

CATERPILLAR INC.

EXECUTIVE ORDER U-R-001-0629

New Off-Road Compression-Ignition Engines

Pursuant to the authority vested in California Air Resources Board by Sections 43013, 43018, 43101, 43102, 43104 and 43105 of the Health and Safety Code; and

Pursuant to the authority vested in the undersigned by Sections 39515 and 39516 of the Health and Safety Code and Executive Order G-19-095;

IT IS ORDERED AND RESOLVED: That the following compression-ignition engines and emission control systems produced by the manufacturer are certified as described below for use in off-road equipment. Production engines shall be in all material respects the same as those for which certification is granted.

MODEL YEAR	ENGINE FAMILY	DISPLACEMENT (liters)	FUEL TYPE	USEFUL LIFE (hours)		
2021	MCPXL09.3HPA	9.3	Diesel	8000		
00501	N. FEATURES & EMISSION	U CONTROL OVOTEMO	TYPICAL FOURMENT APPL	IOATION .		
SPECIA	AL FEATURES & EMISSION	N CONTROL SYSTEMS	TYPICAL EQUIPMENT APPLICATION			
Electronic Oxidatio	Direct Injection, Turboch n Catalyst, Engine Contro Recirculation, Periodic	arger, Charge Air Cooler, ol Module, Exhaust Gas Trap Oxidizer	Excavator			

The engine models and codes are attached.

The following are the exhaust certification standards (STD), or family emission limit(s) (FEL) as applicable, and certification levels (CERT) for non-methane hydrocarbon (NMHC), oxides of nitrogen (NOx), or non-methane hydrocarbon plus oxides of nitrogen (NMHC+NOx), carbon monoxide (CO), and particulate matter (PM) in grams per kilowatt-hour (g/kw-hr), and the opacity-of-smoke certification standards and certification levels in percent (%) during acceleration (Accel), lugging (Lug), and the peak value from either mode (Peak) for this engine family (Title 13, California Code of Regulations, (13 CCR) Section 2423):

RATED	EMISSION			E	XHAUST (g/kw	-hr)		OF	PACITY (%	a)
POWER CLASS	STANDARD CATEGORY		NMHC	NOx	NMHC+NOx	СО	PM	ACCEL	LUG	PEAK
130 <u><</u> kW <u><</u> 560	Tier 4 Final/ ALT 5% NOx	STD	0.19	0.40	N/A	3.5	0.02	N/A	N/A	N/A
		FEL	N/A	2.0	1	N/A	N/A	N/A	N/A	N/A
		CERT	0.06	1.6		0.2	0.002			

BE IT FURTHER RESOLVED: That the family emission limit(s) (FEL) is an emission level declared by the manufacturer for use in any averaging, banking and trading program and in lieu of an emission standard for certification. It serves as the applicable emission standard for determining compliance of any engine within this engine family under 13 CCR Sections 2423 and 2427.

BE IT FURTHER RESOLVED: That for the listed engine models, the manufacturer has submitted the information and materials to demonstrate certification compliance with 13 CCR Section 2424 (emission control labels), and 13 CCR Sections 2425 and 2426 (emission control system warranty).

Engines certified under this Executive Order must conform to all applicable California emission regulations.

This Executive Order is only granted to the engine family and model-year listed above. Engines in this family that are produced for any other model-year are not covered by this Executive Order.

Executed on this 3rd day of September 2020.

Allen Lyons, Chief

Emissions Certification and Compliance Division

Engine Model Summary Template

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Engine Family	1.Engine Code	Engine Family 1.Engine Code 2.Engine Model	3.BHP@RPM (SAE Gross)	4. Fuel Rate: 5. Fuel Rate: mm/stroke @ peak HP (lbs/hr) @ peak HP 6. Torque @ RPM (for diesel only) (for diesels only) (SEA Gross)	5.Fuel Rate: (lbs/hr) @ peak HP (for diesels only)	6.Torque @ RPM (SEA Gross)	7.Fuel Rate: 8.Fuel Rate: mm/stroke@peak (lbs/hr)@peak torque torque	8.Fuel Rate: (lbs/hr)@peak torque	9.Emission Control Device Per SAE J1930
MCPXL09.3HPA	Cert Test 1	C9.3	409@1900	226	144	1413@1400	305	144 DFI,T	144 DFI,TC,ECM,CAC,EGR,PTOX,OC
MCPXL09.3HPA	_	C9.3	270/1880	164	104	1041@1600	208	112 DFI,T	112 DFI,TC,ECM,CAC,EGR,PTOX,OC
MCPXL09.3HPA	2	C9.3	270/1880	164	104	1041@1600	203	109 DFI,T	109 DFI,TC,ECM,CAC,EGR,PTOX,OC
MCPXL09.3HPA	3	C9.3	345/1800	199	121	1161@1400	216	102 DFI,T	102 DFI,TC,ECM,CAC,EGR,PTOX,OC