



# Air Resources Board



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Secretary for  
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**Edmund G. Brown Jr.**  
Governor

February 14, 2014

Mail-Out #ECARS 14-02

TO: All Interested Parties

SUBJECT: ANNUAL WARRANTY REPORT FORMAT FOR INSTALLERS AND  
MANUFACTURERS OF DIESEL EMISSION CONTROL STRATEGIES

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On August 23, 2012, the Air Resources Board (ARB or Board) approved amendments to the *Verification Procedure, Warranty, and In-Use Compliance Requirements for the In-Use Strategies to Control Emissions from Diesel Engines*, Title 13, California Code of Regulations, Sections 2700 through 2711 (Procedure). The amendments were approved by the Office of Administrative Law in August 2013 and became effective on October 1, 2013.

These amendments specify that manufacturers and authorized installers of diesel emission control strategies (DECS) must submit annual warranty reports to the Executive Officer. The installation warranty reports are due by March 1 of each calendar year. Authorized installers must provide DECS manufacturers a copy of the information that pertains to the DECS manufacturer's products. The manufacturer warranty reports are due by April 1 of each calendar year. These reports must contain information described in Section 2707(c) and (d) of the Procedure. The consequences of failing to submit the annual warranty report or submitting an incomplete report are described in the same section of the Procedure.

Warranty reports have been required from the DECS manufacturers since the original adoption of the Procedure. The warranty reporting requirements were modified to clarify that all warranty claims must be submitted in the annual report and delineate whether the claims are valid warranty claims or denied claims. To differentiate the claims in the report, the amendments defined the following two terms: newly defined terms called "Valid Warranty Claim" and "Warranty Claim"; these terms seek to differentiate repairs done by manufacturer and installer as a good will gesture versus warranty claims that are rightfully the responsibility of either the installer or device manufacturer. In addition, amendments require that authorized installers are identified in the manufacturer's warranty report.

Previously installers submitted their warranty reports to the manufacturer; the adopted amendments require that installers submit an installation warranty report to ARB. The

*The energy challenge facing California is real. Every Californian needs to take immediate action to reduce energy consumption. For a list of simple ways you can reduce demand and cut your energy costs, see our website: <http://www.arb.ca.gov>.*

California Environmental Protection Agency

installation warranty report follows the manufacturer warranty report format with added fields that are specific to the installation process.

The adopted amendments require that the manufacturer and installation warranty report be submitted in a format specified by the Executive Officer. The warranty reports are approved to be submitted electronically as a Microsoft Excel (Excel) spreadsheet in the format provided in the attachments. The attachments to this mail-out contain the data definition files and the data input templates as required by ARB for submitting annual warranty reports. ARB recommends submittal of the electronic data on a compact disc.

Attachments 1 and 3 contain an overview of the data file structure required for electronic submittal and provide description of the data fields for the manufacturer's warranty report and installation warranty report, respectively. The database field name and the corresponding definition are provided in these documents.

Attachments 2 and 4 contain the manufacturer's warranty report and installer's warranty report data template, respectively. These templates, in their Excel format, are the warranty report information data input files that were developed for submittal to ARB. The warranty reports (Attachments 2 and 4) may be mailed to ARB on a compact disc or submitted via e-mail.

The warranty reports (Attachments 2 and 4), with the exception of warranty reports for fuel additives or alternative diesel fuels, locomotive applications, stationary applications, transport refrigeration units, rubber-tired gantry cranes, and marine applications, must be submitted to:

CHIEF, IN-USE VEHICLE PROGRAMS BRANCH  
AIR RESOURCES BOARD  
9480 TELSTAR AVENUE, SUITE 4  
EL MONTE, CA 91731  
Attn. Mr. Keith Macias at [kmacias@arb.ca.gov](mailto:kmacias@arb.ca.gov)

All warranty reports for systems utilizing any form of fuel additive or alternative diesel fuel, including any fuel additive or alternative diesel fuel intended for locomotives, must be submitted to:

CHIEF, ALTERNATIVE FUELS BRANCH  
AIR RESOURCES BOARD  
1001 I STREET  
SACRAMENTO, CA 95814  
Attn. Ms. Susie Chung at [schung@arb.ca.gov](mailto:schung@arb.ca.gov)

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All warranty reports for systems intended for use with locomotive (except those utilizing any form of fuel additive or alternative diesel fuel) must be submitted to:

