	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

Contents	
1.0	Introduction..... 1
2.0	Label Registration..... 2
3.0	Audit Instructions..... 12
4.0	Engine Information 18
5.0	References..... 19

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 the user is 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 users 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 user 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. The user 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>

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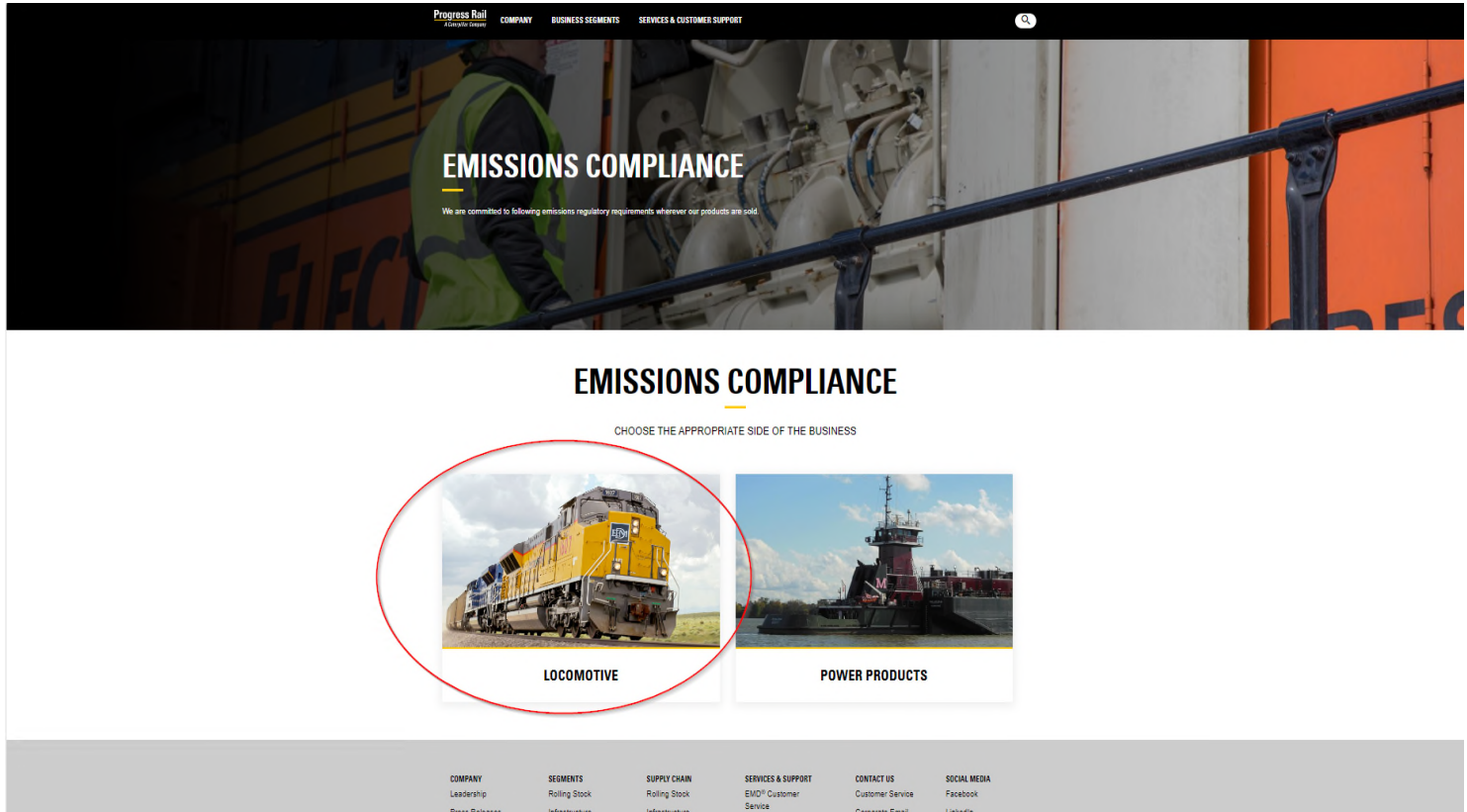
**Failure to complete the emissions kit registration may result in delay of engine and locomotive labels. Please send any questions regarding emissions kit registration to:
Emissions_Compliance@progressrail.com.

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2.3.2. Once at the site, please click on the *Locomotive Picture*.

