	ENGINEERING TEST INSTRUCTIONS	NUMBER 1953
ISSUED BY K. Armstrong	Progress Rail <i>A Caterpillar Company</i> LA GRANGE, ILLINOIS	FIRST ISSUED 10/19/2023
APPROVED BY G. Hoenert		SUPERSEDES
SUBJECT	EPA Emissions Label Procurement, Registration and Audit Instructions	
AFFECTS MODELS	All Locomotives Compliant or to be Made Compliant with 40 CFR Part 1033	
PART NOS AFFECTED	Various	
REF DRAWINGS		

EMISSIONS LABELS NOT SHIPPED WITH KIT READ LABEL REGISTRATION SECTION FOR MORE INFORMATION

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1.0 Introduction

1.1. Labels: This document outlines the steps for an installer of an Emissions upgraded engine into a locomotive to apply for proper Emissions labels. By following EPA 40 CFR 1033.135 labeling requirements, this will put the Locomotive into its EPA Emissions Certified Configuration. Correct Emissions labels will need to be applied to the engine and locomotive to comply with EPA rules and regulations. If you are the facility that is putting the emissions kit on the engine and then sending it to another facility to install the engine into the locomotive, refer to the ETI in the KIT and see section 2.2.2.

1.2. Audits: This document outlines the steps that will require the Installer of an Emissions upgraded engine into a Locomotive to perform and document an audit. EPA 40 CFR 1033.335 dictates the requirements for certifying remanufacturers to audit the remanufacture of locomotives covered by their certificates of conformity for proper components, component settings and component installations on randomly chosen locomotives in an engine family.

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2.0 Label Registration

- 2.1. The following directions will show the engine installer how to obtain Emissions labels via the online portal during the engine install process. The final engine installer into a Locomotive is required to register the Engine and locomotive.
- 2.2. Label registrations should be placed a minimum of 10 business days prior to locomotive shipment need date, but not greater than 30 days. Both the engine and locomotive emission labels should be applied prior to release of unit to comply with EPA 40 CFR 1033. Any overnight order requests should have an accompanying UPS or DHL account populated for delivery. Failure to adhere to the above timeline guidance can/will result in a delay of emission label shipment.
 - 2.2.1. An emissions kit upgraded engine shipped from a Progress Rail facility, not installed in a locomotive yet will contain an emissions related packet. The packet contents will consist of the following: 1) ETI 1953*, 2) Relevant emission kit ETI. *Note that ETI 1953 will have prefilled engine and kit information in section 4.0 which is needed for emission kit registration.
 - 2.2.2. If you are only receiving an Emissions upgrade kit from Progress Rail. These directions and the ETI will be in the Kit. If you are the facility that is putting the Emissions Kit on the engine and then sending it to another facility to install the engine into the Locomotive, it is **REQUIRED** that you put these documents and other supporting information together to send to the facility that is installing the engine in the locomotive.
 - 2.2.3. If you are receiving an Emissions Upgrade Kit from Progress Rail and you are the kit installer on the engine and the final engine installer into the locomotive; it is your responsibility to complete the EPA Engine and Locomotive Label Registration. You will also need to complete the EPA Engine and Locomotive Audit Form.

2.3. Registration Instructions

- 2.3.1. Go to the Emission Compliance site on the Progress Rail website by clicking the link or scanning the QR code.



