California Environmental Protection Agency

Air Resources Board

USER'S GUIDE FOR ARB DMS

Version 2.0

3-20-07

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WHAT IS NEW ON THE USER'S GUIDE FOR ARB DMS VERSION 2.0

WHAT'S NEW IN THE VERSION 2.0 OF THIS ARB DMS USER'S GUIDE

1. For the On-Road Heavy Duty (HD) Category the following information was added:
   - Directory Tree Structure
   - Document Types and Metadata
   - Table 5-3 Workflow Templates for On-Road HD Category

2. On-Road Light Duty (LD) Work Flow templates and Metadata were updated to reflect current practice.

3. For the Off-Road Compression-Ignition Engine (OFCI) and Large Spark-Ignition Engine (LSIE) Categories the following information was added:
   - Directory Tree Structure
   - Document Types and Metadata

4. Off Road file naming convention was updated to facilitate its use.

5. Screen pictures were replaced with the new DMS user interface in which:
   - functions and data are organized by tabs
   - navigation is done through the tabs versus a menu
   - there is wider view of the file browser

6. New DMS Features available to manufacturers on OpenEDMS Version 3.7 are compiled in section 7 of this document (7. New DMS Features).

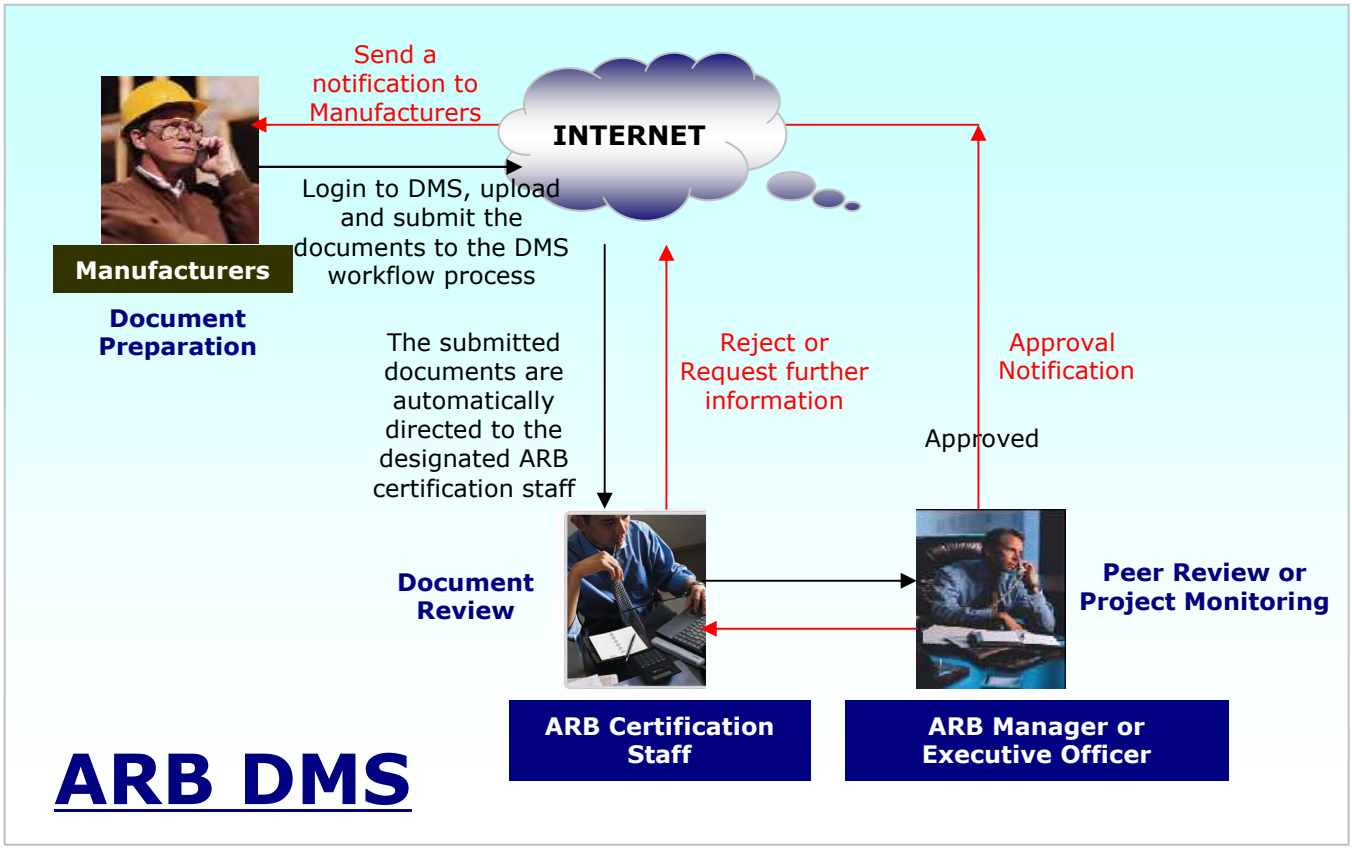
1. INTRODUCTION TO ARB DMS

1. INTRODUCTION TO ARB DMS

To facilitate the submission and review of large volumes of certification documents submitted by both on- and off- road manufacturers, the California Air Resources Board ("**ARB**") is using **OpenEDMS,** a customized Data Management System (hereinafter called "**DMS**") from **Altimate Systems Inc**., for storing and processing supporting certification documentation.