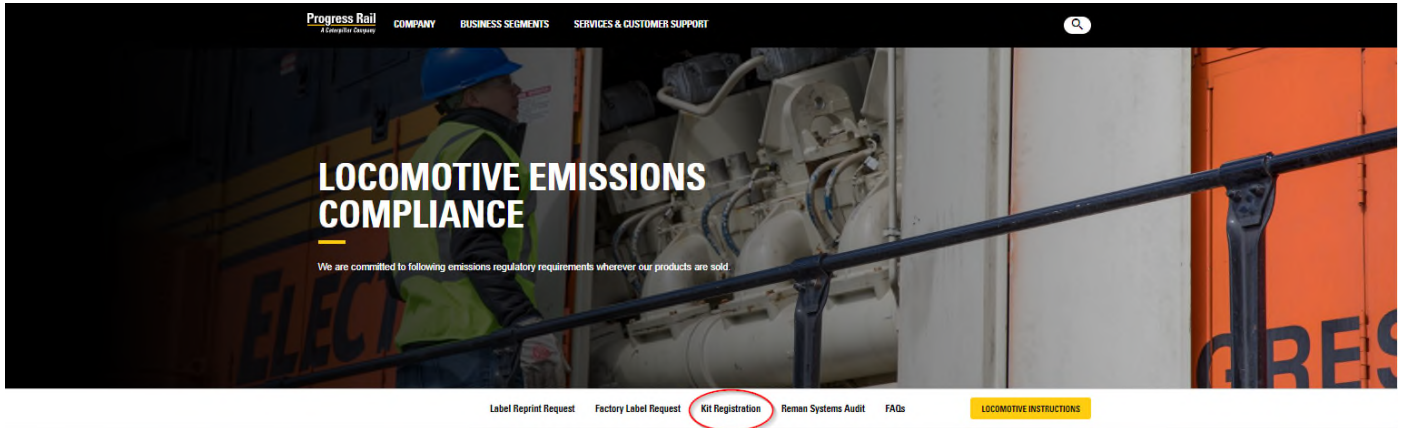


2.3.3. Then click on *Kit Registration* in the tool bar or scroll down to the *Kit Registration section* and click the Registration button. This will take the user to the Request portal. The user will need to create a username and password if not done previously. (Please remember your credentials for future entries).

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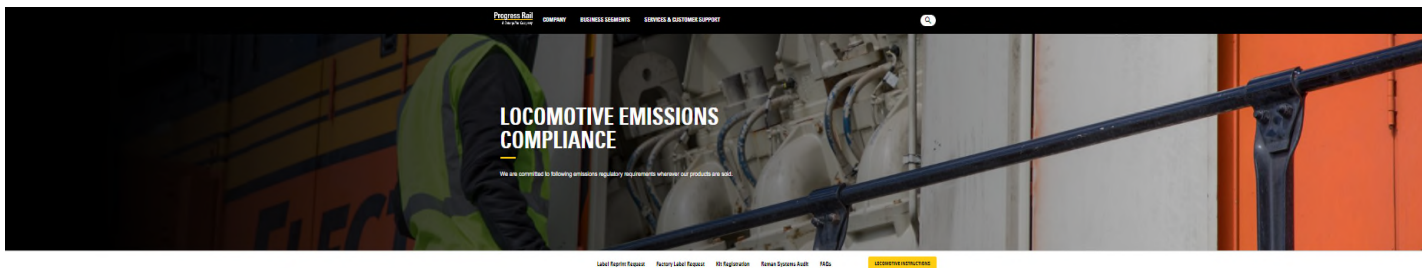


EMISSIONS LABEL REPRINT REQUEST

This form is to be used if an emissions label is missing from the engine and/or locomotive and is needing a replacement. This will also be used if requested emissions labels were damaged during shipping.

- After submitting a request, you will receive an email with updates on the status.
- Users should ensure that mail handling rules are set up to allow for email to come from ira@progressrail.com into their inbox.
- Please allow 5 to 7 business days for shipping of labels. See [FAQs Q1](#) for more information or click Emissions Instructions in the menu.
- If you have any questions or concerns, please do not hesitate to contact us at emissions_compliance@progressrail.com.

REPORTS



EMISSIONS LABEL REPRINT REQUEST

This form is to be used if an emissions label is missing from the engine and/or locomotive and is needing a replacement. This will also be used if requested emissions labels were damaged during shipping.