<https://www.progressrail.com/en/Segments/Engines/EmissionsCompliance.html>

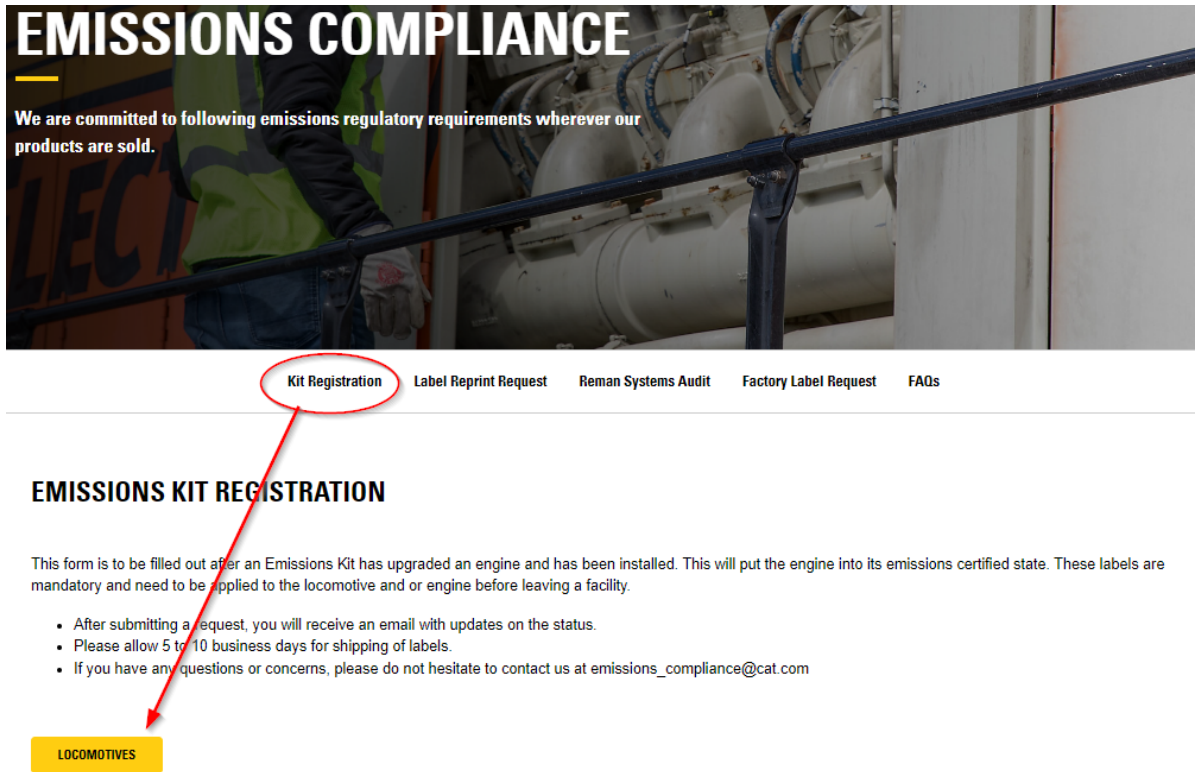
**Failure to complete the emissions kit registration may result in delay of engine and locomotive labels. Please send any questions regarding emissions kit registration to:
Emissions_Compliance@progressrail.com.

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2.3.2. Once at the site, please click on the *Kit Registration* tab and then the *Locomotives* button. This will take you to the Request portal. You will need to create a username and password if not done previously. (Please remember your credentials for future entries).




2.3.3. Within the form, complete all required fields as shown & described below. Note the information in Section 4.0 will have prefilled engine and kit information to assist in the registration:

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What can we help you with?


Emissions Kit/Overhauled Engine Registration and Label request
 This form is to be filled out once the required information is available. Engine...

Select Label Option *

Contact Name *

Shipping Address (1) *

Shipping Address (2)

Shipping Address (3)

City *

State / Province *

Zip / Postal Code *

Country *

Contact Phone Number *


Contact Email Address *

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Railroad Name *

Emissions Kit/Engine Installation Date *

e.g. 12/Jan/24 

Emissions Kit Part Number *

Exempt engines - verify with PRL Contact if kit was installed and what part number.

Emissions Kit Family

Exempt engines - enter "Exempt" here.

Inbound Locomotive Emissions Family *

If unknown, please enter "NA".

Engine Serial Number *

Locomotive Road ID *

Locomotive Model *

Locomotive Serial Number *

Original Locomotive Delivery Year

(For example: "YYYY")

Attachment

Drag and drop files, paste screenshots, or browse

Browse

Attach images of the engine and locomotive emission label or supporting information here.

