

**Conditions for Swapping for the Baumot AG (Baumot),  
Diesel Particulate Filter System BAB-US (BAB-US)  
Relating to Executive Order Series DE-18-002  
Effective Date: May 9, 2018**

Component Swapping means the movement of designated parts among different vehicles/applications utilizing the same diesel emission control strategy (DECS) as defined in the *Verification Procedure, Warranty, and In-Use Compliance Requirements for In-Use Strategies to Control Emissions from Diesel Engines* (the verification procedure or procedure) in Section 2701, Title 13, *California Code of Regulations*.

Swapping only applies to the diesel particulate filter (DPF) component of the BAB-US system

Swapping occurs within the same common ownership fleet as defined in Section 2701 of the verification procedure.

The installer must verify that the recipient vehicle meets the terms and conditions of the governing Executive Order.

No party shall advertise, sell, lease, or offer for sale or lease a used verified BAB-US system or DPF.

Swapping of a BAB-US DPF is permitted only under the following terms and conditions:

The owner of the DECS must have the swapping work performed by a Baumot authorized party that is approved in writing by Baumot to swap DPFs. Baumot shall ensure that all parties engaged in DPF swapping must follow the requirements of the *Verification Procedure, Warranty, and In-Use Compliance Requirements for In-Use Strategies to Control Emissions from Diesel Engines*, Title 13, *California Code of Regulations*, Sections 2700-2711 (Procedure), the governing Executive Order series, and Baumot's swapping procedures, and must maintain detailed information regarding the swapped DPF, vehicles, and systems with swapped components. Records must be provided to Baumot per its requirements.

Baumot must provide detailed written instructions in the owner's manual and installation manual to the authorized party on how to swap and install the DPF component of the BAB-US system. Baumot must not include any prohibitions or limitations to the required warranty (Sections 2706(i) and 2707) 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. Baumot is responsible for ensuring parties conducting swapping have the training and/or information to:

1. Accurately keep records on the systems, DPFs, and vehicles
2. Determine the DPF is fully functional, in the verified configuration, compliant with the Procedure, and compliant with the governing Executive Order series
3. Correctly install the DPF on an appropriate engine/vehicle

4. Correctly clean and service the DPF and/or system if Baumot authorizes that as part of the swapping practice

Within ten days of a written request by California Air Resources Board (CARB), Baumot must provide an exact copy of these instructions in their entirety.

The swapped DPFs must be identical in all respects (including part number) and part of the same DECS having the same DECS Family Name.

The swapped BAB-US system DPF belongs to verified configurations covered under Executive Order Series DE-18-002 for the BAB-US system. Recipient engines/vehicles must be fitted with the same DECS.

The installer must verify that the new recipient vehicle/engine meets the terms of the original verification.

BAB-US system DPFs cannot be swapped across verification categories (e.g., a part of a verified off-road technology cannot be used in an on-road system).

The donor vehicle/engine whose component has been moved must remain in compliance with the terms and conditions of the applicable Executive Order and have all DECS components present and functional.

The swapped BAB-US system DPF must be installed by the procedure described within the BAB-US system owner's manual or installation manual.

Baumot must honor the original product warranty and warranty period.

The Installer, with direction from Baumot, must confirm that the BAB-US system is still able to achieve its verified emissions levels. Prior the DPF installation, a visual inspection must be performed. A post-DPF field opacity test must be conducted. The opacity reading must be 1.49% or lower for the filter to be considered as a good component. Readings between 1.5% and 3% will be assessed individually and readings greater than 3% indicate a failed filter which will have to be replaced. The installer must report the opacity value to Baumot within one week of the opacity test and must maintain a physical record of the opacity test for the duration of the warranty period.

If the installer of the swapped component of the BAB-US system is not the same as the installer who did the original installation of the DECS, the new installer must assume the installation warranty responsibilities defined in Section 2707 for the remainder of the original warranty period or until another installer swaps the component or re-designates the system. 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.

Baumot must ensure systems can be tracked for in-use compliance, warranty, and recall purposes. Baumot must ensure that accurate records of the vehicles, fleets, party responsible for swapping, and systems subject to the swapping policy are maintained. The information must allow for easy identification of the DPF and the history of both the system and DPF. This must include:

- Fleet information including name, telephone number and address of all vehicles with swapped cores
- Complete contact information for party responsible for swapping
- Age of BAB-US system
- System serial number on the DPF or other unique identifier of the individual core being swapped
- Unique system serial number or other unique identification of the donor system the filter was removed from and recipient vehicle on which the DPF was installed
- Vehicle Identification Numbers (VINs) for the donor vehicle and recipient vehicle
- Date installed
- Mileage at installation
- Date of removal
- Mileage at removal
- Date of cleaning(s)
- Date re-installed
- Mileage at re-installation
- These records apply to all swapped DPFs regardless of location

If all these conditions are not met, the swapping will be considered to be invalid and in non-compliance with the terms of the governing Executive Order and Verification Procedure.