- After submitting a request, you will receive an email with updates on the status.
- Users should ensure that mail handling rules are set up to allow for email to come from ira@progressrail.com into their inbox.
- Please allow 5 to 7 business days for shipping of labels. See [FAQs Q1](#) for more information or click Emissions Instructions in the menu.
- If you have any questions or concerns, please do not hesitate to contact us at emissions_compliance@progressrail.com.

REPORTS

FACTORY LABEL REQUEST

This form is to be filled out to request engine and/or locomotive labels for the following: export of engines out of the country from a factory and partial complete engines and locomotives that are to be shipped and/or installed.

Note: These are NOT the Final EPA Emissions labels and registration.

- After submitting a request, you will receive an email with updates on the status.
- Please allow 5 to 7 business days for shipping of labels. See [FAQs Q1](#) for more information or click Emissions Instructions in the menu.
- If you have any questions or concerns, please do not hesitate to contact us at emissions_compliance@progressrail.com.

FACTORY LABELS

EMISSIONS KIT REGISTRATION

Note: Due to U.S. holiday schedule, some delays may be present.

This form is to be filled out after an Emissions Kit approved engine has been installed into a locomotive. This will put the engine into its emissions certified state. These labels are mandatory and need to be applied to the locomotive and/or engine before leaving a facility.

- After submitting a request, you will receive an email with updates on the status.
- Users should ensure that mail handling rules are set up to allow for email to come from ira@progressrail.com into their inbox.
- Please allow 5 to 7 business days for shipping of labels. Request can be made up to 30 days in advance of the installation. See [FAQs Q1](#) for more information or click Emissions Instructions in the menu.
- If you have any questions or concerns, please do not hesitate to contact us at emissions_compliance@progressrail.com.

REGISTRATION

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2.3.4. 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:

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 Serial number, Locomotive Serial number, Road ID, Emissions Kit...

Required fields are marked with an asterisk *

Raise this request on behalf of *

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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ETI 1953
EPA Emissions Registration and Audit Instructions

Railroad Name *

Facility of Installation of Engine *

Will This Locomotive Operate within the United States? *

Emissions Kit/Engine Installation Date *



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 *

Year of Last Remanufacture *

Engine Model *

Engine model will be located on Engine SN plate as well as the ETL.

Engine Serial Number *

Locomotive Road ID *

Locomotive Model *

Locomotive Serial Number *

Original Locomotive Delivery Year

(For example: "YYYY")

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Attachment

Drag and drop files, paste screenshots, or browse

[Browse](#)

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

Shipping Provider*

Account number for UPS or DHL

(Required for expedited delivery service)

Zip / Postal Code associated with UPS account

Additional Comments

[Send](#) Cancel

Powered by Jira Service Management

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

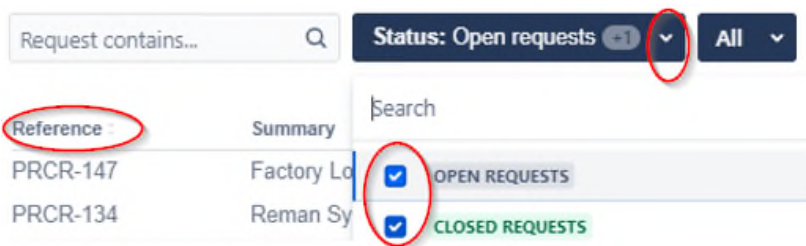
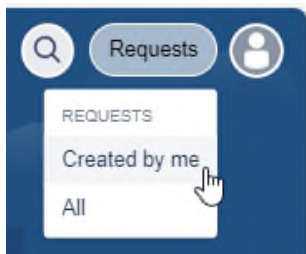
- **Raise this request on behalf of:** This will automatically populate with the user entering the request.
- **Select Label Option***
 - If a kit is purchased and installed in customer facility – select Engine and Locomotive.
 - If an overhauled engine is purchased from a PRS facility – select Locomotive 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.
- **Facility of Installation of Engine***- Facility that is installing a Remanufactured engine into a locomotive. Select from the drop-down list or select OTHER and add the name in the comments.
- **Will This Locomotive Operate within the United States? *- Y/N**
- **Emissions Kit/Engine Installation Date*:** Month/Year format (MM/YYYY), the first day of the month is acceptable. The day the remanufactured engine gets installed into the locomotive.
- **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.

