in 5.5.2 to 5.5.4.

5.12.3 Dry/wet correction

5.12.3.1 If the emissions are not measured on a wet basis, the measured concentration shall be converted to a wet basis according to either of the following formulae:

$$c_w = k_w \cdot c_d \quad (5)$$

5.12.3.2 For the raw exhaust gas:

- .1 Complete combustion where exhaust gas flow is to be determined in accordance with direct measurement method in 5.5.2 or air and fuel measurement method in 5.5.3 either of the following formulae shall be used:

$$k_{wr1} = \left(1 - \frac{1.2442 \cdot H_a + 111.19 \cdot w_{ALF} \cdot \frac{q_{mf}}{q_{mad}}}{773.4 + 1.2442 \cdot H_a + \frac{q_{mf}}{q_{mad}} \cdot f_{fw} \cdot 1000} \right) \cdot 1.008 \quad (6)$$

or

$$k_{wr1} = \left(1 - \frac{1.2442 \cdot H_a + 111.19 \cdot w_{ALF} \cdot \frac{q_{mf}}{q_{mad}}}{773.4 + 1.2442 \cdot H_a + \frac{q_{mf}}{q_{mad}} \cdot f_{fw} \cdot 1000} \right) / \left(1 - \frac{p_r}{p_b} \right) \quad (7)$$

with

$$f_{fw} = 0.055594 \cdot w_{ALF} + 0.0080021 \cdot w_{DEL} + 0.0070046 \cdot w_{EPS} \quad (8)$$

H_a is the absolute humidity of intake air, in g water per kg dry air

Note: H_a may be derived from relative humidity measurement, dewpoint measurement, vapour pressure measurement or dry/wet bulb measurement using the generally accepted formulae.

$$H_a = 6.22 \cdot p_a \cdot R_a / (p_b - 0.01 \cdot R_a \cdot p_a) \quad (9)$$

where:

$$p_a = \text{saturation vapour pressure of the intake air, kPa}$$

$$p_a = (4.856884 + 0.2660089 \cdot t_a + 0.01688919 \cdot t_a^2 - 7.477123 \cdot 10^{-5} \cdot t_a^3 + 8.10525 \cdot 10^{-6} \cdot t_a^4 - 3.115221 \cdot 10^{-8} \cdot t_a^5) \cdot (101.32 / 760) \quad (10)$$

with

$$t_a = \text{temperature of the intake air, } ^\circ\text{C}; t_a = T_a - 273.15$$

$$p_b = \text{total barometric pressure, kPa}$$

$$p_r = \text{water vapour pressure after cooling bath of the analysis system, kPa}$$

$$p_r = 0.76 \text{ kPa for cooling bath temperature } 3^\circ\text{C}$$

2. Incomplete combustion, CO more than 100 ppm or HC more than 100 ppmC at one or more mode points, where exhaust gas flow is determined in accordance with direct measurement method 5.5.2, air and fuel measurement method 5.5.3 and in all cases where the carbon-balance method 5.5.4 is used the following equation shall be used:

Note: The unit for the CO and CO₂ concentrations in (11) and (13) is %.

$$k_{wr2} = \frac{1}{1 + \alpha \cdot 0.005 \cdot (c_{CO2d} + c_{COd}) - 0.01 \cdot c_{H2d} + k_{w2} - \frac{p_r}{p_b}} \quad (11)$$

with

$$\alpha = 11.9164 \cdot \frac{w_{ALF}}{w_{BET}} \quad (12)$$

$$c_{H2d} = \frac{0.5 \cdot \alpha \cdot c_{COd} \cdot (c_{COd} + c_{CO2d})}{c_{COd} + 3 \cdot c_{CO2d}} \quad (13)$$

$$k_{w2} = \frac{1.608 \cdot H_a}{1000 + (1.608 \cdot H_a)} \quad (14)$$

5.12.3.3 For the intake air

$$k_{wa} = 1 - k_{w2} \quad (15)$$

5.12.4 *NO_x correction for humidity and temperature*

5.12.4.1 As the NO_x emission depends on ambient air conditions, the NO_x concentration shall be corrected for ambient air temperature and humidity with the factors in accordance with 5.12.4.5 or 5.12.4.6 as applicable.

5.12.4.2 Other reference values for humidity instead of 10.71 g/kg at the reference temperature of 25°C shall not be used.

5.12.4.3 Other correction formulae may be used if they can be justified, validated and are approved by the Administration.

5.12.4.4 Water or steam injected into the charge air (air humidification) is considered an emission control device and shall therefore not be taken into account for humidity correction. Water that condensates in the charge cooler will change the humidity of the charge air and therefore shall be taken into account for humidity correction.

5.12.4.5 For compression ignition engines:

$$k_{hd} = \frac{1}{1 - 0.0182 \cdot (H_a - 10.71) + 0.0045 \cdot (T_a - 298)} \quad (16)$$

where:

T_a = is the temperature of the air at the inlet to the air filter in K

H_a = is the humidity of the intake air at the inlet to the air filter in g water per kg dry air

5.12.4.6 For compression ignition engines with intermediate air cooler the following alternative equation shall be used:

$$k_{hd} = \frac{1}{1 - 0.012 \cdot (H_a - 10.71) - 0.00275 \cdot (T_a - 298) + 0.00285 \cdot (T_{SC} - T_{SCRef})} \quad (17)$$

where:

T_{SC} is the temperature of the intercooled air;

T_{SCRef} is the temperature of the intercooled air at each mode point corresponding to a seawater temperature of 25°C as specified in 5.2.2. T_{SCRef} is to be specified by the manufacturer.

To take the humidity in the charge air into account, the following consideration is added:

H_{SC} = humidity of the charge air, g water per kg dry air in which:

$$H_{SC} = 6.22 \cdot p_{SC} \cdot 100 / (p_C - p_{SC})$$

where:

p_{SC} = saturation vapour pressure of the charge air, kPa

p_C = charge air pressure, kPa

However if $H_a \geq H_{SC}$, then H_{SC} shall be used in place of H_a in formula (17)

5.12.5 Calculation of the emission mass flow rates

5.12.5.1 The emission mass flow rate of the respective component in the raw exhaust gas for each mode shall be calculated in accordance with 5.12.5.2 from the measured concentration as obtained in accordance with 5.11.1, the applicable u_{gas} value from table 5 and the exhaust gas mass flow rate in accordance with 5.5.

Table 5 – Coefficient u_{gas} and fuel specific parameters for raw exhaust gas

Gas		NO _x	CO	HC	CO ₂	O ₂
ρ_{gas}	kg/m ³	2.053	1.250	a)	1.9636	1.4277
	ρ_e	Coefficient u_{gas} ^{b)}				
Fuel oil	1.2943	0.001586	0.000966	0.000479	0.001517	0.001103

a) depending on fuel

b) at $\lambda = 2$, wet air, 273 K, 101.3 kPa

Values for u given in table 5 are based on ideal gas properties.

5.12.5.2 The following formulae shall be applied:

$$q_{mgas} = u_{gas} \cdot c_{gas} \cdot q_{mew} \cdot k_{hd} \text{ (for NO}_x\text{)} \quad (18)$$

$$q_{mgas} = u_{gas} \cdot c_{gas} \cdot q_{mew} \text{ (for other gases)} \quad (18a)$$

where:

q_{mgas} = emission mass flow rate of individual gas, g/h

u_{gas} = ratio between density of exhaust component and density of exhaust gas, see table 5

c_{gas} = concentration of the respective component in the raw exhaust gas, ppm, wet

q_{mew} = exhaust mass flow, kg/h, wet

k_{hd} = NO_x humidity correction factor

Note: In the case of CO₂ and O₂ measurement, the concentration will normally be reported in terms of %. With regard to the application of formula 18a, these concentration will need to be expressed in ppm. 1.0 % = 10000 ppm.

5.12.5.3 For the calculation of NO_x, the humidity correction factor k_{hd} as determined according to 5.12.4 shall be used.

5.12.5.4 The measured concentration shall be converted to a wet basis according to 5.12.3 if not already measured on a wet basis.

5.12.6 Calculation of the specific emission

5.12.6.1 The emission shall be calculated for all individual components in accordance with the following:

$$\text{gas}_x = \frac{\sum_{i=1}^{i=n} (q_{\text{mgasi}} \cdot W_{\text{Fi}})}{\sum_{i=1}^{i=n} (P_i \cdot W_{\text{Fi}})} \quad (19)$$

where:

$$P = P_m + P_{\text{aux}} \quad (20)$$

and

q_{mgas} is the mass flow of individual gas

P_m is the measured power of the individual mode

P_{aux} is the power of the auxiliaries fitted to the engine of the individual mode

5.12.6.2 The weighting factors and the number of modes (n) used in the above calculation shall be according to the provisions of 3.2.

5.12.6.3 The resulting average weighted NO_x emission value for the engine as determined by formula (19) shall then be compared to the applicable emission limit given in regulation 13 to determine if the engine is in compliance.

Chapter 6

Procedures for demonstrating compliance with NO_x emission limits on board

6.1 General

6.1.1 After installation of a pre-certificated engine on board a ship, every marine diesel engine shall have an on-board verification survey conducted as specified in 2.1.1.2 to 2.1.1.4 to verify that the engine continues to comply with the applicable NO_x emission limit contained in regulation 13. Such verification of compliance shall be determined by using one of the following methods:

- .1 Engine Parameter Check method in accordance with 6.2 to verify that an engine's component, settings and operating values have not deviated from the specifications in the engine's Technical File;
- .2 Simplified Measurement method in accordance with 6.3; or
- .3 Direct Measurement and Monitoring method in accordance with 6.4.

6.2 Engine Parameter Check method

6.2.1 General

6.2.1.1 Engines that meet the following conditions shall be eligible for an Engine Parameter Check method:

- .1 engines that have received a pre-certificate (EIAPP Certificate) on the test bed and those that received a certificate (EIAPP Certificate) following an initial certification survey in accordance with 2.2.4; and
- .2 engines that have undergone modifications or adjustments to the designated engine components and adjustable features since they were last surveyed.

6.2.1.2 When a diesel engine is designed to run within the applicable NO_x emission limit, it is most likely that within the marine life of the engine, the NO_x emission limit may be adhered to. The applicable NO_x emission limit may, however, be contravened by adjustments or modification to the engine. Therefore, an Engine Parameter Check method shall be used to verify whether the engine is still within the applicable NO_x emission limit.

6.2.1.3 Engine component checks, including checks of settings and an engine's operating values, are intended to provide an easy means of deducing the emissions performance of the engine for the purpose of verification that an engine with no, or minor, adjustments or modifications complies with the applicable NO_x emission limit. Where the measurement of some operating values is required, the calibration of the equipment used for those measurements shall be in accordance with the requirements of appendix 4 of this Code.

6.2.1.4 The purpose of such checks is to provide a ready means of determining that an engine is correctly adjusted in accordance with the manufacturer's specification and remains in a condition of adjustment consistent with the initial certification by the Administration as being in compliance with regulation 13 as applicable.

6.2.1.5 If an electronic engine management system is employed, this shall be evaluated against the original settings to ensure that appropriate parameters are operating within “as-built” limits.

6.2.1.6 For the purpose of assessing compliance with regulation 13, it is not always necessary to measure the NO_x level to know that an engine, not equipped with an after-treatment device, is likely to comply with the applicable NO_x emission limit. It may be sufficient to know that the present state of the engine corresponds to the specified components, calibration or parameter adjustment state at the time of initial certification. If the results of an Engine Parameter Check method indicate the likelihood that the engine complies with the applicable NO_x emission limit, the engine may be re-certified without direct NO_x measurement.

6.2.1.7 For engines equipped with after-treatment devices, it will be necessary to check the operation of the after-treatment device as part of the Engine Parameter Check method.

6.2.2 *Documentation for an Engine Parameter Check method*

6.2.2.1 Every marine diesel engine shall have a Technical File as required in 2.3.4 which identifies the engine’s components, settings or operating values which influence exhaust emissions and must be checked to ensure compliance.

6.2.2.2 An engine’s Technical File shall contain all applicable information, relevant to the NO_x emission performance of the engine, on the designated engines components, adjustable features and parameters at the time of the engine’s pre-certification or on-board certification, whichever occurred first.

6.2.2.3 Dependent on the specific design of the particular engine, different on-board NO_x influencing modifications and adjustments are possible and usual. These include the engine parameters as follows:

- .1 injection timing,
- .2 injection nozzle,
- .3 injection pump,
- .4 fuel cam,
- .5 injection pressure for common rail systems,
- .6 combustion chamber,
- .7 compression ratio,
- .8 turbocharger type and build,
- .9 charge air cooler, charge air pre-heater,
- .10 valve timing,
- .11 NO_x abatement equipment “water injection”,
- .12 NO_x abatement equipment “emulsified fuel” (fuel water emulsion),
- .13 NO_x abatement equipment “exhaust gas recirculation”,
- .14 NO_x abatement equipment “selective catalytic reduction”, or
- .15 other parameter(s) specified by the Administration.