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2.3.4. Form Fields (fields with * are required fields)

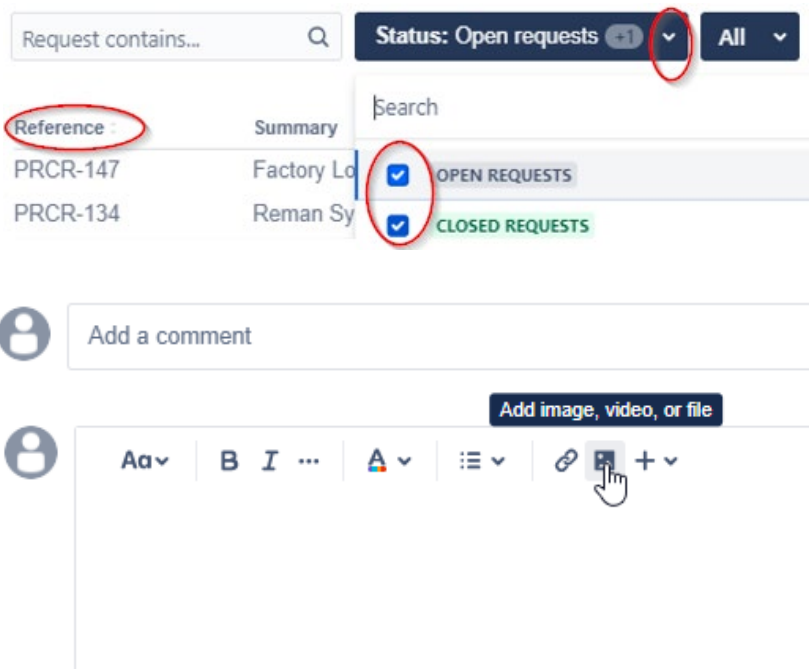
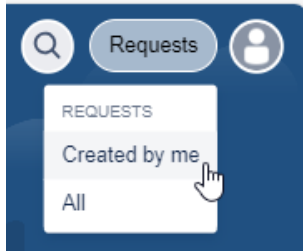
- **Select Label Option***
 - If a kit is purchased and installed in customer facility – select Engine and Locomotive.
 - If an overhauled engine is purchased from a PRS facility – select Locomotive Only.
- **Contact Name***: Person who the labels will be sent attention to.
- **Shipping Address***: Address where EPA Engine and/or Locomotive labels will be mailed.
- **Contact Phone Number***: Number to contact if questions.
- **Contact Email Address***: Email to contact if questions.
- **Railroad Name***: The Engine and Locomotive owner. Select from the drop-down list or select OTHER and add the name in the comments.
- **Emissions Kit/Engine Installation Date***: Month/Year format (MM/YYYY), the first day of the month is acceptable.
- **Emission Kit Part Number***: 1) Located in section 4.0, or 2) Records of whoever installed the kit on the Engine prior to shipping the Engine to final install location, or 3) In the ETI of the kit.
- **Emissions Kit Family**: New emissions family after kit installation.
- **Inbound Locomotive Emissions Kit Family***: Emissions family prior to installation of emissions kit.
- **Engine Serial Number***: Can be found on the engine.
- **Locomotive Road ID***: Can be found on the locomotive number boards and/or painted on the unit. They should agree with one another. If they do not, notify your Quality team immediately.
- **Locomotive Model***: Can be found on the locomotive label on the exterior right side of the cab.
- **Locomotive Serial Number***: Should be stamped on the engineer side front belt rail by the stairway AND the fireman side belt rail by the rear stairway.
- **Original Locomotive Delivery Year**: Railroad Maintenance records.
- **Attachments**: Attach images of the existing engine and locomotive emissions label.
- **Shipping Provider***: Type of Shipping needed.
- **Account Number for UPS or DHL**: required for overnight delivery requests.
- **Additional Comments**: if FED Ex shipping is required, add the FED Ex account number here.

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- 2.3.5. Once the form is submitted, it will be reviewed by a member of the Emissions Compliance Team for any missing or possible invalid information. If more details are needed, someone from the Emissions Compliance Team will add a comment to the request, the person who submitted the request will receive an email, then should respond with the information needed in the portal.
- 2.3.6. Once the registration is submitted any update to the request can only be added via comments. In the upper right corner, select “Requests”, “Created by me”, select the Status down arrow and check Open Requests and Closed Requests. Select the specific request Reference number to edit, then add a comment or attachment (click in the comment box to see menu options).