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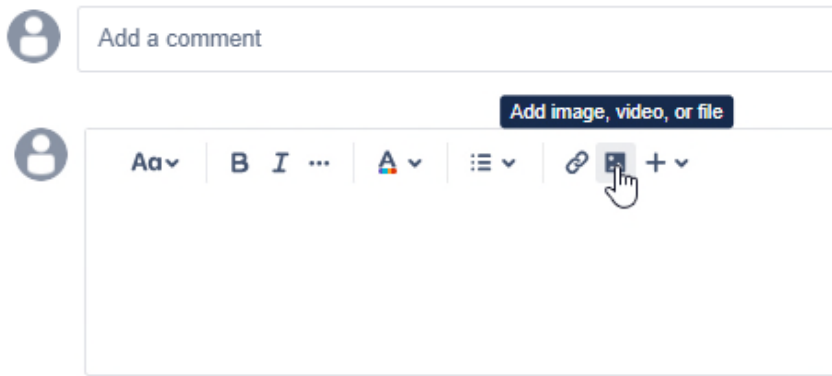
- **Inbound Locomotive Emissions Kit Family***: Emissions family prior to installation of an overhauled engine. **Note: Failure to provide this information could result in delays or no label being provided.**
 - **Year of Last Remanufacture***- The year of the locomotives last overhaul into a certified configuration or uncertified overhaul activity.
 - **Engine Model***- This would be on the engine serial number plate.
 - **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. **Note: Failure to provide this information could result in delays or no label being provided.**
 - **Attachments**: Attach images of the existing engine and locomotive emissions label.
 - **Shipping Provider***: Type of Shipping needed.
 - **Zip / Postal Code associated with UPS account-** The zip code needs to match with the account number its associated with.
 - **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
- 2.3.6. 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.
- 2.3.7. 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).



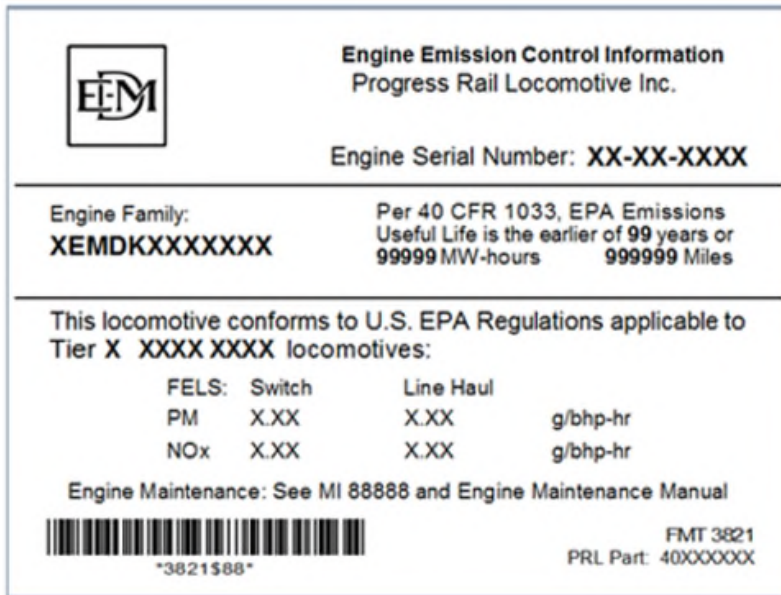
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- 2.3.8. Once approved or errors fixed, the Emissions labels will be sent out to the contact and address provided in the Request Portal. **Note:** Engine labels will be serialized and must be applied to the correct engine. Locomotive labels are not serialized and to be applied per the instructions provided.
- 2.3.9. 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.
- 2.3.10. Any questions or concerns should be directed to your Progress Rail representative.
- 2.3.11. 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.