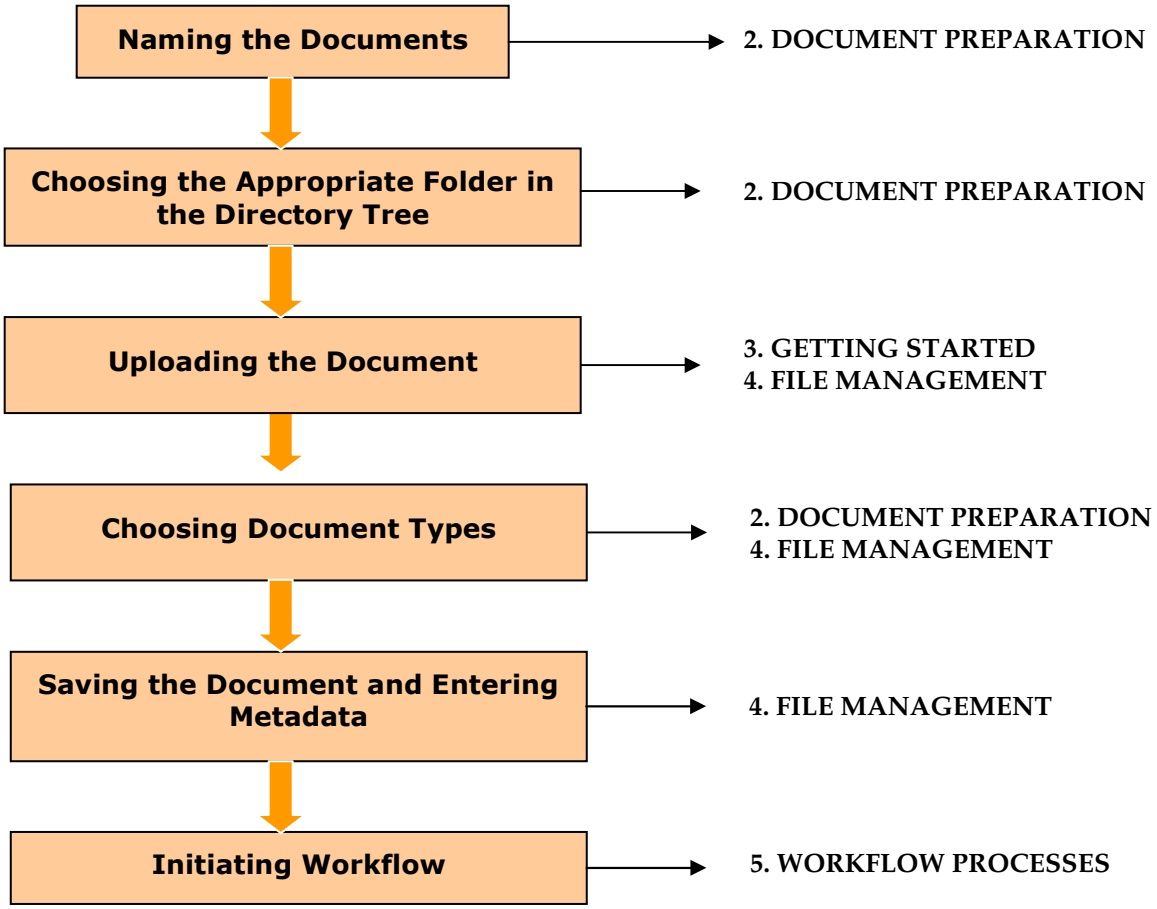
ARB will use the **DMS** to enhance the efficiency of the certification application review process by automatically routing relevant documents directly from manufacturers to designated ARB certification staff. **Figure 1-1** illustrates how authorized manufacturers can upload and submit their certification supporting documents to the ARB DMS electronically from any location at any time through the internet.

Figure 1-1 The ARB DMS Diagram



The contents of this User's Guide are organized and divided into the following sections based on the major steps that manufacturers will follow to submit their documents to the ARB DMS via internet. Steps for DMS submissions and the corresponding sections detailing each step are illustrated in **Figure 1-2**.