- 2.3.7. Once approved or errors fixed, the Emissions labels will be sent out to the contact and address provided in the Request Portal. **Note:** Engine labels will be serialized and must be applied to the correct engine. Locomotive labels are not serialized and to be applied per the instructions provided.
- 2.3.8. Labels will be processed in 1 to 2 business days after the submission of the registration. Standard shipment for labels is via USPS which may take 5 to 7 business days. Expedited shipping options can be chosen for overnight or 2-day shipment, customer to provide account number.

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2.3.9. Any questions or concerns should be directed to your Progress Rail representative.

2.3.10. Sample labels shown below, values updated per request:



Label 1: Sample Engine Label – contains engine serial number and “Engine Emissions Control Information” in the title.



Label 2: Sample Locomotive Label. Contains “Original Locomotive Emissions Control Information” in the title.

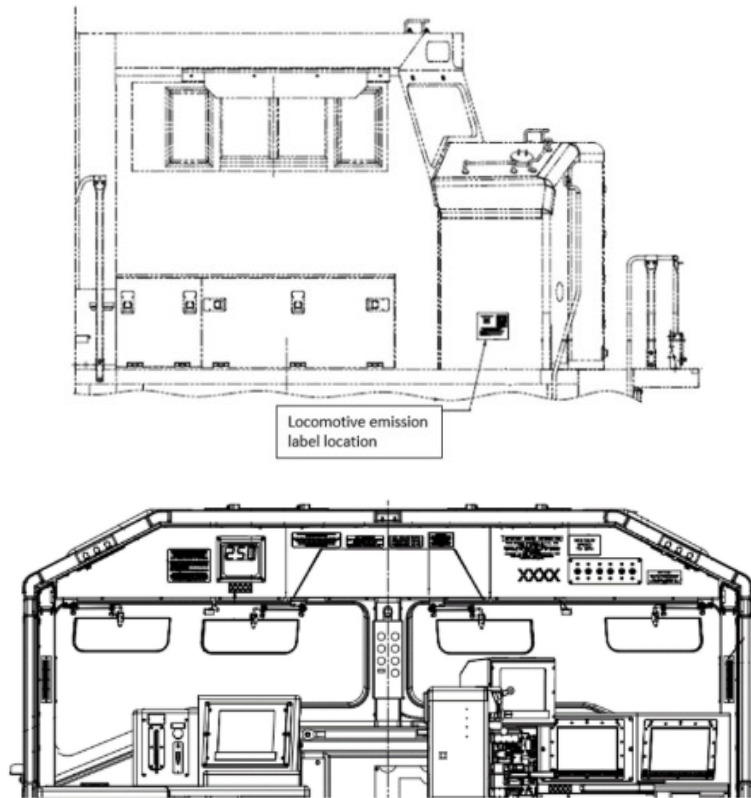
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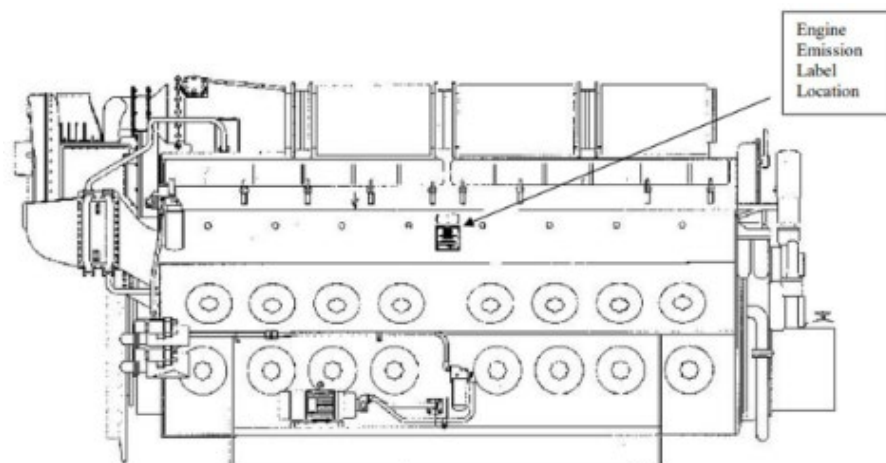
Locomotive label placement:

Place the locomotive label near the exterior front right side of the cab and or interior cab on the header above the windshield.