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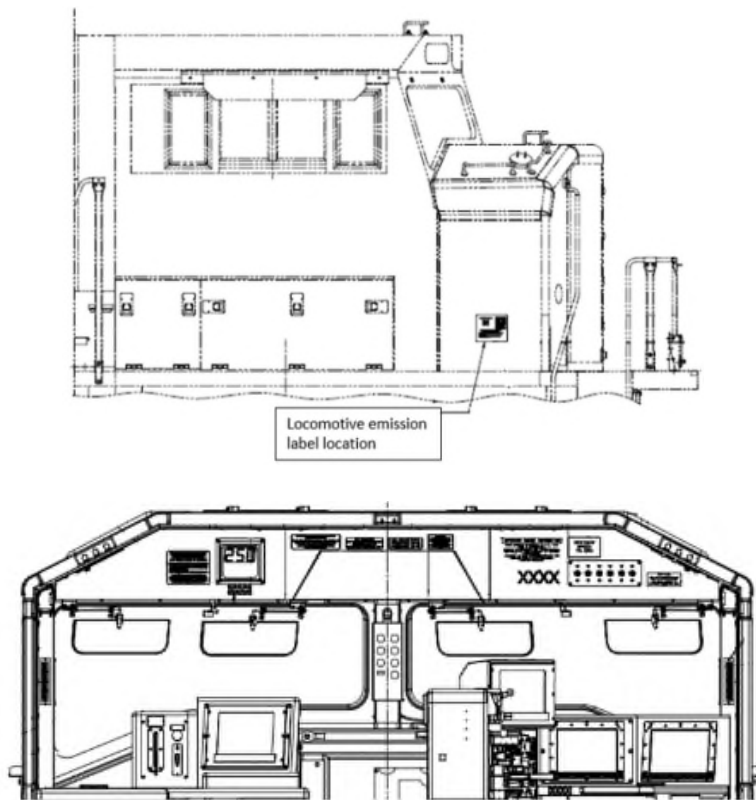
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Label 2: Sample Locomotive Label. Contains “Original Locomotive Emissions Control Information” in the title.

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.



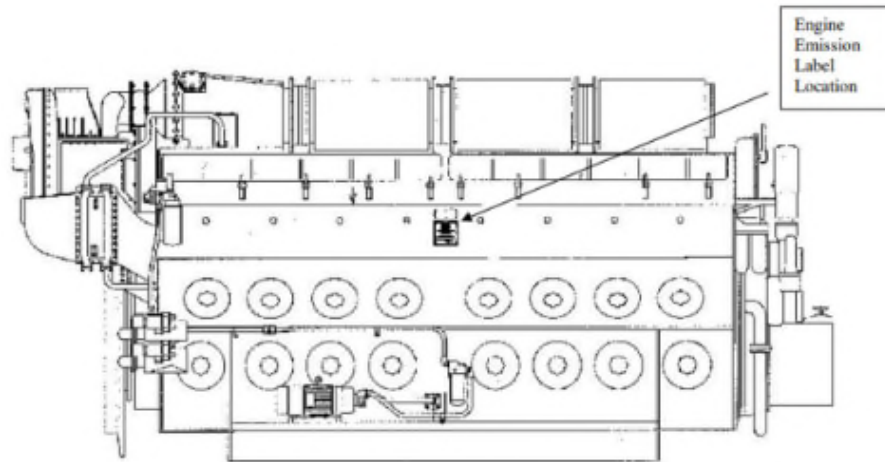
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Engine label placement:

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



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:

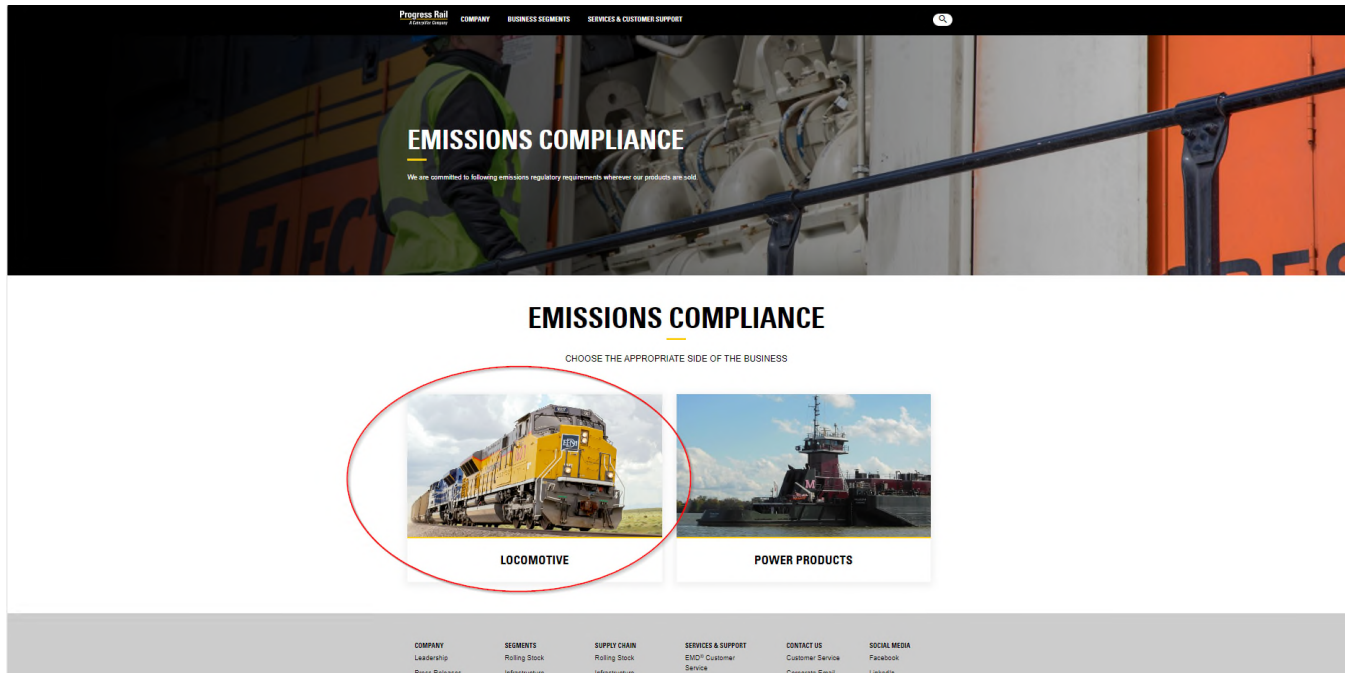
Emissions_Compliance@progressrail.com

3.2.2. Once at the site, please click on the *Locomotive Tab*.

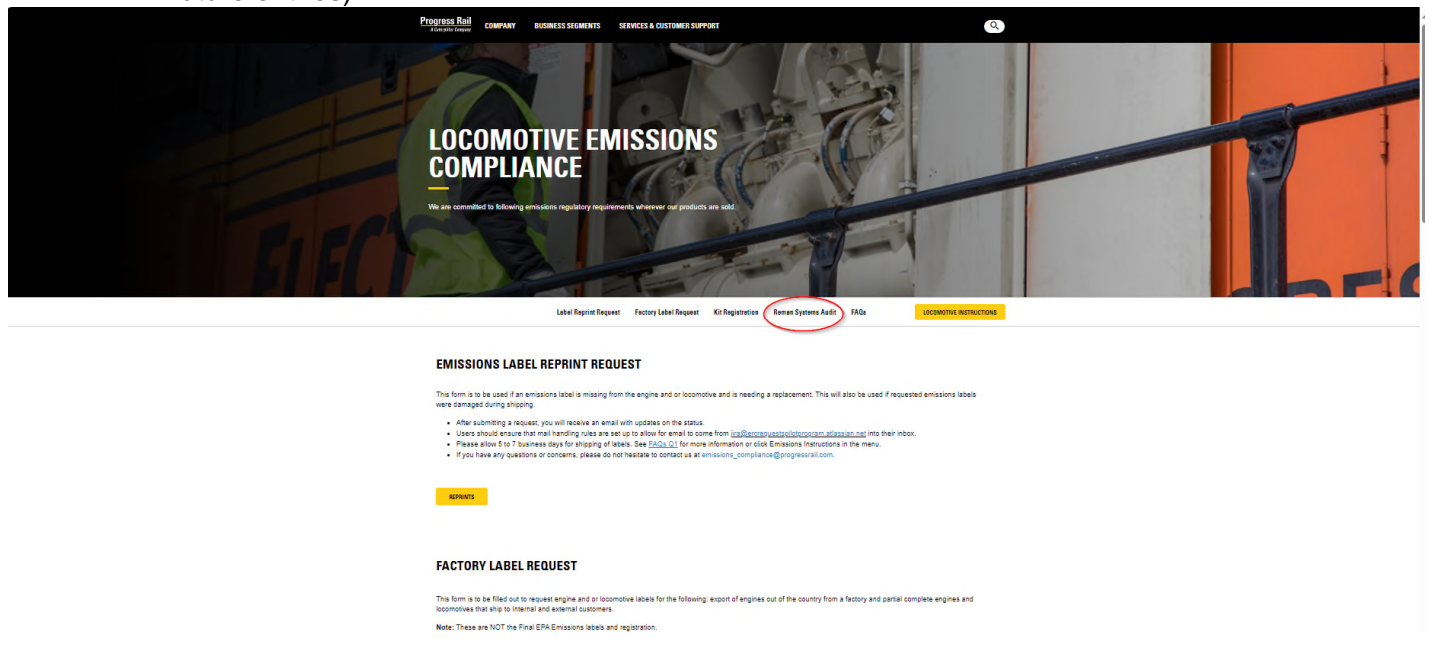
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3.2.3. Then click on *Reman Systems Audit* in the tool bar or scroll down to the *Reman Systems Audit* section. Here the user can print out the Audit worksheet to collect the required information needed to submit the audit in the portal. After the information is collected, click on the Reman Systems Audit Report Form. This will take you to the Request portal. The user will need to create a username and password if not done previously. (Please remember your credentials for future entries).