CHIEF, FREIGHT TRANSPORTATION BRANCH  
AIR RESOURCES BOARD  
1001 I STREET  
SACRAMENTO, CA 95814  
Attn. Mr. Michael Jaczola at [mjaczola@arb.ca.gov](mailto:mjaczola@arb.ca.gov)

All warranty reports for systems intended for use with stationary applications, transport refrigeration units (TRU), rubber-tired gantry cranes, or marine applications must be submitted to:

CHIEF, EMISSIONS ASSESSMENT BRANCH  
AIR RESOURCES BOARD  
1001 I STREET  
SACRAMENTO, CA 95814  
Attn. Mr. John Lee at [jlee@arb.ca.gov](mailto:jlee@arb.ca.gov)  
Attn. Mr. Rod Hill (for TRUs) at [rhill@arb.ca.gov](mailto:rhill@arb.ca.gov)

The warranty report files are also available for download on the ARB website at <http://www.arb.ca.gov/diesel/verdev/verdev.htm>. If you have questions regarding the warranty reports, please contact Mr. Keith A. Macias, Manager, at 626 575-6600 or by e-mail at [kmacias@arb.ca.gov](mailto:kmacias@arb.ca.gov).

Sincerely,



Annette Hebert, Chief  
Emissions Compliance, Automotive Regulations and Science Division

Attachments (4):

- 1) Manufacturer Warranty Report Field Definitions
- 2) Manufacturer Warranty Report Data Template
- 3) Installation Warranty Report Field Definitions
- 4) Installation Warranty Report Data Template

cc: see next page

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cc: Mr. Keith A. Macias, Manager  
In-Use Compliance and Evaluation Section  
Emissions Compliance, Automotive Regulations and Science Division

Ms. Suzie Chung  
Air Pollution Specialist  
Stationary Source Division

Mr. Michael Jaczola  
Staff Air Pollution Specialist  
Stationary Source Division

Mr. John Lee  
Air Resources Engineer  
Stationary Source Division

Mr. Rod Hill  
Staff Air Pollution Specialist  
Stationary Source Division

List serve announcement for Mail-Out of Annual Warranty Report Format to be posted after Workshop in February—provides templates for submittal (List serve—Diesel Retrofit, MS Mailings):

## ANNUAL WARRANTY REPORT FORMAT FOR INSTALLERS AND MANUFACTURERS OF DIESEL EMISSION CONTROL STRATEGIES

On October 1, 2013, amendments to 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) became effective, requiring manufacturers and installers of diesel emission control strategies (DECS) submit their annual warranty report in a format approved by the Air Resources Board (ARB). The purpose of this mail-out is to provide the electronic annual warranty report format for submittal to ARB.

Warranty reports have been required from the DECS manufacturers since the original adoption of the Procedure. The warranty reporting requirements were modified to clarify that all warranty claims must be submitted in the annual report and delineate whether the claims are valid warranty claims or denied claims. In addition, the adopted amendments require that authorized installers are identified in the manufacturer's warranty report.

Previously installers submitted their warranty information to the manufacturer, however, the adopted amendments require that installers begin submitting an installation warranty report directly to ARB. The installation warranty report follows the manufacturer warranty report format with added fields that are specific to the installation process.

Attachments 1 and 3 contain an overview of the data file structure and provide description of the data fields for the manufacturer's warranty report and installation warranty report, respectively. Attachments 2 and 4 contain the manufacturer's warranty report and installation warranty report data template, respectively. These are the warranty report information data input files, in Microsoft Excel format, to be used for submittal to ARB.

To download the warranty report templates and template definition files, please go to:

[insert link to actual electronic templates:

<http://www.arb.ca.gov/msprog/mailouts/msc1136/msc1136.pdf>]

For more information about the Verification Program, please go to:

<http://www.arb.ca.gov/diesel/verdev/verdev.htm>

If you have any questions or require additional information, please contact Eniko Szarnyasi, Air Resources Engineer at (626) 350-6415 or

via email at [eszarnya@arb.ca.gov](mailto:eszarnya@arb.ca.gov).

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The Verification Procedure is used to evaluate diesel emission control strategies to determine if they obtain real and durable reductions of particulate matter and/or oxides of nitrogen thereby allowing them to be used as fleet rule compliance options. The Procedure requires device manufacturers and the authorized installers to provide yearly warranty reports in a format specified by ARB. Changes to these requirements became effective on October 1, 2013.