Engine label placement:

Place the engine label below the engine nameplate on the right bank side of the engine.



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3.0 Audit Instructions

3.1. The following directions will show the engine installer step by step how to enter an Audit. When an engine is shipped to the install location, this is to be completed after EPA Engine and Locomotive Label Registration has been made and then the labeling is applied. This needs to be completed before a certified Locomotive departs the installer facility.

3.2. Audit Instructions

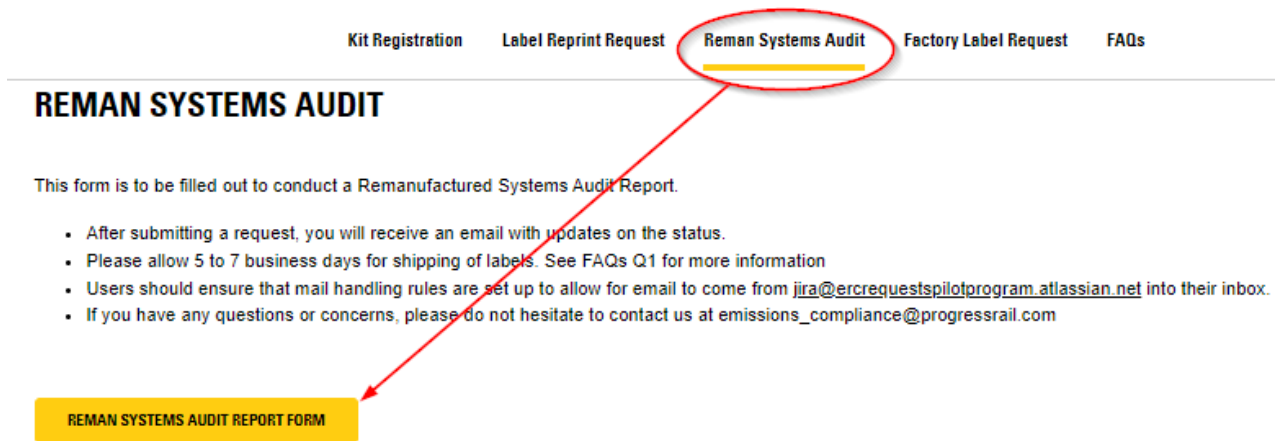
3.2.1. Go to the Emission Compliance site on the Progress Rail website by clicking the link or scanning the QR code:



<https://www.progressrail.com/en/Segments/Engines/EmissionsCompliance.html>

** Please send any questions regarding emissions kit audits to:
Emissions_Compliance@progressrail.com

3.2.2. Once at the site, please click on the *Reman Systems Audit* and then the *Reman Systems Audit Report Form* button. This will take you to the Request portal. You will need to create a username and password if not done previously. (Please remember your credentials for future entries).



3.2.3. Within the form, complete all required fields as shown & described below:

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Progress Rail Compliance Requests

Welcome! You can raise a Progress Rail Compliance Request using the options provided below.


Please allow 5 to 10 business days for shipping of labels. After submitting a request, you will receive an email with updates on the status. If you have any questions or concerns, please don't hesitate to contact us at emissions_compliance@cat.com.

What can we help you with?



Reman Systems Audit Report

This form is to be filled out to conduct a Remanufactured Systems Audit...