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EMISSIONS KIT REGISTRATION

Note: Due to US Holiday schedule, label delivery may be delayed

This form is to be filled out after an Emissions Kit upgraded engine has been installed into a locomotive. This will put the engine into its emissions certified state. These labels are mandatory and need to be applied to the locomotive and or engine before leaving a facility.

- After submitting a request, you will receive an email with updates on the status.
- Users should ensure that mail handling rules are set up to allow for email to come from ira@ercrequestsolutions.com into their inbox.
- Please allow 5 to 7 business days for shipping of labels. Request can be made up to 30 days in advance of kit installation. See [FAQs Q1](#) for more information or click Emissions Instructions in the menu.
- If you have any questions or concerns, please do not hesitate to contact us at emissions_compliance@progressrail.com.

REGISTRATION

REMAN SYSTEMS AUDIT

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

- After submitting a request, you will receive an email with updates on the status.
- Users should ensure that mail handling rules are set up to allow for email to come from ira@ercrequestsolutions.com into their inbox.
- See Audit Worksheet below to print for shop personnel to collect the information prior to submitting the Audit Report Form.
- If you have any questions or concerns, please do not hesitate to contact us at emissions_compliance@progressrail.com

REMAN SYSTEMS AUDIT REPORT FORM

AUDIT WORKSHEET


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

REV	DATE	CR	PAGES AFFECTED	CHANGED BY	APPROVED BY
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EPA Emissions Registration and Audit Instructions


Reman Systems Audit Report
This form is to be filled out to conduct a Remanufactured Systems Audit Report. After submitting a request, you will receive an email with...
▼

Required fields are marked with an asterisk *

Raise this request on behalf of *

Name of Auditor *

Name of Railroad Representative Notified *

Emissions Family *

Emissions Kit Part Number *

Railroad Name *

Location of Audit *

City, Shop, etc

Facility of Engine Installation *

Locomotive Road ID *

Locomotive Model *

Locomotive Serial Number *

Engine Model

Engine model will be located on Engine SN plate as well as the ETL

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EPA Emissions Registration and Audit Instructions

Engine Serial Number(s) *

Year of Original Delivery *

Emissions Kit/Engine Installation Date *


 

Mileage Accumulated since Kit Installation *

Turbocharger Part #

Turbo Charger Serial Number

Date of Audit *

Discrepancies found at audit *

Audit Pass or Fail

Other observations during audit

Attachment *

Drag and drop files, paste screenshots, or browse

Please attach images of the engine emissions label and locomotive emissions labels, and audit worksheet if completed.

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

- **Raise This request on behalf of:** This will automatically populate with the user entering the request.
- **Name of Auditor*:** Name of the individual completing the audit.
- **Name of Railroad 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.
- **Location of Audit*:** Could be a contracted facility in some instances, engine install location, or in the Field.
- **Facility of Installation of Engine***- Facility that is installing a Remanufactured engine into a locomotive. 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 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
- **Engine Model***- This would be on the engine serial number plate.
- **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.
- **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 labels, and audit worksheet if completed.

3.2.6. 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.

3.2.7. 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.

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B	11/20/24	CR241339	All	Andrew Koch	G. Hoenert

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- 3.2.8. 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.
- 3.2.9. Once approved or errors fixed. The entry will then be closed with in Jira and will be counted for EPA reporting.
- 3.2.10. Any questions or concerns please contact your Progress Rail Representative.

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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