6.2.2.4 The actual Technical File of an engine may, based on the recommendations of the applicant for engine certification and the approval of the Administration, include less components and/or parameters than discussed in section 6.2.2.3 depending on the particular engine and the specific design.

6.2.2.5 For some parameters, different survey possibilities exist. As approved by the Administration, the ship operator, supported by the applicant for engine certification, may choose what method is applicable. Any one of, or a combination of, the methods listed in the check list for the Engine Parameter Check method given in appendix 7 of this Code may be sufficient to show compliance.

6.2.2.6 Technical documentation in respect of engine component modification for inclusion in an engine's Technical File shall include details of that modification and its influence on NO_x emissions, and it shall be supplied at the time when the modification is carried out. Test bed data obtained from a later engine, which is within the applicable range of the Engine Group concept, may be accepted.

6.2.2.7 The shipowner or person responsible for a ship equipped with a marine diesel engine required to undergo an Engine Parameter Check method shall maintain on board the following documentation in relation to the on-board NO_x verification procedures:

- .1 a Record Book of Engine Parameters for recording all changes including like for like replacements and adjustments within the approved ranges made relative to an engine's components and settings;
- .2 an engine parameter list of an engine's designated components and settings and/or the documentation of an engine's load-dependent operating values submitted by an applicant for engine certification and approved by the Administration; and
- .3 technical documentation of an engine component modification when such a modification is made to any of the engine's designated engine components.

6.2.2.8 Descriptions of any changes affecting the designated engine parameters, including adjustments, parts replacements and modifications to engine parts, shall be recorded chronologically in the Record Book of Engine Parameters. These descriptions shall be supplemented with any other applicable data used for the assessment of the engine's NO_x levels.

6.2.3 *Procedures for an Engine Parameter Check method*

6.2.3.1 An Engine Parameter Check method shall be carried out using the two procedures as follows:

- .1 a documentation inspection of engine parameter(s) shall be carried out in addition to other inspections and include inspection of the Record Book of Engine Parameters and verification that engine parameters are within the allowable range specified in the engine's Technical File; and
- .2 an actual inspection of engine components and adjustable features shall be carried out as necessary. It shall then be verified, also referring to the results of the documentation inspection, that the engine's adjustable features are within the allowable range specified in the engine's Technical File.

6.2.3.2 The surveyor shall have the option of checking one or all of the identified components, settings or operating values to ensure that the engine with no, or minor, adjustments or modifications complies with the applicable emission limit and that only components of the approved specification, as given by 2.4.1.7, are being used. Where adjustments and/or modifications in a specification are referenced in the Technical File, they must fall within the range recommended by the applicant for engine certification and approved by the Administration.

6.3 Simplified Measurement method

6.3.1 General

6.3.1.1 The following simplified test and measurement procedure specified in this section shall be applied only for onboard confirmation tests and renewal, annual and intermediate surveys when required. Every first engine testing on a test bed shall be carried out in accordance with the procedure specified in chapter 5. Corrections for ambient air temperature and humidity in accordance with 5.12.4 are essential as ships are sailing in cold/hot and dry/humid climates, which may cause a difference in NO_x emissions.

6.3.1.2 To gain meaningful results for onboard confirmation tests and onboard renewal, annual and intermediate surveys, as an absolute minimum, the gaseous emission concentrations of NO_x and CO₂ shall be measured in accordance with the appropriate test cycle. The weighting factors (W_F) and the number of modes (n) used in the calculation shall be in accordance with 3.2.

6.3.1.3 The engine torque and engine speed shall be measured but, to simplify the procedure, the permissible deviations of instruments (see 6.3.7) for measurement of engine-related parameters for onboard verification purposes is different than from those permissible deviations allowed under the test bed testing method. If it is difficult to measure the torque directly, the brake power may be estimated by any other means recommended by the applicant for engine certification and approved by the Administration.

6.3.1.4 In practical cases, it is often impossible to measure the fuel oil consumption once an engine has been installed on board a ship. To simplify the procedure on board, the results of the measurement of the fuel oil consumption from an engine's pre-certification test bed testing may be accepted. In such cases, especially concerning residual fuel oil operation (RM-grade fuel oil according to ISO 8217:2005), an estimation with a corresponding estimated error shall be made. Since the fuel oil flow rate used in the calculation (q_{mf}) must relate to the fuel oil composition determined in respect of the fuel sample drawn during the test, the measurement of q_{mf} from the test bed testing shall be corrected for any difference in net calorific values between the test bed and test fuel oils. The consequences of such an error on the final emissions shall be calculated and reported with the results of the emission measurement.

6.3.1.5 Except as otherwise specified, all results of measurements, test data or calculations required by this chapter shall be recorded in the engine's test report in accordance with 5.10.

6.3.2 Engine parameters to be measured and recorded

6.3.2.1 Table 6 lists the engine parameters that shall be measured and recorded during on-board verification procedures.

Table 6 – Engine parameters to be measured and recorded

Symbol	Parameter	Dimension
H_a	Absolute humidity (mass of engine intake air water content related to mass of dry air)	g/kg
$n_{d,i}$	Engine speed (at the i^{th} mode during the cycle)	min^{-1}
$n_{\text{turb},i}$	Turbocharger speed (if applicable) (at the i^{th} mode during the cycle)	min^{-1}
p_b	Total barometric pressure (in ISO 3046-1, 1995: p_x = P_x = site ambient total pressure)	kPa
$p_{C,i}$	Charge air pressure after the charge air cooler (at the i^{th} mode during the cycle)	kPa
P_i	Brake power (at the i^{th} mode during the cycle)	kW
$q_{mf,i}$	Fuel oil flow (at the i^{th} mode during the cycle)	kg/h
s_i	Fuel rack position (of each cylinder, if applicable) (at the i^{th} mode during the cycle)	
T_a	Intake air temperature at air inlet (in ISO 3046-1, 1995: $T_x = TT_x$ = site ambient thermodynamic air temperature)	K
$T_{SC,i}$	Charge air temperature after the charge air cooler (if applicable) (at the i^{th} mode during the cycle)	K
T_{caclin}	Charge air cooler, coolant temperature inlet	K
T_{caclout}	Charge air cooler, coolant temperature outlet	K
$T_{\text{Exh},i}$	Exhaust gas temperature at the sampling point (at the i^{th} mode during the cycle)	K
T_{Fuel}	Fuel oil temperature before the engine	K
T_{Sea}	Sea water temperature	K

6.3.3 Brake power

6.3.3.1 The point regarding the ability to obtain the required data during onboard NO_x testing is particularly relevant to brake power. Although the case of directly coupled gearboxes is considered in chapter 5, an engine, as may be presented on board, could in many applications, be arranged such that the measurements of torque (as obtained from a specially installed strain gauge) may not be possible due to the absence of a clear shaft. Principal in this group would be generators, but engines may also be coupled to pumps, hydraulic units, compressors, etc.

6.3.3.2 The engines driving the machinery given in 6.3.3.1 would typically have been tested against a water brake at the manufacture stage prior to the permanent connection of the power consuming unit when installed on board. For generators this should not pose a problem to use voltage and amperage measurements together with a manufacturer's declared generator efficiency. For propeller law governed equipment, a declared speed power curve may be applied together with ensured capability to measure engine speed, either from the free end or by ratio of, for example, the camshaft speed.

6.3.4 *Test fuel oils*

6.3.4.1 Generally all emission measurements shall be carried out with the engine running on marine diesel fuel oil of an ISO 8217:2005, DM-grade.

6.3.4.2 To avoid an unacceptable burden to the shipowner, the measurements for confirmation tests or re-surveys may, based on the recommendation of the applicant for engine certification and the approval of the Administration, be allowed with an engine running on residual fuel oil of an ISO 8217:2005, RM-grade. In such a case the fuel bound nitrogen and the ignition quality of the fuel oil may have an influence on the NO_x emissions of the engine.

6.3.5 *Sampling for gaseous emissions*

6.3.5.1 The general requirements described in 5.9.3 shall be also applied for onboard measurements.

6.3.5.2 The installation on board of all engines shall be such that these tests may be performed safely and with minimal interference to the engine. Adequate arrangements for the sampling of the exhaust gas and the ability to obtain the required data shall be provided on board a ship. The uptakes of all engines shall be fitted with an accessible standard sampling point. An example of a sample point connecting flange is given in section 5 of appendix 8 of this Code.

6.3.6 *Measurement equipment and data to be measured*

6.3.6.1 The emission of gaseous pollutants shall be measured by the methods described in chapter 5.

6.3.7 *Permissible deviation of instruments for engine related parameters and other essential parameters*

6.3.7.1 Tables 3 and 4 contained in section 1.3 of appendix 4 of this Code list the permissible deviation of instruments to be used in the measurement of engine-related parameters and other essential parameters during on-board verification procedures.

6.3.8 *Determination of the gaseous components*

6.3.8.1 The analytical measuring equipment and the methods described in chapter 5 shall be applied.

6.3.9 *Test cycles*

6.3.9.1 Test cycles used on-board shall conform to the applicable test cycles specified in 3.2.

6.3.9.2 Engine operation on-board under a test cycle specified in 3.2 may not always be possible, but the test procedure shall, based on the recommendation of the engine manufacturer and approval by the Administration, be as close as possible to the procedure defined in 3.2. Therefore, values measured in this case may not be directly comparable with test bed results because measured values are very much dependent on the test cycles.

6.3.9.3 If the number of measuring points on-board is different than those on the test bed, the measuring points and the weighting factors shall be in accordance with the recommendations of the applicant for engine certification and approved by the Administration taking into account the provisions of 6.4.6.

6.3.10 *Calculation of gaseous emissions*

6.3.10.1 The calculation procedure specified in chapter 5 shall be applied, taking into account the special requirements of this Simplified Measurement procedure.

6.3.11 *Allowances*

6.3.11.1 Due to the possible deviations when applying the simplified measurement procedures of this chapter on board a ship, an allowance of 10% of the applicable limit value may be accepted for confirmation tests and renewal, annual and intermediate surveys only.

6.3.11.2 The NO_x emission of an engine may vary depending on the ignition quality of the fuel oil and the fuel bound nitrogen. If there is insufficient information available on the influence of the ignition quality on the NO_x formation during the combustion process and the fuel bound nitrogen conversion rate also depends on the engine efficiency, an allowance of 10% may be granted for an on-board test run carried out on a RM-grade fuel oil (ISO 8217:2005) except that there will be no allowance for the pre-certification test on-board. The fuel oil used shall be analysed for its composition of carbon, hydrogen, nitrogen, sulphur and, to the extent given in ISO 8217:2005, any additional components necessary for a clear specification of the fuel oil.

6.3.11.3 In no case shall the total granted allowance for both the simplification of measurements onboard and the use of residual fuel oil of an ISO 8217:2005, RM-grade fuel oil, exceed 15% of the applicable limit value.

6.4 Direct Measurement and Monitoring method

6.4.1 *General*

6.4.1.1 The following Direct Measurement and Monitoring procedure may be applied for on-board verification at renewal, annual and intermediate surveys.

6.4.1.2 Due attention is to be given to the safety implications related to the handling and proximity of exhaust gases, the measurement equipment and the storage and use of cylindered pure and calibration gases. Sampling positions and access staging shall be such that this monitoring may be performed safely and will not interfere with the engine.

6.4.2 *Emission species measurement*

6.4.2.1 Onboard NO_x monitoring includes, as an absolute minimum, the measurement of gaseous emission concentrations of NO_x (as NO + NO₂).

6.4.2.2 If exhaust gas mass flow is to be determined in accordance with the carbon balance method in accordance with appendix 6 of this Code, then CO₂ shall also be measured. Additionally CO, HC and O₂ may be measured.

6.4.3 Engine performance measurements

6.4.3.1 Table 7 lists the engine performance parameters that shall be measured, or calculated, and recorded at each mode point during on-board NO_x monitoring.

Table 7 – Engine parameters to be measured and recorded

Symbol	Parameter	Dimension
n_d	Engine speed	min ⁻¹
p_c	Charge air pressure at receiver	kPa
P	Brake power (as specified below)	kW
P_{aux}	Auxiliary power (if relevant)	kW
T_{sc}	Charge air temperature at receiver (if applicable)	K
T_{caclin}	Charge air cooler coolant inlet temperature (if applicable)	K
$T_{caclout}$	Charge air cooler coolant outlet temperature (if applicable)	K
T_{Sea}	Seawater temperature (if applicable)	K
q_{mf}	Fuel oil flow (as specified below)	kg/h

6.4.3.2 Other engine settings necessary to define engine-operating conditions, e.g., waste-gate, charge air bypass, turbocharger status, shall be determined and recorded.

6.4.3.3 The settings and operating conditions of NO_x control devices shall be determined and recorded.

6.4.3.4 If it is difficult to measure power directly, uncorrected brake power may be estimated by any other means as approved by the Administration. Possible methods to determine brake power include, but are not limited to:

- .1 indirect measurement in accordance with 6.3.3; or
- .2 by estimation from nomographs.

