



Air Resources Board



Matthew Rodriguez
Secretary for
Environmental Protection

Mary D. Nichols, Chair
9480 Telstar Avenue, Suite 4
El Monte, California 91731 • www.arb.ca.gov

Edmund G. Brown Jr.
Governor

March 02, 2016

Mail-Out #ECARS 16-02

TO: All Interested Parties

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

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* (Verification Procedure) specifies that 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 1st of each calendar year. Authorized installers must provide DECS manufacturers a copy of the information that pertains to the manufacturer's products. These reports must contain information described in Section 2707(d) of the Verification Procedure. The consequences of failing to submit the annual warranty report or submitting an incomplete report may subject the authorized installer to civil penalties as specified in state law and regulations including, but not limited to, Health and Safety Code Sections 39674(a) and (b) that authorizes penalties for the violation of programs for the regulation of toxic air contaminants, such as diesel particulate matter.

The Verification Procedure requires that the installation warranty report be submitted in a format specified by the Executive Officer. In order to improve data integrity and accuracy, the Air Resources Board (ARB) has updated the Microsoft Excel (Excel) spreadsheet template. Because ARB received many questions regarding what information should be input into various fields, ARB staff revised the template to include several drop-down menus that provide options to select information. Additionally, several installers last year requested to receive notification that their installation warranty reports were due. Therefore, ARB staff will post this mail-out and mail a hardcopy to all authorized installers listed in the manufacturer's warranty reports from last year.

Attachment 1 contains an overview of the updated data file structure required for electronic submittal and provides descriptions of the data fields for the installation warranty report. The database field name and the corresponding definition are provided in these documents. Attachment 2 contains the updated installation warranty report template in Excel format.

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

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The warranty reports (Attachment 2), with the exception of warranty reports for fuel additives or alternative diesel fuels, locomotive applications, stationary applications, transport refrigeration units (TRUs), rubber-tired gantry cranes (RTGs), and marine applications, should be submitted via email to:

CHIEF, IN-USE PROGRAMS BRANCH
AIR RESOURCES BOARD
9480 TELSTAR AVENUE, SUITE 4
EL MONTE, CALIFORNIA 91731

For installation warranty report, send to inst.warranty.rpt@arb.ca.gov.

All warranty reports for strategies 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, OIL & GAS AND GHG MITIGATION BRANCH
AIR RESOURCES BOARD
1001 I STREET
SACRAMENTO, CALIFORNIA 95814

Attn. Ms. Susie Chung at schung@arb.ca.gov

All warranty reports for strategies intended for use with locomotive (except those utilizing any form of fuel additive or alternative diesel fuel), stationary, TRUs, RTGs, or marine applications must be submitted to:

CHIEF, EMISSIONS ASSESSMENT BRANCH
AIR RESOURCES BOARD
1001 I STREET
SACRAMENTO, CALIFORNIA 95814

Attn. Mr. John Lee (for stationary, marine, and RTGs) at jlee@arb.ca.gov


Attn. Mr. Rod Hill (for TRUs) at rhill@arb.ca.gov

Attn. Mr. Michael Jaczola (for locomotive) at mjaczola@arb.ca.gov

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The warranty report files are also available for download on the ARB website at <http://www.arb.ca.gov/diesel/verdev/vr/warranty.htm>. If you have questions regarding the warranty reports, please contact Mr. Keith A. Macias, Manager, at 626 575-6600 or by email at kmacias@arb.ca.gov or Mr. Doh-Won Lee, Air Resources Engineer, at (626) 350-6543 or by email at doh-won.lee@arb.ca.gov.

Sincerely,



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

Attachments (2):

- 1) Installation Warranty Report Field Definitions
- 2) Installation Warranty Report Template

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

Mr. Michael Jaczola
Staff Air Pollution Specialist
Transportation and Toxics Division

Mr. Rod Hill
Staff Air Pollution Specialist
Transportation and Toxics Division

Mr. Doh-Won Lee
Air Resources Engineer
Emissions Compliance, Automotive Regulations and Science Division

Mr. John Lee
Air Resources Engineer
Transportation and Toxics Division

Ms. Susie Chung
Air Pollution Specialist
Industrial Strategies Division

Attachment 1 - Installers Warranty Report Field Definitions

Annual Installation Warranty Report to the Air Resources Board (ARB) For Verified Diesel Emission Control Technologies

CONFIDENTIAL

All authorized installers of Diesel Emission Control Strategies are required to submit an annual installation warranty report by March 1 of each calendar year as per Title 13, California Code of Regulations, section 2707(d). The installation warranty report must include all installation warranty claims, even those that did not result in warranty service for each verified strategy with a unique diesel emission control strategy family name for which they are authorized.

