

Conditions for Diesel Particulate Filter (DPF) Swapping and Re-designation Policy for the Proventia FTF™ and Bobtail FTF™

November 2011

Component swapping means the movement of designated parts between different vehicles/applications within the same common ownership fleet 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, Code of California Regulations (CCR). The DPF component of the Proventia FTF™ or Bobtail FTF™ may be swapped with another available Proventia FTF™ or Bobtail FTF™ DPF, only under the following terms and conditions:

- The owner of the DECS must receive written authorization from Proventia allowing the practice.
- Swapping only applies to the DPF component of the Proventia FTF™ or Bobtail FTF™.
- Swapped DPFs must have the label with the appropriate part number.
- Swapped DPFs must be identical and have the same part number and share a common diesel emissions control strategy family name verified under Executive Order DE-08-001.
- Swapped DPFs must be properly maintained as specified in the Proventia owner's manual.
- Proventia must provide detailed written instructions in the owner's manual and installation manual on the installation and reinstallation practices required in the swapping of DPFs and the possible repercussions to the end user if such practices are done in an inappropriate manner.
- Proventia must provide written instructions for assessing if the Proventia FTF™ or Bobtail FTF™ DPF that is swapped still meets the verified emissions reductions, and instructions for device movement to prevent installation on an inappropriate vehicle.
- Prior to the installation of the swapped DPF, the exhaust system must be inspected for the presence of lubricating oil, fuel, or other engine related fluids.
- The end user and installer must verify that the recipient engines meet the terms of the original verification.
- The vehicle/engine from which the original filter was removed must remain in compliance with the terms and conditions of the applicable Executive Order and have all DECS components present and functional.
- The swapped DPFs must be installed by the procedure described within the Proventia FTF™ or Bobtail FTF™ installation manual or an addendum to the owner and installation manual.
 - Within ten days of a written request by the Air Resources Board (ARB), Proventia must provide an exact copy of these instructions in their entirety.

- Proventia must honor the original product warranty and warranty period and 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 verification or any other applicable regulation.
- The installer must honor the original installation warranty and warranty period (see section 2707). If the installer of the swapped DPF 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 DPF again. If the original installation warranty has expired or has less than one 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 one year from the date of installation. Any transfer of a DECS by an installer that does not offer this installation warranty is not considered a valid installation.
- Proventia must maintain accurate records of the vehicles and systems subject to the swapping policy. This must include: vehicle identification number, Proventia FTF™ or Bobtail FTF™ serial number per the engine label, and DPF serial number for every swapped DPF within a common ownership fleet. Proventia must 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 Proventia FTF™ or Bobtail FTF™ or component.

Conditions for Re-Designation of Proventia's FTF™ and Bobtail FTF™

November 2011

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 re-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, Code of California Regulations (CCR). Re-designation of a Proventia FTF™ or Bobtail FTF™ is permitted only under the following terms and conditions:

- The owner of the DECS must receive written authorization from Proventia allowing the practice.
- The re-designation must be performed by Proventia or its authorized distributor or installer.
- The system must not be more than ten years old, based on the date of manufacture listed on the system label. Re-designation of devices of unknown age is prohibited.
- Re-designation must occur within the same common ownership fleet as defined in Section 2701 of the verification procedure.
- The end user and installer must verify that the new recipient transport refrigeration unit (TRU) application and engine meets the terms of the original verification covered under Executive Order series DE-08-001.
- A DECS installed on a TRU that is repowered may remain installed provided:
 - The replacement engine meets all the terms and conditions of the governing Executive Order series DE-08-001,
 - The Proventia FTF™ or Bobtail FTF™ is not more than ten years old (based on the date and month of manufacture) and,
 - The appropriate DECS engine label shall be affixed on a visible location on the replacement engine.
- Proventia must provide detailed written instructions in the owner's manual and installation manual, or in an addendum to the owner and installation manuals, on the installation and reinstallation practices required for appropriate re-designation and possible repercussions to the end user if such practices are done in an inappropriate manner.
 - Within ten days of a written request by ARB, Proventia must provide an exact copy of these instructions in their entirety.
- Proventia must provide written instructions for assessing if the Proventia FTF™ or Bobtail FTF™ still meets its verified emissions reductions, and instructions for device movement to prevent installation on an inappropriate vehicle.
- Re-designation applies to the entire system, not component parts.

- The re-designated Proventia FTF™ or Bobtail FTF™ must belong to a verified configuration covered under Executive Order series DE-08-001.
- Proventia must honor the original product warranty and warranty period (see section 2702 and 2707). Proventia may not include any prohibitions or limitations to the required warranty (Section 2706(i)(3)(F) 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.
- The installer must honor the original installation warranty and warranty period (see section 2707). If the installer of the re-designated Proventia FTF™ or Bobtail FTF™ 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 re-designates the system. If the original installation warranty has expired or has less than one 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 one year from the date of installation. Any transfer of a re-designated diesel emissions control strategy by an installer that does not offer this installation warranty is not considered a valid installation.
- Proventia must maintain accurate records of the vehicles and systems subject to the re-designation policy. This must include: end user contact information, vehicle identification number, Proventia FTF™ or Bobtail FTF™ serial number, and operating hours. Proventia must be able to track re-designation throughout the fleet. Proventia must 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 Proventia FTF™ or Bobtail FTF™ or component.
- Any party which removes a verified Proventia FTF™ or Bobtail FTF™ from an engine/application must remove the verified DECS engine label. If the engine label cannot be removed whole, it must be destroyed.
- Any party which re-designates a verified Proventia FTF™ or Bobtail FTF™ to another engine/application which was never previously retrofit with that exact Proventia FTF™ or Bobtail FTF™ must obtain and properly install an appropriate DECS engine label.
- Any party which removes a verified Proventia FTF™ or Bobtail FTF™ from an engine/application must ensure the engine/application returns to its original factory configuration.
- Proventia must provide written instructions for assessing if the Proventia FTF™ or Bobtail FTF™ still meets its verified emissions reductions and instructions for device movement to prevent installation on an inappropriate vehicle.
 - The re-designated Proventia FTFTM or Bobtail FTFTM shall only be installed on a TRU engine that conforms to all the terms and conditions of Executive Order series DE-08-001.

- The installation of the re-designated system must be performed according to the procedures listed in the Proventia FTF™ or Bobtail FTF™ installation manual, or an addendum to the owner and installation manual..
- Proventia specifically requires the installer of a re-designated FTF to also:
 - Confirm that the VDECS is in a good state of operation by checking the indicator gage and finding it is not in the red zone on the donor TRU installation, per the owner's manual.
 - Install a new controller assembly.
 - Install a new exhaust tube insulation set.
 - Replace injectors or nozzles on the recipient engine, per the FTF owner's manual.
 - Confirm normal oil consumption on the recipient engine, per rate in owner's manual.
 - Visually inspect a fuel sample from the recipient engine's fuel tank for contamination (e.g. engine oil).
 - Inspect the recipient engine for signs of poor maintenance, including oil leaks.
 - Inspect the recipient engine's tailpipe for signs of oil contamination.
 - Inspect the recipient engine's exhaust plume for signs of high PM emissions and oil burning.