Conditions for Swapping for the Caterpillar, Incorporated (Caterpillar®) Diesel Particulate Filter (DPF) System

Relating to Executive Order Series: DE-08-004-1

Effective Date: April 15, 2013

Component swapping means the movement of designated parts between different vehicles/applications utilizing the same Diesel Emission Control Strategies (DECS) as defined in the *Verification Procedure, Warranty, and In-Use Compliance Requirements for In-Use Strategies to Control Emissions from Diesel Engines* (Procedure) in Section 2701, Title 13, *California Code of Regulations*.

Swapping of a Caterpillar® DPF System is only permitted under the following terms and conditions:

- The owner of the DECS must receive written authorization from Caterpillar allowing the practice of DPF swapping with a spare filter for cleaning purposes.

- A DPF may only be swapped temporarily for the purpose of cleaning the originally installed filter.

- Swapping only applies to the DPF component of the DECS.

- The swapped Caterpillar® DPF belongs to verified configurations covered under Executive Order Series DE-08-004-01 for Caterpillar® DPF system.

- Swapping is allowed only within the same common ownership fleet as defined in Section 2701 of the Procedure.

- Caterpillar must provide detailed written instructions to the authorized owner in the owner's manual, installation manual, or other manual regarding how to swap and install spare filter. Caterpillar may not include any prohibitions or limitations to the required warranty (Sections 2706(i)(3) and 2707 of the Procedure), nor can the instructions direct the owner of the DECS to conduct any activity which violates the terms of the governing Executive Order series or any other applicable regulation.

- Within ten days of a written request from ARB, Caterpillar must provide an exact copy of these instructions in their entirety.

- The spare DPF must be the same size and model, and incorporate the same flange type or muffler design as the original DPF. The swapped filters must belong to verified configurations covered under the corresponding Executive Order series.

- The spare filter must fit directly in place of the original DPF in the correct filter orientation without modification of the existing installation.

- The original filter must be promptly re-installed on the vehicle upon completion of the cleaning process.

- The spare DPF must be properly maintained as specified in the Caterpillar Installation and Operation Manual.

- The end user and installer must verify that the vehicle meets the terms of the original verification.

- The vehicle or engine whose DPF has been removed must remain in compliance with the terms and conditions of the applicable Executive Order series and have all DECS components present and functional.

- The spare DPF must be installed by the procedure described in the corresponding DECS installation manual or other manual designated for swapping procedures.

- Prior to installation of either the spare DPF or original DPF, the exhaust system must be inspected for the presence of lubricating oil, fuel, and other engine related fluids.

- Caterpillar must honor the original product warranty and warranty period.

- The DPF cannot be swapped among DECS in different verification categories (For example: the DPF of a DECS that is verified for off-road vehicles cannot be installed into a DECS that is on an on-road vehicle).

- If the installer of the swapped DPF is not the same as the installer who performed the original installation of the DECS, the new installer must assume the installation warranty responsibilities for the swapped DPF as defined in Section 2707 for the remainder of the original warranty period or until another installer installs the spare or original DPF. If the original installation warranty has expired or has less than 1 year remaining, the

installer must issue a new warranty to guard against potential installation defects. The new installation warranty must meet the requirements of Section 2707 except that the minimum period is reduced to 1 year from the date of installation. Any transfer of a DECS or component by an installer that does not offer this installation warranty is not considered a valid installation.

- Caterpillar must maintain accurate records of the vehicles and systems subject to the swapping policy. For every swapped DPF, these records must include: DECS serial number, DPF part number, DPF serial number, name of the end-user, engine serial number, vehicle mileage or hours, and date of removal or installation. Caterpillar must provide these records to ARB within 30 days of receiving a written request from ARB.

- No party shall advertise, sell, lease, or offer for sale or lease a used, verified DECS or component.

Conditions for Re-Designation for the Caterpillar, Incorporated (Caterpillar®) Diesel Particulate Filter (DPF) System

Relating to Executive Order Series: DE-08-004-1

Effective Date: April 15, 2013

Re-designation means the removal, within the same common ownership fleet, of a complete used verified Diesel Emission Control Strategies (DECS) from an appropriate engine in a vehicle/application and installation to another appropriate engine in a vehicle/application that meets the terms and conditions of the DECS Executive Order as defined in the *Verification Procedure, Warranty, and In-Use Compliance Requirements for In-Use Strategies to Control Emissions from Diesel Engines* in Section 2701, Title 13, Code of California Regulations.

No component re-designation of Caterpillar® DPF System is allowed.