6.4.3.5 The fuel oil flow (actual consumption rate) shall be determined by:

- .1 direct measurement; or
- .2 test bed data in accordance with 6.3.1.4

6.4.4 Ambient condition measurements

6.4.4.1 Table 8 lists the ambient condition parameters that shall be measured, or calculated, and recorded at each mode point during on-board NO_x monitoring.

Table 8 – Ambient condition parameters to be measured and recorded

Symbol	Parameter	Dimension
H_a	absolute humidity (mass of engine intake air water content related to mass of dry air)	g/kg
p_b	total barometric pressure (in ISO 3046-1, 1995: $p_x=P_x$ =site ambient total pressure)	kPa
T_a	temperature at air inlet (in ISO 3046-1, 1995: $T_x=TT_x$ =site ambient thermodynamic air temperature)	K

6.4.5 Engine performance and ambient condition monitoring equipment

6.4.5.1 The engine performance and ambient condition monitoring equipment shall be installed and maintained in accordance with manufacturers' recommendations such that requirements of section 1.3 and tables 3 and 4 of appendix 4 of this Code are met in respect of the permissible deviations.

6.4.6 Test cycles

6.4.6.1 Engine operation on board under a specified test cycle may not always be possible, but the test procedure, as approved by the Administration, shall be as close as possible to the procedure defined in 3.2. Therefore, values measured in this case may not be directly comparable with test bed results because measured values are very much dependant on the test cycle.

6.4.6.2 In the case of the E3 test cycle, if the actual propeller curve differs from the E3 curve, the load point used shall be set using the engine speed, or the corresponding mean effective pressure (MEP) or mean indicated pressure (MIP), given for the relevant mode of that cycle.

6.4.6.3 Where the number of measuring points onboard is different from those on the test bed, the number of measurement points and the associated revised weighting factors shall be approved by the Administration.

6.4.6.4 Further to 6.4.6.3 where the E2/E3/D2 test cycles are applied, a minimum of load points shall be used of which the combined nominal weighing factor, as given in 3.2, is greater than 0.50.

6.4.6.5 Further to 6.4.6.3 where the C1 test cycle is applied, a minimum of one load point shall be used from each of the rated, intermediate and idle speed sections. If the number of measuring points onboard is different from those on the test bed, the nominal weighting factors at each load point shall be increased proportionally in order to sum to unity (1.0).

6.4.6.6 With regard to the application of 6.4.6.3 guidance in respect of the selection of load points and revised weighting factors is given in section 6 of appendix 8 of this Code.

6.4.6.7 The actual load points used to demonstrate compliance shall be within $\pm 5\%$ of the rated power at the modal point except in the case of 100% load where the range shall be +0 to -10% . For example, at the 75% load point the acceptable range shall be 70% – 80% of rated power.

6.4.6.8 At each selected load point, except idle, and after the initial transition period (if applicable), the engine power shall be maintained at the load set point within a 5% coefficient of variance (%C.O.V.) over a 10-minute interval. A worked example of the coefficient of variance calculation is given in section 7 of appendix 8 of this Code.

6.4.6.9 Regarding the C1 test cycle, the idle speed tolerance shall be declared, subject to the approval of the Administration.

6.4.7 *Test condition parameter*

6.4.7.1 The test condition parameter specified in 5.2.1, shall not apply to onboard NO_x monitoring. Data under any prevailing ambient condition shall be acceptable.

6.4.8 *Analyser in-service performance*

6.4.8.1 Analysing equipment shall be operated in accordance with manufacturer's recommendations.

6.4.8.2 Prior to measurement, zero and span values shall be checked and the analysers shall be adjusted as necessary.

6.4.8.3 After measurement, analyser zero and span values shall be verified as being within that permitted by 5.9.9.

6.4.9 *Data for emission calculation*

6.4.9.1 The output of the analysers shall be recorded both during the test and during all response checks (zero and span). This data shall be recorded on a strip chart recorder or other types of data recording devices. Data recording precision shall be in accordance with 5.9.7.1.

6.4.9.2 For the evaluation of the gaseous emissions, a 1-Hertz minimum chart reading of a stable 10-minute sampling interval of each load point shall be averaged. The average concentrations of NO_x, and if required CO₂, and optionally CO, HC and O₂, shall be determined from the averaged chart readings and the corresponding calibration data.

6.4.9.3 As a minimum, emission concentrations, engine performance and ambient condition data shall be recorded over the aforementioned 10-minute period.

6.4.10 *Exhaust gas flow rate*

6.4.10.1 Exhaust gas flow rate shall be determined:

- .1 in accordance with 5.5.2 or 5.5.3; or
- .2 in accordance with 5.5.4 and appendix 6 of this Code, with not measured species set to zero and c_{CO_2d} set to 0.03%.

6.4.11 Fuel oil composition

6.4.11.1 Fuel oil composition, to calculate gas mass flow wet, q_{mf} , shall be provided by one of the following:

- .1 fuel oil composition, carbon, hydrogen, nitrogen and oxygen, by analysis (default oxygen value may be adopted); or
- .2 default values as given in table 9.

Table 9 – Default fuel oil parameters

	Carbon	Hydrogen	Nitrogen	Oxygen
	w_{BET}	w_{ALF}	w_{DEL}	w_{EPS}
Distillate fuel oil (ISO 8217 DM grade)	86.2%	13.6%	0.0%	0.0%
Residual fuel oil (ISO 8217 RM grade)	86.1%	10.9%	0.4%	0.0%

6.4.12 Dry/wet correction

6.4.12.1 If not already measured on a wet basis, the gaseous emissions concentrations shall be converted to a wet basis according to:

- .1 direct measurement of the water component; or
- .2 dry/wet correction calculated in accordance with 5.12.3

6.4.13 NO_x correction for humidity and temperature

6.4.13.1 NO_x correction for humidity and temperature shall be in accordance with 5.12.4. The reference charge, or scavenge, air temperature (T_{SCRef}) shall be stated and approved by the Administration. The T_{SCRef} values are to be referenced to 25°C seawater temperature and in the application of the T_{SCRef} value due allowance shall be made for the actual seawater temperature.

6.4.14 Calculation of emission flow rates and specific emissions

6.4.14.1 The calculation of emission flow rates and specific emissions shall be in accordance with 5.12.5 and 5.12.6.

6.4.15 Limit value and allowances

6.4.15.1 In the case of the application of 6.4.6.3 the emission value obtained shall, subject to the approval of the Administration, be corrected as follows:

$$\text{Corrected gas}_x = \text{gas}_x \cdot 0.9 \quad (21)$$

6.4.15.2 The emission value, gas_x or corrected gas_x as appropriate, shall be compared to the applicable NO_x emission limit value as given in regulation 13 together with the allowance values as given in 6.3.11.1, 6.3.11.2 and 6.3.11.3 in order to verify that an engine continues to comply with the requirements of regulation 13.

6.4.16 *Data for demonstrating compliance*

6.4.16.1 Compliance is required to be demonstrated at renewal, annual and intermediate surveys or following a substantial modification as per 1.3.2. In accordance with 2.4.5, data is required to be current; that is within 30 days. Data is required to be retained on-board for at least three months. These time periods shall be taken to be when the ship is in operation. Data within that 30-day period either may be collected as a single test sequence across the required load points or may be obtained on two or more separate occasions when the engine load corresponds to that required by 6.4.6.

6.4.17 *Form of approval*

6.4.17.1 The Direct Measurement and Monitoring method shall be documented in an Onboard Monitoring Manual. The Onboard Monitoring Manual shall be submitted to the Administration for approval. The approval reference of that Onboard Monitoring Manual shall be entered under section 3 of the Supplement to the EIAPP Certificate. The Administration may issue a new EIAPP Certificate, with the details in section 3 of the Supplement duly amended, if the method is approved after the issue of the first EIAPP Certificate, i.e. following the pre-certification survey.

6.4.18 *Survey of equipment and method*

6.4.18.1 The survey of the Direct Measurement and Monitoring method shall take into account, but is not limited to:

- .1 the data obtained and developed from the required measurements; and
- .2 the means by which that data has been obtained, taking into account the information given in the Onboard Monitoring Manual as required by 6.4.14.

Chapter 7

Certification of an Existing Engine

- 7.1 Where an Existing Engine is to comply with regulation 13(7), then the entity responsible for obtaining emissions certification shall apply to the approving Administration for certification.
- 7.2 Where an application for Approved Method approval includes emission measurements and calculations, those are to be in accordance with chapter 5.
- 7.3 Emission and performance data obtained from one engine may be shown to apply to a range of engines.
- 7.4 The Approved Method for achieving compliance with regulation 13(7) shall include a copy of the Approved Method File which is required to accompany the engine throughout its life on board ship.
- 7.5 A description of the engine's on-board verification procedure shall be included in the Approved Method File.
- 7.6 After installation of the Approved Method, a survey shall be conducted in accordance with the Approved Method File. If this survey confirms compliance, the Administration shall amend the ship's IAPP Certificate accordingly.

Appendix 1

Form of EIAPP Certificate
(Refer to 2.2.10 of the NO_x Technical Code)

ENGINE INTERNATIONAL AIR POLLUTION PREVENTION CERTIFICATE

Issued under the provisions of the Protocol of 1997 to the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 related thereto (hereinafter referred to as “the Convention”) under the authority of the Government of:

.....
(full designation of the country)

by.....
*(full designation of the competent person or organization
authorized under the provisions of the Convention)*

Engine Manufacturer	Model number	Serial number	Test Cycle(s)	Rated Power (kW) and Speed (RPM)	Engine Approval number

THIS IS TO CERTIFY:

1 That the above-mentioned marine diesel engine has been surveyed for pre-certification in accordance with the requirements of the Technical Code on Control of Emission of Nitrogen Oxides from Marine Diesel Engines made mandatory by Annex VI of the Convention; and

2 That the pre-certification survey shows that the engine, its components, adjustable features, and Technical File, prior to the engine’s installation and/or service on board a ship, fully comply with the applicable regulation 13 of Annex VI of the Convention.

This certificate is valid for the life of the engine subject to surveys in accordance with regulation 5 of Annex VI of the Convention, installed in ships under the authority of this Government.

Issued at:

.....
(Place of issue of certificate)

.....20...
(Date of issue)

.....
*(signature of duly authorized official issuing
the certificate)*

(Seal or Stamp of the authority, as appropriate)

SUPPLEMENT TO ENGINE INTERNATIONAL AIR POLLUTION PREVENTION CERTIFICATE (EIAPP CERTIFICATE)

RECORD OF CONSTRUCTION, TECHNICAL FILE AND MEANS OF VERIFICATION

Notes:

- 1 This Record and its attachments shall be permanently attached to the EIAPP Certificate. The EIAPP Certificate shall accompany the engine throughout its life and shall be available on board the ship at all times.
- 2 The Record shall be at least in English, French or Spanish. If an official language of the issuing country is also used, this shall prevail in case of a dispute or discrepancy.
- 3 Unless otherwise stated, regulations mentioned in this Record refer to regulations of Annex VI of the Convention and the requirements for an engine's Technical File and means of verifications refer to mandatory requirements from the NO_x Technical Code.

1 Particulars of the engine

- 1.1 Name and address of manufacturer.....
- 1.2 Place of engine build
- 1.3 Date of engine build
- 1.4 Place of pre-certification survey
- 1.5 Date of pre-certification survey
- 1.6 Engine type and model number
- 1.7 Engine serial number
- 1.8 If applicable, the engine is a Parent Engine or a Member Engine of the following Engine Family or Engine Group
- 1.9 Individual Engine or Engine Family / Engine Group details:
 - 1.9.1 Approval reference
 - 1.9.2 Rated power (kW) and rated speed (rpm) values or ranges
 - 1.9.3 Test cycle(s)
 - 1.9.4 Parent Engine(s) test fuel oil specification
 - 1.9.5 Applicable NO_x emission limit (g/kWh), regulation 13()
 - 1.9.6 Parent Engine(s) emission value (g/kWh)

2 Particulars of the Technical File

The Technical File, as required by chapter 2 of the NO_x Technical Code, is an essential part of the EIAPP Certificate and must always accompany an engine throughout its life and always be available on board a ship.

- 2.1 Technical File identification/approval number
- 2.2 Technical File approval date

3 Specifications for the On-board NO_x Verification Procedures

The specifications for the onboard NO_x verification procedures, as required by chapter 6 of the NO_x Technical Code, are an essential part of the EIAPP Certificate and must always accompany an engine through its life and always be available on board a ship.

3.1 Engine Parameter Check method:

3.1.1 Identification/approval number

3.1.2 Approval date

3.2 Direct Measurement and Monitoring method:

3.2.1 Identification/approval number

3.2.2 Approval date

Alternatively the Simplified Measurement method in accordance with 6.3 may be utilized.

