

**Conditions for Swapping and Re-designation Policy for the Johnson Matthey,
Incorporated (JMI), Continuously Regenerating Technology (CRT®)
Diesel Particulate Filter (DPF)**

September 6, 2012

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 of a JMI CRT® system is permitted only under the following terms and conditions:

The owner of the DECS receives written authorization from JMI allowing the practice.

JMI must provide detailed written instructions in the owner's manual and installation manual to the authorized end-user regarding how to swap and install the CRT® filter system. JMI may neither include any prohibitions or limitations to the required warranty (Sections 2706(i) & 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.

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

JMI must provide written instructions for assessing if the CRT® filter system still meets its verified emissions reductions, and instructions for device movement to prevent installation on an inappropriate vehicle.

Swapping only applies to the DPF component of the CRT® filter system.

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

The swapped CRT® filter system is identical in all respects and part of the same DECS having the same DECS Family Name.

The swapped CRT® filter DPF belongs to verified configurations covered under Executive Order Series DE-08-008 for the CRT® filter system.

Recipient engines/vehicles must be fitted with the same DECS.

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

CRT[®] filter 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 CRT[®] filter system DPF must be installed by the procedure described within the CRT[®] filter system installation manual.

If the installer of the swapped component of the CRT[®] filter 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.

JMI will require that the end-user maintain accurate records of the vehicles and systems subject to the swapping policy. This must include:

- System Serial Number on Filter
- Vehicle Identification Number (VIN) initially installed on
- Date installed
- Mileage at installation
- Date of removal
- Mileage at removal
- Date of cleaning
- VIN re-installed on
- Date re-installed
- Mileage at re-installation
- and so on for each removal for cleaning

JMI will require that the end-user provide these records within 30 days of the written request by ARB.

No party shall advertise, sell, lease, or offer for sale or lease a used verified CRT[®] filter system.

**Conditions for Re-designation for the Johnson Matthey, Incorporated (JMI),
Continuously Regenerating Technology (CRT®) Diesel Particulate Filter (DPF)**

September 6, 2012

Re-designation means the removal, within the same common ownership fleet, of a complete used verified Diesel Emission Control Strategy (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* (the verification procedure or procedure) in Section 2701, Title 13, *California Code of Regulations*. Re-designation of a JMI CRT® filter system is permitted only under the following terms and conditions:

All re-designations must be performed by an authorized JMI distributor.

On behalf of the user, the authorized JMI distributor must request formal approval for the re-designation from JMI. This request is to be sent to:

Mr. Marty Lassen in care of Johnson Matthey
900 Forge Avenue, Suite 100
Audubon, Pennsylvania 19403

or by email at lassem@jmusa.com

If all the conditions for the re-designation are met, JMI may issue a written letter of approval.

This letter must include the following information:

- User contact information (Name, Company, Address, Phone, Email, etc.)
- Donor Vehicle information
 - Vehicle Identification Number (VIN)
 - Engine Family Number (EFN) and Serial Number (SN)
 - Date CRT® filter was installed
 - Mileage when installed
 - DECS Serial Number
- Vehicle to be re-designated to
 - VIN
 - EFN and SN

Re-designation may only occur within a same common ownership fleet.

The re-designated system must not be more than seven years old. Re-designation may only be done if it will meet all the requirements of the CRT® filter Executive Order. The user/installer must confirm in writing that all of the conditions of the Executive Order are met.

All components of the CRT® filter may be re-designated except for the following:

Table 1 List of exception components for re-designation

System with CRTdm G4 or earlier	
Description	Part Number
CRTdm Data Monitoring Device	JM P/N – 12464 – Includes the CRTdm and pressure sensor and CRTdm Installation Manual.
CRTdm Installation Kit	JM P/N – 12457 – Includes thermocouple, backpressure sampling tube and wiring.
CRTdm Remote Display Module (RDM)	JM P/N – 9363
CRT Installation Manual	JM P/N - 10587
System with CRTdm G5	
Description	Part Number
CRTdm Remote Display Module (RDM)	JM P/N – 9363
Exhaust back pressure sensor	JM P/N - 10106
CRTdm Installation Kit	JM P/N – 12457 – Includes thermocouple, backpressure sampling tube and wiring.
10' Backpressure Signal Wire Extension	JM P/N – 12441
¼" NPT x ¼" Tube Fitting	JM P/N - 12456
CRTdm Installation Manual	JM P/N - 12481
CRT Installation Manual	JM P/N - 10587
CRTdm Sensor Mounting Bracket Kit	JM P/N - 12463

These components allowed for re-designation must be purchased from JMI as a CRT® Filter Re-Designation Kit ((Part Number 12647 for CRTdm G4 or earlier, and Part Number 12646 for CRTdm G5).

The DECS engine label from the donor vehicle must be removed and relocated to the recipient vehicle. If it is too badly damaged, a DECS Replacement Label will be issued by JMI.

The distributor, with direction from JMI, must confirm that the CRT® filter 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 percent or lower for the filter to be considered as a good component. Readings between 1.5 and 3 percent will be assessed individually, and readings greater than 3 percent indicate a failed filter which will have to be replaced. The Distributor must report the opacity value to JMI within 1 week of the opacity test and must maintain a physical record of the opacity test for the duration of the warranty period.

The Distributor will, in the end, report to JMI that all conditions of the Executive Order were met and will provide JMI with the date of installation and the mileage when the re-designation was completed.

If all these conditions are not met, the re-designation will be considered to be illegal. JMI may not hold warranty responsibility, and the user/distributor may be liable for any and all fines that the Air Resources Board may issue for installation of a non-verified system.