Name of Auditor *

Name of installer representative notified *

Emission Kit Family *

Emission Kit Part Number *

Railroad Name *

Locomotive Road ID *

Locomotive Serial Number *

Locomotive Model *

Engine Serial Number *

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ETI 1953
EPA Emissions Registration and Audit Instructions

Year of Original Delivery *

Emissions Kit Installation Date *

e.g. 28/Sep/23 


Mileage Accumulated since Kit Installation *

Location of Audit *

Turbocharger Part #

Turbo Charger Serial Number

Date of Audit *

e.g. 28/Sep/23 

Discrepancies found at audit *

Other observations during audit

Attachment *

Drag and drop files, paste screenshots, or browse

[Browse](#)

Please attach an image of the engine emissions label and locomotive emissions label.

[Send](#) [Cancel](#)

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3.2.4. Form Fields (fields with * are required fields)

- **Name of Auditor***: Name of the individual completing the audit.
- **Name of Installer Representative Notified***: Engine installers factory Quality Representative who needs to know if any discrepancies were found.
- **Emissions Kit Family***: Can be gathered from the emissions labels in the cab and engine, these should match. If they do not, notify your Quality team immediately.
- **Emission Kit Part Number***: 1) Located in section 4.0, or 2) Records of whoever installed the kit on the Engine prior to shipping the Engine to final install location, or 3) In the ETI of the emissions kit.
- **Railroad Name***: The Engine and Locomotive owner. Select from the drop-down list or select OTHER and add the name in the comments.
- **Locomotive Road ID***: Can be found on the locomotive number boards and/or painted on the unit. They should agree with one another. If they do not, notify your Quality team immediately.
- **Locomotive Serial Number***: Should be stamped on the engineer side front belt rail by the stairway AND the fireman side belt rail by the rear stairway
- **Locomotive Model***: Can be found on the locomotive label on the exterior right side of the cab.
- **Engine Serial Number***: Can be found on the engine.
- **Year of Original Delivery***: Railroad Maintenance records.
- **Engine Installation Date***: Month/Year format (MM/YYYY), the first day of the month is acceptable.
- **Mileage Accumulated since Kit Installation***: If audit is conducted prior to releasing newly kit installed locomotive from shop, please put 0 in this field.
- **Location of Audit***: Could be a contracted facility in some instances, Engine install location, or in the Field.
- **Turbocharger Part #**: Can be found stamped on the turbo or blowers if applicable.
- **Turbocharger Serial #**: Can be found stamped on the turbo or blowers if applicable.
- **Date of Audit***: Date audit is conducted.
- **Discrepancies found at audit***: Note any difference found from ETI instructions for kit installation vs what is observed during audit.
- **Other observations during audit**: (optional)
- **Attachment***: attach an image of the engine and locomotive emissions label.

3.2.5. If any discrepancies are found during the Audit from the installation, please reach out to your supervisor, factory quality team and or your Progress Rail representative.

3.2.6. Once the form is submitted, it will be reviewed by a member of the Emissions Compliance Team for any missing or possible invalid information. If more details are needed, someone from the Emissions Compliance Team will add a comment to the request, the person who submitted the request will receive an email, then should respond with the information needed in the portal.

3.2.7. Once the registration is submitted any update to the request can only be added via comments. See section 2.3.6 for instructions to add comments.

3.2.8. Once approved or errors fixed. The entry will then be closed with in Jira and will be counted for EPA reporting.

3.2.9. Any questions or concerns please contact your Progress Rail Representative.

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4.0 Engine Information

This information is to be provided by the installer of the Emissions Kit on the engine and will need to be used for EPA label registration as well as EPA engine family audits (if required).

Emissions Kit Part Number:	
Inbound Emissions Family:	
New Emissions Family:	
Kit Installation Date (applied to the engine):	
Engine Identification Number (Serial Number):	

Other Comments:

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5.0 References

1. PART 1033—Control of Emissions from Locomotives
 - a. <https://www.ecfr.gov/current/title-40/part-1033>
2. Progress Rail – Emissions Compliance Webpage
 - a. <https://www.progressrail.com/en/Segments/Engines/EmissionsCompliance.html>

Marginal Indicia:

A change bar (|) located in the left margin is for the convenience of the user in locating areas of technical revisions made from the previous issue of this document. The word “ALL” specified in the pages affected footer indicates a complete revision of this document; no change bars will be shown. Change bars are not used in original publications.

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