Appendix 2

Flowcharts for survey and certification of marine diesel engines *(Refer to 2.2.9 and 2.3.11 of the NO_x Technical Code)*

Guidance for compliance with survey and certification of marine diesel engines, as described in chapter 2 of this Code, is given in figures 1, 2 and 3 of this appendix:

- Figure 1. Pre-certification survey at the manufacturer's facility
- Figure 2. Initial survey on board a ship
- Figure 3. Renewal, annual or intermediate survey on-board a ship

Note: These flow charts do not show the criteria for the certification of an Existing Engine as required by regulation 13(7).

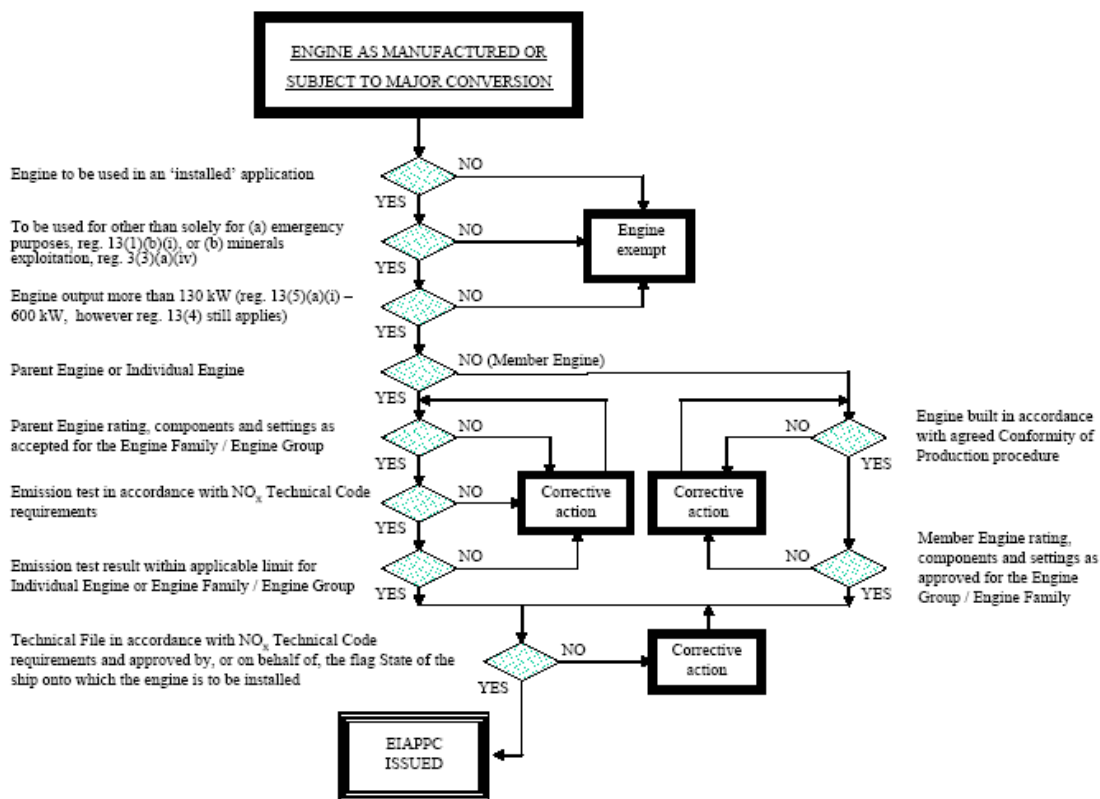


Figure 1 – Pre-certification survey at the manufacturer’s facility

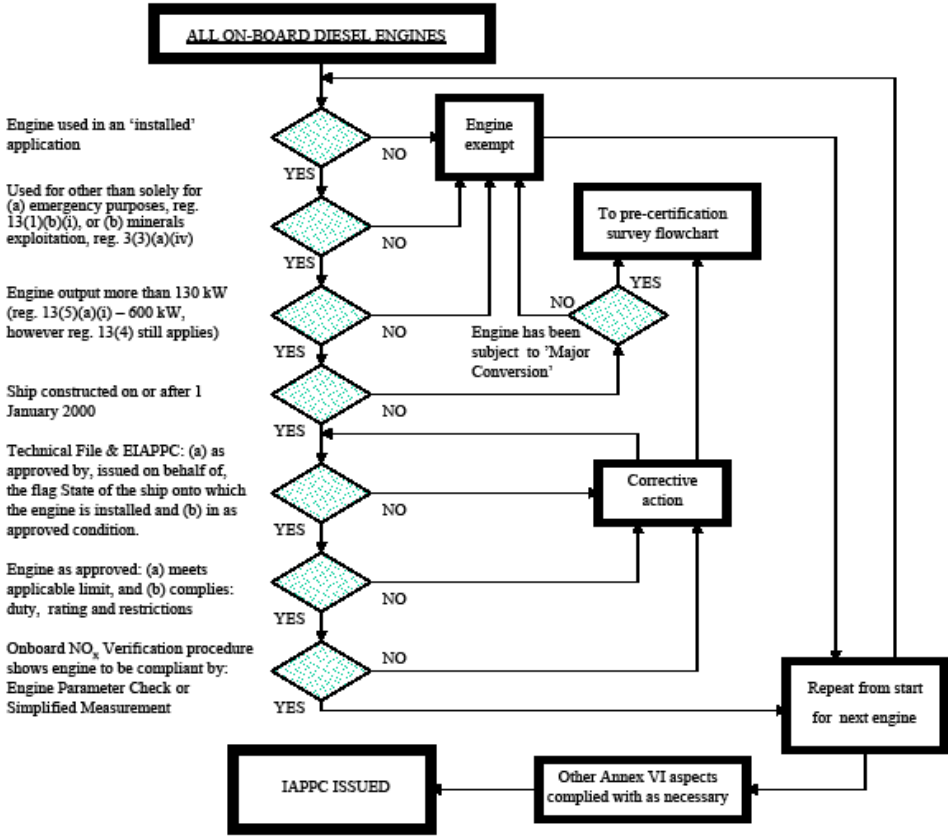


Figure 2 – Initial survey on board a ship

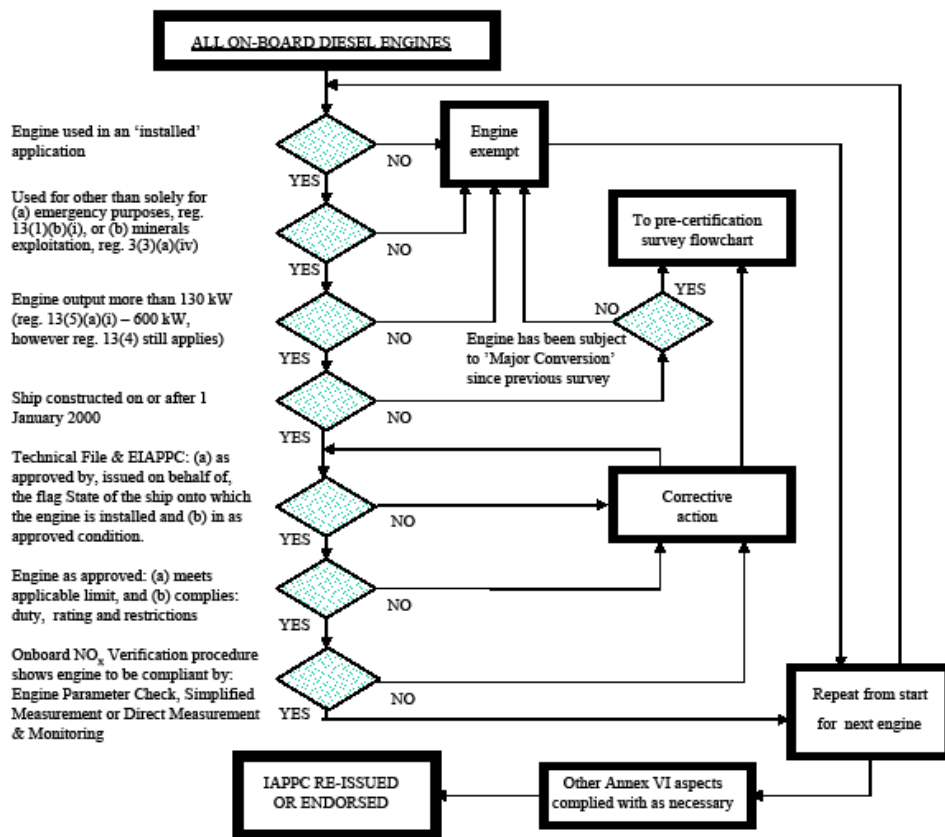


Figure 3 – Renewal, annual or intermediate survey on board a ship

Appendix 3

Specifications for analysers to be used in the determination of gaseous components of marine diesel engine emissions

(Refer to chapter 5 of the NO_x Technical Code)

1 General

1.1 The components included in an exhaust gas analysis system for the determination of the concentrations of CO, CO₂, NO_x, HC and O₂ are shown in figure 1. All components in the sampling gas path must be maintained at the temperatures specified for the respective systems.

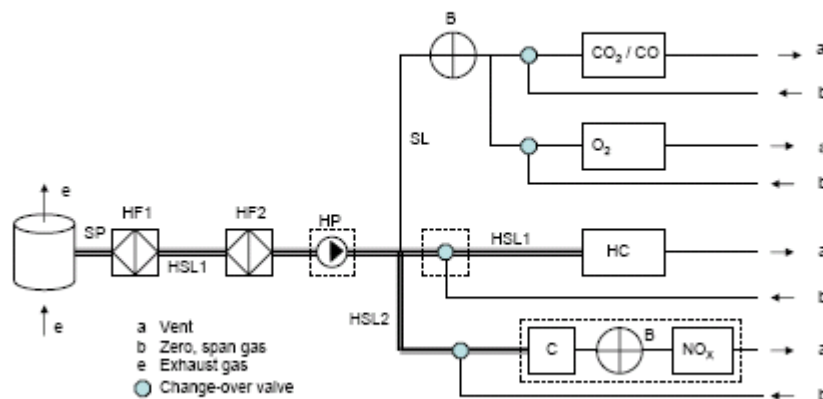


Figure 1 – Arrangement of exhaust gas analysis system

1.2 An exhaust gas analysis system shall include the following components. In accordance with chapter 5 of the Code equivalent arrangements and components may, subject to approval by the Administration, be accepted.

.1 SP – Raw exhaust gas sampling probe

A stainless steel, straight, closed-end, multi-hole probe. The inside diameter shall not be greater than the inside diameter of the sampling line. The wall thickness of the probe should not be greater than 1 mm. There should be a minimum of 3 holes in 3 different radial planes sized to sample approximately the same flow.

For the raw exhaust gas, the sample for all components may be taken with one sampling probe or with two sampling probes located in close proximity and internally split to the different analysers.

Note: If exhaust pulsations or engine vibrations are likely to affect the sampling probe, the wall thickness of the probe may be enlarged subject to the approval of the Administration.

.2 HSL1 – Heated sampling line

The sampling line provides a gas sample from a single probe to the split point(s) and the HC analyser. The sampling line shall be made of stainless steel or PTFE and have a 4 mm minimum and a 13.5 mm maximum inside diameter.

The exhaust gas temperature at the sampling probe shall not be less than 190°C. The temperature of the exhaust gas from the sampling point to the analyser shall be maintained by using a heated filter and a heated transfer line with a wall temperature of 190°C ± 10°C.

If the temperature of the exhaust gas at the sampling probe is above 190°C, a wall temperature greater than 180°C shall be maintained.

Immediately before the heated filter and the HC analyser a gas temperature of 190°C ± 10°C shall be maintained.

.3 HSL2 – Heated NO_x sample line

The sampling line shall be made of stainless steel or PTFE and maintain a wall temperature of 55°C to 200°C, up to the converter C when using a cooling unit B, and up to the analyser when a cooling unit B is not used.

.4 HF1 – Heated pre-filter (optional)

The required temperature shall be the same as for HSL1.

.5 HF2 – Heated filter

The filter shall extract any solid particles from the gas sample before the analyser. The temperature shall be the same as for HSL1. The filter shall be changed as necessary.

.6 HP – Heated sampling pump (optional)

The pump shall be heated to the temperature of HSL1.

.7 SL – Sampling line for CO, CO₂ and O₂

The line shall be made of PTFE or stainless steel. It may be heated or unheated.

.8 CO₂/CO – Carbon dioxide and carbon monoxide analysers

Non-dispersive infrared (NDIR) absorption. Either separate analysers or two functions incorporated into a single analyser unit.

.9 HC – Hydrocarbon analyser

Heated flame ionization detector (HFID). The temperature shall be kept at 180°C to 200°C.

.10 NO_x – Nitrogen oxides analyser

Chemiluminescent detector (CLD) or heated chemiluminescent detector (HCLD). If a HCLD is used, it shall be kept at a temperature of 55°C to 200°C.

Note: In the arrangement shown NO_x is measured on a dry basis. NO_x may also be measured on a wet basis in which case the analyser shall be of the HCLD type.

.11 C – converter

A converter shall be used for the catalytic reduction of NO₂ to NO prior to analysis in the CLD or HCLD.