A: Company Information (entity which holds or which held the verification)

Reporting Year	Calendar year corresponding to warranty claims reported here (Format - YYYY. Example - 2015. You may use the drop-down menu for the reporting year selection.)
Reporting Date	Date on which this report is submitted to ARB (Format - MM/DD/YYYY. Example - 02/19/2016)
Company Name	Name of authorized installation company or installer
Street Address	Business address of the authorized installation company or installer
City	City corresponding to the business address of the authorized installation company or installer
State	State corresponding to the business address of the authorized installation company or installer
Zip Code	Zip code corresponding to the business address of the authorized installation company or installer
Country	Country corresponding to the business address of the authorized installation company or installer
Contact Name	Company representative or installer who is authorized to provide ARB information and answer any questions from ARB related to the warranty information
Telephone	Telephone number for the authorized contact
Fax	FAX number for the authorized contact
Email	Email for the authorized contact

B: Product Information Summary
Separate information is required for each technology awarded a diesel emission control strategy (DECS) family name.

Name of Authorized Installer	Name of authorized person or company installing verified diesel emission control strategies
Control Strategy Family Name	The name assigned by ARB to a product when awarded verification or conditional verification. If the DECS name changed over time, indicate all currently and previously valid, equivalent names for all DECS family names the installer is authorized to install (Example - CA/ABC/2010/PM3+/N00/ON/DPF01. You may use the drop-down menu for the DECS family name selection.)
Governing Executive Order	The Executive Order(s) or conditional verification letter reference number(s) directly corresponding to the assigned DECS family name. (They can be found on their Executive Order documents. Examples - DE-05-021-02, DE-06-029, RAS-15-99. You may use the drop-down menu for the Executive Order number selection.)
CA Annual Installations (January 1 – December 31)	The number of annual installations for California for verified or conditionally verified devices per DECS family name installed during the preceding calendar year (Installation in California, only)
49 State Annual Installations (January 1 – December 31)	The number of annual installations for other states (not including California) for verified or conditionally verified devices per DECS family name installed during the preceding calendar year (Installation in other states, not including California)
Annual Installations (January 1 – December 31)	The total number of annual installations (in California and 49 states) for verified or conditionally verified devices per DECS family name installed during the preceding calendar year
Total Cumulative Installations	The total (cumulative) number of installations for verified or conditionally verified devices per DECS family name installed. This applies to all devices installed as verified or installed with the understanding that when the product achieved verification the device warranty per Section 2707 would apply.
Comments	Add any additional comments

C: Installation Warranty Claim Information

Please categorize warranty claims by the component(s) replaced or repaired for each verified control system.

Date of Claim	Date the warranty claim was filed (Format - MM/DD/YYYY. Example - 06/01/2015)
Work Order Number	If available, list identification of claim such as the claim identification or authorization number or work order number or invoice number
Party Submitting the Claim	Name of end-user submitting the warranty claim
Contact Information of Party Submitting the Claim	Contact information for the end-user submitting the warranty claim
Control Strategy Family Name	The name assigned by ARB to a product when awarded verification or conditional verification. If the DECS name changed over time, indicate all currently and previously valid, equivalent names for all DECS family names the installer is authorized to install (Example - CA/ABC/2010/PM3+/N00/ON/DPF01. You may use the drop-down menu for the DECS family name selection.)
DECS Serial Number	Serial number of the DECS
Engine Family	Engine family name of the vehicle or equipment upon which the DECS is installed (You may use the drop-down menu for the engine family name selection.)
Engine Serial Number	Serial number of the engine
Date of Installation	Date of the installation of the DECS
Install Mileage or Engine Hours	Mileage or engine hours at the time of installation
Claim Mileage or Engine Hours	Mileage or engine hours at the time of the claim
Installation Location	Location of vehicle or equipment at the time of installation
PIC Reference	Indicate if the pre-installation compatibility (PIC) assessment records per section 2706(t) are available for review upon request. The party conducting the PIC assessment must provide a written statement to the end-user at the time of installation. Provide a reference (e.g., letter reference number or invoice number) to this written statement.
Description of Claim	Detailed description of the reason for the claim
Component Replaced or Repaired (include part number)	Name of part or component replaced or repaired (include part number)
Date of Resolution	Date of resolution of the claim
Claim Status	Indicate "V" if the warranty claim resulted in for Valid Warranty Claim (excludes warranty repairs made solely for customer satisfaction purposes (i.e., good faith repairs)) or "G" for good faith Warranty Claim, or "D" if the claim was denied warranty service. (You may use the drop-down menu for the claim status selection.)
Reason for Denial	Delineate any reason(s) for any instances in which the warranty service is not provided to end-users that file warranty claims
Reason for Failure	Short description of part, kit or component replaced or repaired under warranty and most likely reason for failure
Comments	Add any additional comments

D: Authorized to Install

List each unique DECS family name the installer is authorized to install.

DECS Family Name Authorized to Install	The name of each unique DECS family that the installer is authorized to install (You may use the drop-down menu for the DECS Family name selection.)
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Attachment 2 - Installation Warranty Report Data Template

STATE OF CALIFORNIA
California Environmental Protection Agency
AR Air Resources Board
ECARSD/IUPB -159 b (REV 2/16)

Annual Installation Warranty Report to the Air Resources Board (ARB) For Verified Diesel Emission Control Technologies

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A: Company Information (entity which holds or which held the verification)

Reporting Year	
Date	
Company Name	
Street Address	
City	
State	
ZIP Code	
Country	
Contact Name	
Telephone	
Fax	
E-mail	