.12 O₂ – Oxygen analyser

Paramagnetic detector (PMD), zirconium dioxide (ZRDO) or electrochemical sensor (ECS).

Note: In the arrangement shown O₂ is measured on a dry basis. O₂ may also be measured on a wet basis in which case the analyser shall be of the ZRDO type.

.13 B – cooling unit

To cool and condense water from the exhaust sample. The cooler shall be maintained at a temperature of 0°C to 4°C by ice or refrigerator. If water is removed by condensation, the sample gas temperature or dew point shall be monitored either within the water trap or downstream. The sample gas temperature or dew point should not exceed 7°C.

1.3 The analysers shall have a measuring range appropriate for the accuracy required to measure the concentrations of the exhaust gas components (see 1.6) and 5.9.7.1 of the Code. It is recommended that the analysers be operated such that the measured concentration falls between 15% and 100% of full scale. Where full scale refers to the measurement range used.

1.4 If the full scale value is 155 ppm (or ppmC) or less, or if read-out systems (computers, data loggers) that provide sufficient accuracy and resolution below 15% of full scale are used, concentrations below 15% of full scale are also acceptable. In this case, additional calibrations are to be made to ensure the accuracy of the calibration curves.

1.5 The electromagnetic compatibility (EMC) of the equipment shall be such as to minimize additional errors.

1.6 Accuracy

1.6.1 Definitions

ISO 5725-1: Technical Corrigendum1: 1998, Accuracy (trueness and precision) of measurement methods and results – Part 1: General principles and definitions, Technical Corrigendum 1.

ISO 5725-2: 1994, Accuracy (trueness and precision) of measurement methods and results – Part 2: A basic method for the determination of repeatability and reproducibility of a standard measurement method.

1.6.2 An analyser shall not deviate from the nominal calibration point by more than $\pm 2\%$ of the reading over the whole measurement range except zero, or $\pm 0,3\%$ of full scale whichever is larger. The accuracy shall be determined according to the calibration requirements laid down in section 5 of appendix 4 of this Code.

1.7 Precision

The precision, defined as 2,5 times the standard deviation of 10 repetitive responses to a given calibration or span gas, shall be not greater than $\pm 1\%$ of full scale concentration for each range used above 100 ppm (or ppmC) or $\pm 2\%$ of each range used below 100 ppm (or ppmC).

1.8 Noise

The analyser peak-to-peak response to zero and calibration or span gases over any 10 seconds period shall not exceed 2% of full scale on all ranges used.

1.9 Zero drift

Zero response is defined as the mean response, including noise, to a zero gas during a 30 seconds time interval. The drift of the zero response during a one hour period shall be less than 2% of full scale on the lowest range used.

1.10 Span drift

Span response is defined as the mean response, including noise, to a span gas during a 30-second time interval. The drift of the span response during a one-hour period shall be less than 2% of full scale on the lowest range used.

2 Gas drying

Exhaust gases may be measured wet or dry. A gas drying device, if used, shall have a minimal effect on the composition of the measured gases. Chemical dryers are not an acceptable method of removing water from the sample.

3 Analysers

Sections 3.1 to 3.5 describe the measurement principles to be used. The gases to be measured shall be analysed with the following instruments. For non-linear analysers, the use of linearizing circuits is permitted.

3.1 Carbon monoxide (CO) analysis

The carbon monoxide analyser shall be of the non-dispersive infrared (NDIR) absorption type.

3.2 Carbon dioxide (CO₂) analysis

The carbon dioxide analyser shall be of the non-dispersive infrared (NDIR) absorption type.

3.3 Hydrocarbon (HC) analysis

The hydrocarbon analyser shall be of the heated flame ionization detector (HFID) type with detector, valves, pipe-work and associated components heated so as to maintain a gas temperature of $190^{\circ}\text{C} \pm 10^{\circ}\text{C}$.

3.4 Nitrogen oxides (NO_x) analysis

The nitrogen oxides analyser shall be of the chemiluminescent detector (CLD) or heated chemiluminescent detector (HCLD) type with a NO_2/NO converter, if measured on a dry basis. If measured on a wet basis, a HCLD with converter maintained above 55°C shall be used, provided the water quench check (see section 9.2.2 of appendix 4 of this Code) is satisfied. For both CLD and HCLD, the sampling path shall be maintained at a wall temperature of 55°C to 200°C up to the converter for dry measurement, and up to the analyser for wet measurement.

3.5 Oxygen (O_2) analysis

The oxygen analyser shall be of the paramagnetic detector (PMD), zirconium dioxide (ZRDO) or electrochemical sensor (ECS) type.

Appendix 4

Calibration of the analytical and measurement instruments *(Refer to chapters 4, 5 and 6 of the NO_x Technical Code)*

1 Introduction

1.1 Each analyser used for the measurement of an engine's parameters shall be calibrated as often as necessary in accordance with the requirements of this appendix.

1.2 Except as otherwise specified, all results of measurements, test data or calculations required by this appendix shall be recorded in the engine's test report in accordance with section 5.10 of this Code.

1.3 *Accuracy of measuring instruments*

1.3.1 The calibration of all measuring instruments shall comply with the requirements as set out in tables 1, 2, 3 and 4 and shall be traceable to standards recognized by the Administration. Additional engine measurements may be required by the Administration and such additional measuring instruments used shall comply with the appropriate deviation standard and calibration validity period.

1.3.2 The instruments shall be calibrated:

- .1 in time intervals not greater than as given in tables 1, 2, 3 and 4; or
- .2 in accordance with alternative calibration procedures and validity periods subject to such proposals being submitted in advance of the tests and approved by the Administration.

Note: The deviations given in tables 1, 2, 3, and 4 refer to the final recorded value, which is inclusive of the data acquisition system.

Table 1 – Permissible deviations and calibration validity periods of instruments for engine related parameters for measurements on a test-bed

No.	Measurement instrument	Permissible deviation	Calibration validity period (months)
1	Engine speed	± 2% of reading or ± 1% of engine's maximum value, whichever is larger	3
2	Torque	± 2% of reading or ± 1% of engine's maximum value, whichever is larger	3
3	Power (where measured directly)	± 2% of reading or ± 1% of engine's maximum value, whichever is larger	3
4	Fuel consumption	± 2% of engine's maximum value	6

5	Air consumption	$\pm 2\%$ of reading or $\pm 1\%$ of engine's maximum value, whichever is larger	6
6	Exhaust gas flow	$\pm 2.5\%$ of reading or $\pm 1.5\%$ of engine's maximum value, whichever is larger	6

Table 2 – Permissible deviations and calibration interval periods of instruments for other essential parameters for measurements on a test-bed

No.	Measurement instrument	Permissible deviation	Calibration validity period (months)
1	Temperatures ≤ 600 K	± 2 K absolute	3
2	Temperatures > 600 K	$\pm 1\%$ of reading	3
3	Exhaust gas pressure	± 0.2 kPa absolute	3
4	Charge air pressure	± 0.3 kPa absolute	3
5	Atmospheric pressure	± 0.1 kPa absolute	3
6	Other pressures ≤ 1000 kPa	± 20 kPa absolute	3
7	Other pressures > 1000 kPa	$\pm 2\%$ of reading	3
8	Relative humidity	$\pm 3\%$ absolute	1

Table 3 – Permissible deviations and calibration validity periods of instruments for engine related parameters for measurements on board a ship when the engine is already pre-certified

No.	Measurement instrument	Permissible deviation	Calibration validity period (months)
1	Engine speed	$\pm 2\%$ of engine's maximum value	12
2	Torque	$\pm 5\%$ of engine's maximum value	12
3	Power (where measured directly)	$\pm 5\%$ of engine's maximum value	12
4	Fuel consumption	$\pm 4\%$ of engine's maximum value	12
5	Air consumption	$\pm 5\%$ of engine's maximum value	12
6	Exhaust gas flow	$\pm 5\%$ of engine's maximum value	12

Table 4 – Permissible deviations calibration validity period of instruments for other essential parameters for measurements onboard a ship when the engine is already pre-certified

No.	Measurement instrument	Permissible deviation	Calibration validity period (months)
1	Temperatures ≤ 600 K	± 2 K absolute	12
2	Temperatures > 600 K	± 15 K absolute	12
3	Exhaust gas pressure	$\pm 5\%$ of engine's maximum value	12
4	Charge air pressure	$\pm 5\%$ of engine's maximum value	12
5	Atmospheric pressure	$\pm 0.5\%$ of reading	12
6	Other pressures	$\pm 5\%$ of reading	12
7	Relative humidity	$\pm 3\%$ absolute	6

2 Calibration gases and zero and span check gases

The shelf life of all calibration gases and span and zero check gases shall be respected. The expiry date of the calibration gases and the zero and span check gases, stated by the manufacturer, shall be recorded.

2.1 Pure gases (including zero check gases)

2.1.1 The required purity of the gases is defined by the contamination limits given below. The following gases shall be available:

- .1 purified nitrogen (contamination ≤ 1 ppmC, ≤ 1 ppm CO, ≤ 400 ppm CO₂, $\leq 0,1$ ppm NO);
- .2 purified oxygen (purity $> 99.5\%$ volume O₂);
- .3 hydrogen-helium mixture ($40 \pm 2\%$ hydrogen, balance helium), (contamination ≤ 1 ppmC, ≤ 400 ppm CO₂); and
- .4 purified synthetic air (contamination ≤ 1 ppmC, ≤ 1 ppm CO, ≤ 400 ppm CO₂, ≤ 0.1 ppm NO (oxygen content 18% – 21% volume).

2.2 Calibration and span gases

2.2.1 Mixtures of gases having the following chemical compositions shall be available:

- .1 CO and purified nitrogen;
- .2 NO_x and purified nitrogen the amount of NO₂ contained in this calibration gas shall not exceed 5% of the NO content);

- .3 O₂ and purified nitrogen;
- .4 CO₂ and purified nitrogen; and
- .5 CH₄ and purified synthetic air or C₃H₈ and purified synthetic air.

Note: Other gas combinations are allowed provided the gases do not react with one another.

2.2.2 The true concentration of a calibration and span gas must be within $\pm 2\%$ of the nominal value. All concentrations of calibration gases shall be given on a volume basis (volume percent or volume ppm).

2.2.3 The gases used for calibration and span may also be obtained by means of precision blending devices (gas dividers), diluting with purified N₂ or with purified synthetic air. The accuracy of the mixing device must be such that the concentration of the blended calibration gases is accurate to within $\pm 2\%$. This accuracy implies that primary gases used for blending must be known to an accuracy of at least $\pm 1\%$, traceable to national or international gas standards. The verification shall be performed at between 15 and 50% of full scale for each calibration incorporating a blending device. Optionally, the blending device may be checked with an instrument which by nature is linear, e.g., using NO gas with a CLD. The span value of the instrument shall be adjusted with the span gas directly connected to the instrument. The blending device shall be checked at the used settings and the nominal value shall be compared to the measured concentration of the instrument. This difference shall in each point be within $\pm 1\%$ of the nominal value. This linearity check of the gas divider shall not be performed with a gas analyser which was previously linearized with the same gas divider.

2.2.4 Oxygen interference check gases shall contain propane or methane with 350 ppmC \pm 75 ppmC hydrocarbon. The concentration shall be determined to calibration gas tolerances by chromatographic analysis of total hydrocarbons plus impurities or by dynamic bleeding. Nitrogen shall be the predominant diluent with the balance oxygen. Blends required are listed in table 5.

Table 5 – Oxygen interference check gases

O ₂ concentration	Balance
21 (20 to 22)	Nitrogen
10 (9 to 11)	Nitrogen
5 (4 to 6)	Nitrogen

3 Operating procedure for analysers and sampling system

The operating procedure for analysers shall follow the start-up and operating instructions of the instrument manufacturer. The minimum requirements given in sections 4 to 9 shall be included.

4 Leakage test

4.1 A system leakage test shall be performed. The probe shall be disconnected from the exhaust system and the end plugged. The analyser pump shall be switched on. After an initial stabilization period all flow meters shall read zero. If not, the sampling lines shall be checked and the fault corrected.

4.2 The maximum allowable leakage rate on the vacuum side shall be 0.5% of the in-use flow rate for the portion of the system being checked. The analyser flows and bypass flows may be used to estimate the in-use flow rates.

4.3 Another method is the introduction of a concentration step change at the beginning of the sampling line by switching from zero to span gas. If after an adequate period of time the reading shows a lower concentration compared to the introduced concentration, this points to calibration or leakage problems.

4.4 Other arrangements may be acceptable subject to approval of the Administration.

5 Calibration procedure

5.1 Instrument assembly

The instrument assembly shall be calibrated and the calibration curves checked against standard gases. The same gas flow rates shall be used as when sampling exhaust.

5.2 Warming-up time

The warming-up time shall be according to the recommendations of the analyser's manufacturer. If not specified, a minimum of two hours is recommended for warming up the analysers.

5.3 NDIR and HFID analysers

The NDIR analyser shall be tuned, as necessary. The HFID flame shall be optimized as necessary.

5.4 Calibration

5.4.1 Each normally used operating range shall be calibrated. Analysers shall be calibrated not more than 3 months before being used for testing or whenever a system repair or change is made that can influence calibration, or as per provided for by 1.3.2.2.

5.4.2 Using purified synthetic air (or nitrogen) the CO, CO₂, NO_x and O₂ analysers shall be set at zero. The HFID analyser shall be set to zero using purified synthetic air.

5.4.3 The appropriate calibration gases shall be introduced to the analysers, the values recorded, and the calibration curve established according.

5.5 *Establishment of the calibration curve*

5.5.1 General Guidance

5.5.1.1 The calibration curve shall be established by at least 6 calibration points (excluding zero) approximately equally spaced over the operating range from zero to the highest value expected during emissions testing.

5.5.1.2 The calibration curve shall be calculated by the method of least-squares. A best-fit linear or non-linear equation may be used.

5.5.1.3 The calibration points shall not differ from the least-squares best-fit line by more than $\pm 2\%$ of reading or $\pm 0.3\%$ of full scale, whichever is larger.

5.5.1.4 The zero setting shall be rechecked and the calibration procedure repeated, if necessary.

5.5.1.5 If it can be shown that alternative calibration methods (e.g., computer, electronically controlled range switch, etc.) can give equivalent accuracy, then these alternatives may be used subject to the approval by the Administration.

6 **Verification of the calibration**

6.1 Each normally used operating range shall be checked prior to each analysis in accordance with the following procedure:

- .1 the calibration shall be checked by using a zero gas and a span gas whose nominal value shall be more than 80% of full scale of the measuring range; and
- .2 if, for the two points considered, the value found does not differ by more than $\pm 4\%$ of full scale from the declared reference value, the adjustment parameters may be modified. If this is not the case, a new calibration curve shall be established in accordance with 5.5 above.

7 **Efficiency test of the NO_x converter**

The efficiency of the converter used for the conversion of NO₂ into NO shall be tested as given in 7.1 to 7.8 below.

7.1 *Test set-up*

Using the test set-up as schematically shown in figure 1 and the procedure below, the efficiency of converter shall be tested by means of an ozonator.

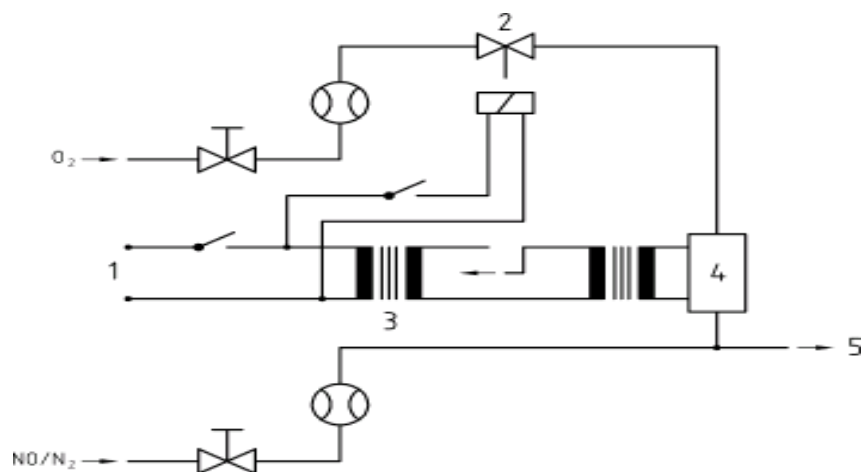


Figure 1 – Schematic representation of NO₂ converter efficiency device

- | | | | |
|---|----------------|---|-------------|
| 1 | AC | 4 | Ozonator |
| 2 | Solenoid valve | 5 | To analyser |
| 3 | Variac | | |

7.2 Calibration

The CLD and the HCLD shall be calibrated in the most common operating range following the manufacturer's specifications using zero and span gas (the NO content of which must amount to about 80% of the operating range and the NO₂ concentration of the gas mixture to less than 5% of the NO concentration). The NO_x analyser must be in the NO mode so that the span gas does not pass through the converter. The indicated concentration shall be recorded.

7.3 Calculation

The efficiency of the NO_x converter shall be calculated as follows:

$$E_{\text{NO}_x} = \left(1 + \frac{a-b}{c-d}\right) \cdot 100 \quad (1)$$

where:

- a* = NO_x concentration according to 7.6 below
- b* = NO_x concentration according to 7.7 below
- c* = NO concentration according to 7.4 below
- d* = NO concentration according to 7.5 below

7.4 Adding of oxygen

7.4.1 Via a T-fitting, oxygen or zero air is added continuously to the gas flow until the concentration indicated is about 20% less than the indicated calibration concentration given in 7.2 above. The analyser must be in the NO mode.

7.4.2 The indicated concentration (*c*) shall be recorded. The ozonator must be kept deactivated throughout the process.

7.5 Activation of the ozonator

The ozonator shall then be activated to generate enough ozone to bring the NO concentration down to about 20% (minimum 10%) of the calibration concentration given in 7.2 above. The indicated concentration (*d*) shall be recorded. The analyser must be in the NO mode.

7.6 NO_x mode

The NO analyser shall then be switched to the NO_x mode so that the gas mixture (consisting of NO, NO₂, O₂ and N₂) now passes through the converter. The indicated concentration (*a*) shall be recorded. The analyser must be in the NO_x mode.

7.7 Deactivation of the ozonator

The ozonator is then deactivated. The mixture of gases described in 7.6 above passes through the converter into the detector. The indicated concentration (*b*) shall be recorded. The analyser is in the NO_x mode.

7.8 *NO mode*

Switched to NO mode with the ozonator deactivated, the flow of oxygen or synthetic air shall also be shut off. The NO_x reading of the analyser shall not deviate by more than 5% from the value measured according to 7.2 above. The analyser must be in the NO mode.

7.9 *Test interval*

The efficiency of the converter shall be tested prior to each calibration of the NO_x analyser.

7.10 *Efficiency requirement*

The efficiency of the converter shall not be less than 90%.

8 Adjustment of the HFID

8.1 *Optimization of the detector response*

8.1.1 The HFID shall be adjusted as specified by the instrument manufacturer. A propane in air span gas shall be used to optimize the response on the most common operating range.

8.1.2 With the fuel and air flow rates set at the manufacturer's recommendations, a 350 ± 75 ppmC span gas shall be introduced to the analyser. The response at a given fuel flow shall be determined from the difference between the span gas response and the zero gas response. The fuel flow shall be incrementally adjusted above and below the manufacturer's specification. The span and zero response at these fuel flows shall be recorded. The difference between the span and zero response shall be plotted and the fuel flow adjusted to the rich side of the curve. This is the initial flow rate setting which may need further optimization depending on the results of the hydrocarbon response factors and the oxygen interference check according to 8.2 and 8.3.

8.1.3 If the oxygen interference or the hydrocarbon response factors do not meet the following specifications, the air flow shall be incrementally adjusted above and below the manufacturer's specifications, 8.2 and 8.3 for each flow.

8.1.4 The optimization may optionally be conducted using alternative procedures subject to the approval of the Administration.

8.2 *Hydrocarbon response factors*

8.2.1 The analyser shall be calibrated using propane in air and purified synthetic air, according to 5.

8.2.2 Response factors shall be determined when introducing an analyser into service and after major service intervals. The response factor (r_h) for a particular hydrocarbon species is the ratio of the HFID ppmC reading to the gas concentration in the cylinder expressed in terms of ppmC.

8.2.3 The concentration of the test gas must be at a level to give a response of approximately 80% of full scale. The concentration must be known to an accuracy of $\pm 2\%$ in reference to a gravimetric standard expressed in volume. In addition, the gas cylinder must be preconditioned for 24 hours at a temperature of $298 \text{ K} \pm 5 \text{ K}$ ($25^\circ\text{C} \pm 5^\circ\text{C}$).

8.2.4 The test gases to be used and the recommended relative response factor ranges are as follows:

- Methane and purified synthetic air $1.00 \leq r_h \leq 1.15$
- Propylene and purified synthetic air $0.90 \leq r_h \leq 1.1$
- Toluene and purified synthetic air $0.90 \leq r_h \leq 1.1$

These values are relative to a r_h of 1 for propane and purified synthetic air.

8.3 *Oxygen interference check*

8.3.1 The oxygen interference check shall be determined when introducing an analyser into service and after major service intervals.

8.3.2 A range shall be chosen where the oxygen interference check gases will fall in the upper 50%. The test shall be conducted with the oven temperature set as required. The oxygen interference gases are specified in 2.2.4.

- .1 The analyser shall be zeroed.
- .2 The analyser shall be spanned with the 21% oxygen blend.
- .3 The zero response shall be rechecked. If it has changed more than 0.5% of full scale (FS) steps 8.3.2.1 and 8.3.2.2 shall be repeated.
- .4 The 5% and 10% oxygen interference check gases shall be introduced.
- .5 The zero response shall be rechecked. If it has changed more than $\pm 1\%$ of full scale, the test shall be repeated.
- .6 The oxygen interference ($\%O_2I$) shall be calculated for each mixture in step .4 as follows:

$$\%O_2I = \frac{(B - \text{analyser response})}{B} \cdot 100 \quad (2)$$

where:

analyser response is $(A/\% \text{ FS at } A) \cdot (\% \text{ FS at } B)$

where:

A = hydrocarbon concentration in ppmC (microlitres per litre) of the span gas used in 8.3.2.2

B = hydrocarbon concentration (ppmC) of the oxygen interference check gases used in 8.3.2.4

$$(\text{ppmC}) = \frac{A}{D} \quad (3)$$

D = percent of full scale analyser response due to A

- .7 The % of oxygen interference ($\%O_2I$) shall be less than $\pm 3.0\%$ for all required oxygen interference check gases prior to testing.
- .8 If the oxygen interference is greater than $\pm 3.0\%$, the air flow above and below the manufacturer's specifications shall be incrementally adjusted, repeating 8.1 for each flow.

- .9 If the oxygen interference is greater than $\pm 3.0\%$ after adjusting the air flow, the fuel flow and thereafter the sample flow shall be varied, repeating 8.1 for each new setting.
- .10 If the oxygen interference is still greater than $\pm 3.0\%$, the analyser, HFID fuel, or burner air shall be repaired or replaced prior to testing. This clause shall then be repeated with the repaired or replaced equipment or gases.

9 Interference effects with CO, CO₂, NO_x and O₂ analysers

Gases other than the one being analysed can interfere with the reading in several ways. Positive interference occurs in NDIR and PMD instruments where the interfering gas gives the same effect as the gas being measured, but to a lesser degree. Negative interference occurs in NDIR instruments by the interfering gas broadening the absorption band of the measured gas, and in CLD instruments by the interfering gas quenching the radiation. The interference checks in 9.1 and 9.2 shall be performed prior to an analyser's initial use and after major service intervals, but at least once per year.

9.1 CO analyser interference check

Water and CO₂ can interfere with the CO analyser performance. Therefore, a CO₂ span gas having a concentration of 80% to 100% of full scale of the maximum operating range used during testing shall be bubbled through water at room temperature and the analyser response recorded. The analyser response must not be more than 1% of full scale for ranges equal to or above 300 ppm or more than 3 ppm for ranges below 300 ppm.

9.2 NO_x analyser quench checks

The two gases of concern for CLD (and HCLD) analysers are CO₂ and water vapour. Quench responses to these gases are proportional to their concentrations, and therefore require test techniques to determine the quench at the highest expected concentrations experienced during testing.

9.2.1 CO₂ quench check

9.2.1.1 A CO₂ span gas having a concentration of 80% to 100% of full scale of the maximum operating range shall be passed through the NDIR analyser and the CO₂ value recorded as *A*. It shall then be diluted approximately 50% with NO span gas and passed through the NDIR and (H)CLD, with the CO₂ and NO values recorded as *B* and *C*, respectively. The CO₂ shall then be shut off and only the NO span gas be passed through the (H)CLD and the NO value recorded as *D*.

9.2.1.2 The quench shall be calculated as follows:

$$E_{\text{CO}_2} = \left[1 - \left(\frac{C \cdot A}{(D \cdot A) - (D \cdot B)} \right) \right] \cdot 100 \quad (4)$$

where:

- A* = is the undiluted CO₂ concentration measured with NDIR in percent by volume;
- B* = is the diluted CO₂ concentration measured with NDIR in by volume;
- C* = is the diluted NO concentration measured with (H)CLD in ppm; and
- D* = is the undiluted NO concentration measured with (H)CLD in ppm.

9.2.1.3 Alternative methods of diluting and quantifying of CO₂ and NO span gas values such as dynamic mixing/blending, can be used.

9.2.2 Water quench check

9.2.2.1 This check applies to wet gas concentration measurements only. Calculation of water quench must consider dilution of the NO span gas with water vapour and scaling of water vapour concentration of the mixture to that expected during testing.

9.2.2.2 A NO span gas having a concentration of 80% to 100% of full scale of the normal operating range shall be passed through the HCLD and the NO value recorded as D. The NO span gas shall then be bubbled through water at a temperature of 298 ± 5 K ($25^\circ\text{C} \pm 5^\circ\text{C}$) and pass through the HCLD and record the NO value as C. The water temperature shall be determined and recorded as F. The mixture's saturation vapour pressure that corresponds to the bubbler water temperature (F) shall be determined and recorded as G. The water vapour concentration (H in %) of the mixture shall be calculated as follows:

$$H = 100 \cdot \left(\frac{G}{p_b} \right) \quad (5)$$

The expected diluted NO span gas (in water vapour) concentration (D_e) shall be calculated as follows:

$$D_e = D \cdot \left(1 - \frac{H}{100} \right) \quad (6)$$

For diesel engine exhaust, the maximum exhaust water concentration (in %) expected during testing shall be estimated, under the assumption of a fuel atom H/C ratio of 1.8/1, from the maximum CO₂ concentration A in the exhaust gas as follows:

$$H_m = 0.9 \cdot A \quad (7)$$

and H_m is recorded.

9.2.2.3 The water quench shall be calculated as follows:

$$E_{\text{H}_2\text{O}} = 100 \cdot \left(\frac{D_e - C}{D_e} \right) \cdot \left(\frac{H_m}{H} \right) \quad (8)$$

where:

- D_e = is the expected diluted NO concentration in ppm;
- C = is the diluted NO concentration in ppm;
- H_m = is the maximum water vapour concentration in %; and
- H = is the actual water vapour concentration in %.

Note: It is important that the NO span gas contains minimal NO₂ concentration for this check, since absorption of NO₂ in water has not been accounted for in the quench calculations.

9.2.3 Maximum allowable quench

The maximum allowable quench shall be:

- .1 CO₂-quench according to 9.2.1: 2% of full scale
- .2 Water quench according to 9.2.2: 3% of full scale

9.3 O₂ analyser interference

9.3.1 Instrument response of a PMD analyser caused by gases other than oxygen is comparatively slight. The oxygen equivalents of the common exhaust gas constituents are shown in table 6.

Table 6 – Oxygen equivalents

Gas	O ₂ equivalent %
Carbon dioxide (CO ₂)	– 0,623
Carbon monoxide (CO)	– 0,354
Nitric oxide (NO)	+ 44,4
Nitrogen dioxide (NO ₂)	+ 28,7
Water (H ₂ O)	– 0,381

9.3.2 The observed oxygen concentration shall be corrected by the following formula:

$$E_{O_2} = \frac{(\text{Equivalent } O_2 \cdot c_{\text{observed}})}{100} \quad (9)$$

9.3.3 For ZRDO and ECS analysers, instrument interference caused by gases other than oxygen shall be compensated in accordance with the manufacturer's recommendations and with good engineering practice. Electrochemical sensors shall be compensated for CO₂ and NO_x interference.

Appendix 5

Parent Engine test reports
(Refer to 2.4.1.5 and 5.10 of the NO_x Technical Code)

Section 1 – Parent Engine test report – see 5.10 of the Code

Emissions Test Report No.

Sheet 1/5

Engine:			
Manufacturer			
Engine type			
Engine Family or Engine Group identification			
Serial number			
Rated speed			rpm
Rated power			kW
Intermediate speed			rpm
Maximum torque at intermediate speed			Nm
Static injection timing			deg CA BTDC
Electronic injection control	no:	yes:	
Variable injection timing	no:	yes:	
Variable turbocharger geometry	no:	yes:	
Bore			mm
Stroke			mm
Nominal compression ratio			
Mean effective pressure, at rated power			kPa
Maximum cylinder pressure, at rated power			kPa
Cylinder number and configuration	Number:	V:	In-line:
Auxiliaries			
Specified ambient conditions:			
Maximum seawater temperature			°C
Maximum charge air temperature, if applicable			°C
Cooling system spec. intermediate cooler	no:	yes:	
Cooling system spec. charge air stages			
Low/high temperature cooling system set points	/		°C
Maximum inlet depression			kPa
Maximum exhaust back pressure			kPa
Fuel oil specification			
Fuel oil temperature			°C

Emissions test results:				
Cycle				
NO _x				g/kWh
Test identification				
Date/time				
Test site/bench				
Test number				
Surveyor				
Date and place of report				
Signature				

Engine Family / Engine Group Information (Common specifications)	
Combustion cycle	2 stroke cycle/4 stroke cycle
Cooling medium	air/water
Cylinder configuration	Required to be written, only if the exhaust cleaning devices are applied
Method of aspiration	natural aspired/pressure charged
Fuel type to be used on board	distillate/distillate or heavy fuel/dual
Combustion chamber	Open chamber/divided chamber
Valve port configuration	Cylinder head/cylinder wall
Valve port size and number	
Fuel system type	

Miscellaneous features:	
Exhaust gas recirculation	no / yes
Water injection/emulsion	no / yes
Air injection	no / yes
Charge cooling system	no / yes
Exhaust after-treatment	no / yes
Exhaust after-treatment type	
Dual fuel	no / yes

Engine Family / Engine Group Information (Selection of Parent Engine for test bed test)					
Family/Group Identification					
Method of pressure charging					
Charge air cooling system					
Criteria of the selection of Parent Engine	Highest NO _x emission value				
Number of cylinder					
Max. rated power per cylinder					
Rated speed					
Injection timing (range)					
Selected parent engine					Parent
Test cycle(s)					

Emissions Test Report No.

Test Cell Information

Sheet 3/5

Exhaust Pipe	
Diameter	Mm
Length	M
Insulation	no: yes:
Probe location	

Measurement equipment					
	Manufacturer	Model	Measurement ranges	Calibration	
				Span gas conc.	Deviation of calibration
Analyser					
NO _x Analyser			ppm		%
CO Analyser			ppm		%
CO ₂ Analyser			%		%
O ₂ Analyser			%		%
HC Analyser			ppmC		%
Speed			rpm		%
Torque			Nm		%
Power, if applicable			kW		%
Fuel flow					%
Air flow					%
Exhaust flow					%
Temperatures					
Charge air coolant inlet			°C		°C
Exhaust gas			°C		°C
Inlet air			°C		°C
Intercooled air			°C		°C
Fuel			°C		°C
Pressures					
Exhaust gas			kPa		%
Charge air			kPa		%
Atmospheric			kPa		%
Vapour pressure					
Intake air			kPa		%
Humidity					
Intake air			%		%

Fuel Characteristics

Fuel type				
Fuel properties:			Fuel elemental analysis:	
Density	ISO 3675	kg/m ³	Carbon	% m/m
Viscosity	ISO 3104	mm ² /s	Hydrogen	% m/m
Water	ISO 3733	% V/V	Nitrogen	% m/m
			Oxygen	% m/m
			Sulphur	% m/m
			LHV/Hu	MJ/kg

Emissions Test Report No.

Sheet 4/5

Ambient and Gaseous Emissions Data

Mode		1	2	3	4	5	6	7	8	9	10
Power/Torque	%										
Speed	%										
Time at beginning of mode											

Ambient Data											
Atmospheric pressure	kPa										
Intake air temperature	°C										
Intake air humidity	g/kg										
Air temperature at RH sensor*	°C										
Dry bulb temperature of intake air*	°C										
Wet bulb temperature of intake air*	°C										
Test condition parameter (f _a)											

Gaseous Emissions Data:											
NO _x concentration dry/wet	ppm										
CO concentration	ppm										
CO ₂ concentration	%										
O ₂ concentration dry/wet	%										
HC concentration	ppmC										
NO _x humidity correction factor											
Dry/wet correction factor											
NO _x mass flow	kg/h										

CO	mass flow	kg/h										
CO ₂	mass flow	kg/h										
O ₂	mass flow	kg/h										
HC	mass flow	kg/h										
NO _x	specific	g/kWh										

* As applicable

Emissions Test Report No.

Sheet 5/5

Engine Test Data

Mode		1	2	3	4	5	6	7	8	9	10
Power/Torque	%										
Speed	%										
Time at beginning of mode											

Engine Data											
Speed	rpm										
Auxiliary power	kW										
Dynamometer setting	kW										
Power	kW										
Mean effective pressure	kPa										
Fuel rack	mm										
Uncorrected spec. fuel consumption	g/kWh										
Fuel flow	kg/h or m ³ /hr*										
Air flow	kg/h										
Exhaust flow (q_{mew})	kg/h										
Exhaust temperature	°C										
Exhaust back pressure	kPa										
Charge air coolant temperature in	°C										
Charge air coolant temperature out	°C										
Charge air temperature	°C										
Intercooled air reference temperature	°C										

Charge air pressure	kPa										
Fuel oil temperature	°C										

* As applicable

Section 2 – Parent Engine test data to be included in the Technical File – see 2.4.1.5 of the Code

Engine Family/Engine Group Reference		
Parent Engine		
Model/Type		
Nominated rated power	kW	
Nominated rated speed	rpm	

Parent Engine test fuel oil		
Reference fuel designation		
ISO 8217: 2005 grade		
Carbon	% m/m	
Hydrogen	% m/m	
Sulphur	% m/m	
Nitrogen	% m/m	
Oxygen	% m/m	
Water	% V/V	

Measured data (Parent Engine)									
Power/Torque	%								
Speed	%								
Mode point		1	2	3	4	5	6	7	8
Engine Performance									
Power	kW								
Speed	rpm								
Fuel flow	kg/h								
Intake air flow (wet/dry)	kg/h								
Exhaust gas flow	kg/h								
Intake air temperature	°C								
Charge air temperature	°C								
Intercooled air reference temperature	°C								
Charge air pressure	kPa								
Additional parameter(s) used for emission corrections (specify)									
Ambient conditions									
Atmospheric pressure	kPa								
Relative humidity (RH) of intake air									
Air temperature at RH sensor*	°C								
Dry bulb temperature of intake air*	°C								
Wet bulb temperature of intake air*	°C								
Absolute humidity of intake air *	g/kg								

Emission concentrations									
NO _x wet/dry	ppm								
CO ₂	%								
O ₂ wet/dry	%								
CO	ppm								
HC	ppmC								
Calculated data (Parent Engine)									
Intake air humidity	g/kg								
Charge air humidity	g/kg								
Test condition parameter, f_a									
Dry/wet correction factor, k_{wr}									
NO _x humidity correction factor, k_{hd}									
Exhaust gas flow rate	kg/h								
NO _x emission flow rate,	kg/h								
Additional emission correction factor(s) (specify)	g/kWh								
	g/kWh								
NO _x emission	g/kWh								

Test cycle					
Emission value	g/kWh				

*As applicable

Appendix 6

Calculation of exhaust gas mass flow (carbon-balance method)

(Refer to chapter 5 of the NO_x Technical Code)

1 Introduction

1.1 This appendix addresses the calculation of the exhaust gas mass flow based on exhaust gas concentration measurement, and on the knowledge of fuel consumption. Symbols and descriptions of terms and variables used in the formulae for the carbon-balance measurement method are summarized in the Introduction of this Code.

1.2 Except as otherwise specified, all results of calculations required by this appendix shall be reported in the engine's test report in accordance with 5.10 of the Code.

2 Carbon balance method, 1-step calculation procedure

2.1 This method involves exhaust mass calculation from fuel consumption, fuel composition and exhaust gas concentrations.

2.2 Exhaust gas mass flow rate on wet basis:

$$q_{mew} = q_{mf} \cdot \left(\left(\frac{w_{BET} \cdot w_{BET} \cdot 14}{\left(\frac{14 \cdot w_{BET}}{f_c} + w_{ALF} \cdot 0.08936 - 1 \right) \cdot \frac{1}{1.293} + f_{fd}} + w_{ALF} \cdot 0.08936 - 1 \right) \cdot \left(1 + \frac{H_a}{1000} \right) + 1 \right) \quad (1)$$

with

f_{fd} according to equation (2), f_c according to equation (3).

H_a is the absolute humidity of intake air, in gram water per kg dry air, however if

$H_a \geq H_{SC}$, then H_{SC} shall be used in place of H_a in formula (1)

Note: H_a may be derived from relative humidity measurement, dewpoint measurement, vapour pressure measurement or dry/wet bulb measurement using the generally accepted formulae.

2.3 The fuel specific constant f_{fd} for the dry exhaust can be calculated by adding up the additional volumes of the combustion of the fuel elements:

$$f_{fd} = -0.055593 \cdot w_{ALF} + 0.008002 \cdot w_{DEL} + 0.0070046 \cdot w_{EPS} \quad (2)$$

- 2.4 H_a is the humidity of the intake air at the inlet to the air filter in g water per kg dry air.
- 2.5 Carbon factor f_c according to equation (3):

$$f_c = (c_{CO2d} - c_{CO2ad}) \cdot 0.5441 + \frac{c_{COd}}{18522} + \frac{c_{HCw}}{17355} \quad (3)$$

with

- c_{CO2d} = dry CO₂ concentration in the raw exhaust, %
 c_{CO2ad} = dry CO₂ concentration in the ambient air, % = 0.03%
 c_{COd} = dry CO concentration in the raw exhaust, ppm
 c_{HCw} = wet HC concentration in the raw exhaust, ppm

Appendix 7

Checklist for an Engine Parameter Check method *(Refer to 6.2.2.5 of the NO_x Technical Code)*

1 For some of the parameters listed below, more than one survey possibility exists. In such cases, as a guideline, any one of, or a combination of, the below listed methods may be sufficient to show compliance. As approved by the Administration, the ship operator, supported by the applicant for engine certification, may choose which method is applicable.

- .1 parameter “injection timing”
 - .1 Fuel cam position (individual cam or camshaft if cams are not adjustable),
 - optional (dependent on design): position of a link between the cam and the pump drive,
 - optional for sleeve-metered pumps: VIT index and cam position or position of the barrel, or
 - other sleeve metering device;
 - .2 start of delivery for certain fuel rack positions (dynamic pressure measurement);
 - .3 opening of injection valve for certain load points, e.g., using a Hall sensor or acceleration pick-up;
 - .4 load-dependent operating values for charge air pressure, combustion peak pressure, charge air temperature, exhaust gas temperature versus graphs showing the correlation with NO_x. Additionally, it shall be ensured that the compression ratio corresponds to the initial certification value (see 1.7).

Note: To assess the actual timing, it is necessary to know the allowable limits for meeting the emission limits or even graphs showing the influence of timing on NO_x, based on the test-bed measurement results.
- .2 parameter “injection nozzle”
 - .1 specification and component identification number
- .3 parameter “injection pump”
 - .1 component identification number (specifying plunger and barrel design)
- .4 parameter “fuel cam”
 - .1 component identification number (specifying shape)
 - .2 start and end of delivery for a certain fuel rack position (dynamic pressure measurement)

- .5 parameter “injection pressure”
 - .1 only for common-rail systems: load-dependent pressure in the rail, graph showing correlation with NO_x
- .6 parameter “combustion chamber”
 - .1 component identification numbers for the cylinder head and piston head
- .7 parameter “compression ratio”
 - .1 check for actual clearance
 - .2 check for shims in piston rod or connecting rod
- .8 parameter “turbocharger type and build”
 - .1 model and specification (identification numbers)
 - .2 load-dependent charge air pressure, graph showing the correlation with NO_x
- .9 parameter “charge air cooler, charge air heater”
 - .1 model and specification
 - .2 load-dependent charge air temperature corrected to reference conditions, graph showing the correlation with NO_x
- .10 parameter “valve timing” (only for 4-stroke engines with inlet valve closure before BDC)
 - .1 cam position
 - .2 check actual timing
- .11 parameter “water injection” (for assessment: graph showing influence on NO_x)
 - .1 load-dependent water consumption (monitoring)
- .12 parameter “emulsified fuel” (for assessment: graph showing influence on NO_x)
 - .1 load-dependent fuel rack position (monitoring)
 - .2 load-dependent water consumption (monitoring)
- .13 parameter “exhaust gas recirculation” (for assessment: graph showing influence on NO_x)
 - .1 load-dependent mass flow of recirculated exhaust gas (monitoring)

- .2 CO₂ concentration in the mixture of fresh air and recirculated exhaust gas, i.e. in the “scavenge air” (monitoring)
- .3 O₂ concentration in the “scavenge air” (monitoring)
- .14 parameter “selective catalytic reduction” (SCR)
 - .1 load-dependent mass flow of reducing agent (monitoring) and additional periodical spot checks on NO_x concentration after SCR (for assessment: graph showing influence on NO_x)

2 For engines with selective catalytic reduction (SCR) without feedback control, optional NO_x measurement (periodical spot checks or monitoring) is useful to show that the SCR efficiency still corresponds to the state at the time of certification regardless of whether the ambient conditions or the fuel quality led to different raw emissions.

Appendix 8

Implementation of the Direct Measurement and Monitoring method (Refer to 6.4 of the NO_x Technical Code)

1 Electrical equipment: materials and design

1.1 Electrical equipment shall be constructed of durable, flame-retardant, moisture resistant materials, which are not subject to deterioration in the installed environment and at the temperatures to which the equipment is likely to be exposed.

1.2 Electrical equipment shall be designed such that current carrying parts with potential to earth are protected against accidental contact.

2 Analysing equipment

2.1 Analysers

2.1.1 The exhaust gases shall be analysed with the following instruments. For non-linear analysers, the use of linearizing circuits is permitted. Other systems or analysers may be accepted, subject to the approval of the Administration, provided they yield equivalent results to that of the equipment referenced below:

.1 Nitrogen oxides (NO_x) analysis

The nitrogen oxides analyser shall be of the chemiluminescent detector (CLD) or heated chemiluminescent detector (HCLD) type. The exhaust gas sampled for NO_x measurement shall be maintained above its dewpoint temperature until it has passed through the NO₂ to NO converter.

Note: In the case of raw exhaust gas this temperature shall be greater than 60°C if the engine is fuelled with ISO 8217 DM-grade type fuel and greater than 140°C if fuelled with ISO 8217 RM-grade type fuel.

.2 Carbon dioxide (CO₂) analysis

When required, the carbon dioxide analyser shall be of the non-dispersive infrared (NDIR) absorption type.

.3 Carbon monoxide (CO) analysis

When required, the carbon monoxide analyser shall be of the non-dispersive infrared (NDIR) absorption type.

.4 Hydrocarbon (HC) analysis

When required, the hydrocarbon analyser shall be of the heated flame ionization detector (HFID) type. The exhaust gas sampled for HC measurement shall be maintained at 190°C ±10°C from the sample point to the detector.

.5 Oxygen (O₂) analysis

When required, the oxygen analyser shall be of the paramagnetic detector (PMD), zirconium dioxide (ZRDO) or electrochemical sensor (ECS) type.

2.2 *Analyser specifications*

2.2.1 The analyser specifications shall be consistent with 1.6, 1.7, 1.8, 1.9 and 1.10 of appendix 3 of this Code.

2.2.2 The analyser range shall be such that the measured emission value is within 15% – 100% of the range used.

2.2.3 The analysing equipment shall be installed and maintained in accordance with manufacturers' recommendations in order to meet the requirements of 1.7, 1.8, 1.9, and 1.10 of appendix 3 of this Code and sections 7 and 9 of appendix 4 of this Code.

3 Pure and calibration gases

3.1 Pure and calibration gases, as required, shall comply with 2.1 and 2.2 of appendix 4 of this Code. Declared concentrations shall be traceable to national and/or international standards. Calibration gases shall be in accordance with the analysing equipment manufacturers' recommendations.

3.2 Analyser span gases shall be between 80% – 100% of the analyser scale being spanned.

4 Gas sampling and transfer system

4.1 The exhaust gas sample shall be representative of the average exhaust emission from all the engine's cylinders. The gas sampling system shall comply with 5.9.3 of this Code.

4.2 The exhaust gas sample shall be drawn from a zone within 10% to 90% of the duct diameter.

4.3 In order to facilitate the installation of the sampling probe, an example of a sample point connection flange is given in section 5.

4.4 The exhaust gas sample for NO_x measurement shall be maintained so as to prevent NO₂ loss via water or acid condensation in accordance with analysing equipment manufacturers' recommendations.

4.5 The gas sample shall not be dried by chemical driers.

4.6 The gas sampling system shall be capable of being verified to be free of ingress leakage in accordance with analysing equipment manufacturers' recommendations.

4.7 An additional sample point adjacent to that used shall be provided to facilitate quality control checks on the system.

5 Sample point connection flange

5.1 The following is an example of a general purpose sample point connection flange which shall be sited, as convenient, on the exhaust duct of each engine for which it may be required to demonstrate compliance by means of the Direct Measurement and Monitoring method.

Description	Dimension
Outer diameter	160 mm
Inner diameter	35 mm
Flange thickness	9 mm
Bolt circle diameter 1	130 mm
Bolt circle diameter 2	65 mm
Flange slots	4 holes, each 12 mm diameter, equidistantly placed on each of the above bolt circle diameters. Holes on the two bolt circle diameters to be aligned on same radii. Flange to be slotted, 12 mm wide, between inner and outer bolt circle diameter holes.
Bolts and nuts	4 sets, diameter and length as required.
Flange shall be of steel and be finished with a flat face.	

5.2 The flange shall be fitted to a stub pipe of suitable gauge material aligned with the exhaust duct diameter. The stub pipe shall be no longer than necessary to project beyond the exhaust duct cladding, sufficient to enable access to the far side of the flange. The stub pipe shall be insulated. The stub pipe shall terminate at an accessible position free from nearby obstructions which would interfere with the location or mounting of a sample probe and associated fittings.

5.3 When not in use, the stub pipe shall be closed with a steel blank flange and a gasket of suitable heat resisting material. The sampling flange, and closing blank flange, when not in use, shall be covered with a readily removable and suitable heat resistant material which protects against accidental contact.

6 Selection of load points and revised weighting factors

6.1 As provided for by 6.4.6.3 of this Code, in the case of the E2/E3/D2 test cycles, the minimum number of load points shall be such that the combined nominal weighting factors, as given in 3.2 of this Code, are greater than 0.50.

6.2 In accordance with 6.1, for the E2 and E3 test cycles it would be necessary to use the 75% load point plus one or more other load points. In the case of the D2 test cycle, either the 25% or 50% load point shall be used plus either one or more load points such that the combined nominal weighting factor is greater than 0.50.

6.3 The examples below give some of the possible combinations of load points which may be used together with the respective revised weighting factors:

.1 E2 and E3 test cycles

Power	100%	75%	50%	25%
Nominal weighting factor	0.2	0.5	0.15	0.15
Option A	0.29	0.71		
Option B		0.77	0.23	
Option C	0.24	0.59		0.18
Plus other combinations which result in a combined nominal weighting factor greater than 0.50. Hence use of the 100% + 50% + 25% load points would be insufficient.				

.2 D2 test cycle

Power	100%	75%	50%	25%	10%
Nominal weighting factor	0.05	0.25	0.3	0.3	0.1
Option D			0.5	0.5	
Option E		0.45		0.55	
Option F		0.38	0.46		0.15
Option G	0.06	0.28	0.33	0.33	
Plus other combinations which result in a combined nominal weighting factor greater than 0.50. Hence use of the 100% + 50% + 10% load points would be insufficient.					

6.4 In the case of the C1 test cycle, as a minimum, one load point from each of the rated, intermediate and idle speed sections shall be used. The examples below give some of the possible combinations of load points which may be used together with the respective revised weighting factors:

C1 test cycle

Speed	Rated				Intermediate			Idle
	100%	75%	50%	10%	100%	75%	50%	0%
Torque	100%	75%	50%	10%	100%	75%	50%	0%
Nominal weighting factor	0.15	0.15	0.15	0.1	0.1	0.1	0.1	0.15
Option H		0.38			0.25			0.38
Option I				0.29		0.29		0.43
Option J	0.27	0.27					0.18	0.27
Option K	0.19	0.19	0.19	0.13		0.13		0.19
Plus other combinations incorporating at least one load point at each of rated, intermediate and idle speeds.								

6.5 Examples of calculation of revised weighting factors:

.1 For a given load point, revised weighting factors shall be calculated as follows:

$y\%$ load = nominal weighting factor at load $y \cdot (1/(\text{sum of the load factors for load points where data was acquired}))$

.2 For Option A:

75% load: revised value is calculated as: $0.5 \cdot (1/(0.5 + 0.2)) = 0.71$

100% load: revised value is calculated as: $0.2 \cdot (1/(0.5 + 0.2)) = 0.29$

.3 For Option F:

75% load: revised value is calculated as: $0.25 \cdot (1/(0.25 + 0.3 + 0.1)) = 0.38$

.4 The revised weighting factors are shown to two decimal places. However, the values to be applied to equation 18 shall be to the full precision. Hence in the Option F case above the revised weighting factor is shown as 0.38 although the actual calculated value is 0.384615. Consequently, in these examples of revised weighting factors the summation of the values shown (to two decimal places) may not sum to 1.00 due to rounding.

7 Determination of power set point stability

7.1 To determine set point stability, the power coefficient of variance shall be calculated over a 10-minute interval, and the sampling rate shall be at least 1-Hz. The result shall be less than or equal to five percent (5%).

7.2 The formulae for calculating the coefficient of variance are as follows:

$$Ave = \frac{1}{N} \sum_{j=1}^N x_j \tag{1}$$

$$S.D. = \sqrt{\frac{1}{N-1} \sum_{i=1}^N (x_i - Ave)^2} \tag{2}$$

$$\%C.O.V. = \frac{S.D.}{Ave} \cdot 100 \leq 5\% \tag{3}$$

where:

- %C.O.V. power coefficient of variance in %
- S.D. standard deviation
- Ave Average
- N total number of data points sampled
- x_i, x_j $i^{\text{th}}, j^{\text{th}}$ value of power data point in kW
- i index variable in standard deviation formula
- j index variable in average formula