Figure 1-2 The Major Steps of Document Submission to the ARB DMS



2. DOCUMENT PREPARATION

2. DOCUMENT PREPARATION

In this section, manufacturers will learn how to name and prepare the documents for submission to the ARB DMS. This includes:

- Electronic File Naming Convention
- Directory Tree Structure
- Document Types and Metadata

2.1 ELECTRONIC FILE NAMING CONVENTION

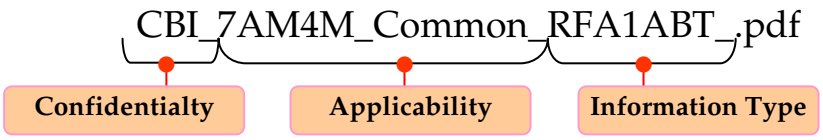
The appropriate naming convention must be used to prepare the documents before uploading to the DMS. ARB's naming convention has been harmonized with the United States Environmental Protection Agency (U.S. EPA) for the motorcycle category with the exception of the version number. The ARB DMS handles version control automatically by advancing the version number with each subsequent, identically named file received in the system. It is important that the version control number used by the U.S. EPA's file naming convention be removed in order for the DMS version control feature to function properly.

Currently, ARB's naming convention is only harmonized with the U.S. EPA in the motorcycle category. However, ARB has applied this convention to all other categories and will work to harmonize the file naming convention with the U.S. EPA in those categories in the future.

ARB's naming convention consists of the three categories listed below:

- **Confidentiality:** Figure 2-1
- **Applicability:** Figure 2-2
- **Information Type:** Figure 2-3

Example 2-1 Example of ARB's File Naming Convention



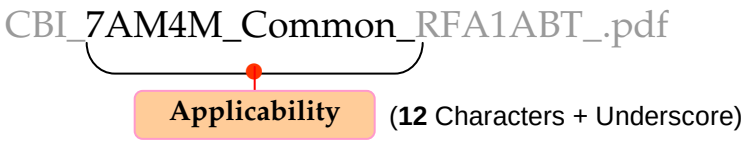
Figures 2-1 through **2-3** provide examples of each element of ARB's naming convention.

Figure 2-1 ARB's Electronic File Naming Convention — *Confidentiality*

"Confidentiality" type:

•CBI_: Documents with Confidential Business Information with non-confidential information included

Figure 2-2 ARB's Electronic File Naming Convention — *Applicability*

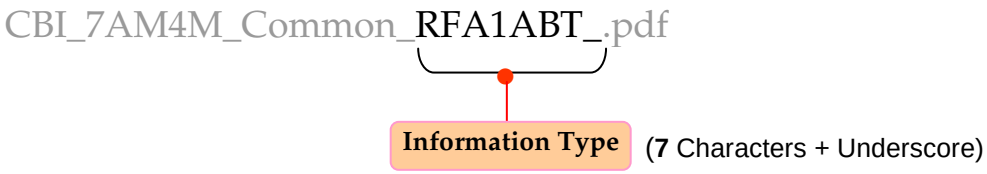


***"Applicability"* type associates the document with the engine family/test group or evaporative family by showing the family name as illustrated below:**

XXXXX_Common_: any documents common to more than one Engine Family/Test Group

"7AM4M_Common_"

Figure 2-3 ARB's Electronic File Naming Convention — *Information Type*



***"Information"* type includes the following naming options:**

Standalone Documents (To be updated as needed)

• RFA*XXX_: Request For Approval,
Where "XXX_" may include:
ABT_: Averaging, Banking, and Trading Plan

Please see Tables A-1 through A-4 in Appendix A for complete descriptions of ARB's Guidance on Electronic File Naming Convention for on-road and off-road categories.

2.2 DIRECTORY TREE STRUCTURE

The manufacturer's directory trees are organized by file folders depicting the applicable business practice of each category.

Examples of the directory tree structures for various on- and off-road certification categories are presented in **Figures 2-4** through **2-21**. Below please see a summary of figures included in each category.

- On-Road Heavy Duty (LD) Category and associated subdirectories (**Figures 2-4 to 2-8**)
- On-Road Light Duty (HD) Category and associated subdirectories (**Figures 2-9 to 2-12**)
- On-Road Motorcycle Category and associated subdirectories (**Figures 2-13 to 2-17**)
- Off-Road Spark-Ignition Marine Engine (SIME) Category (**Figure 2-18**)
- Off-Road Small Spark-Ignition Engine (SSIE) Category (**Figure 2-19**)
- Off-Road Compression-Ignition Engine (OFCI) Category (**Figure 2-20**)
- Off-Road Large Spark-Ignition Engine (LSIE) Category (**Figure 2-21**)

2.2.1 On-Road Heavy Duty (HD) Category

Figure 2-4 The Directory Structure for On-Road HD Category

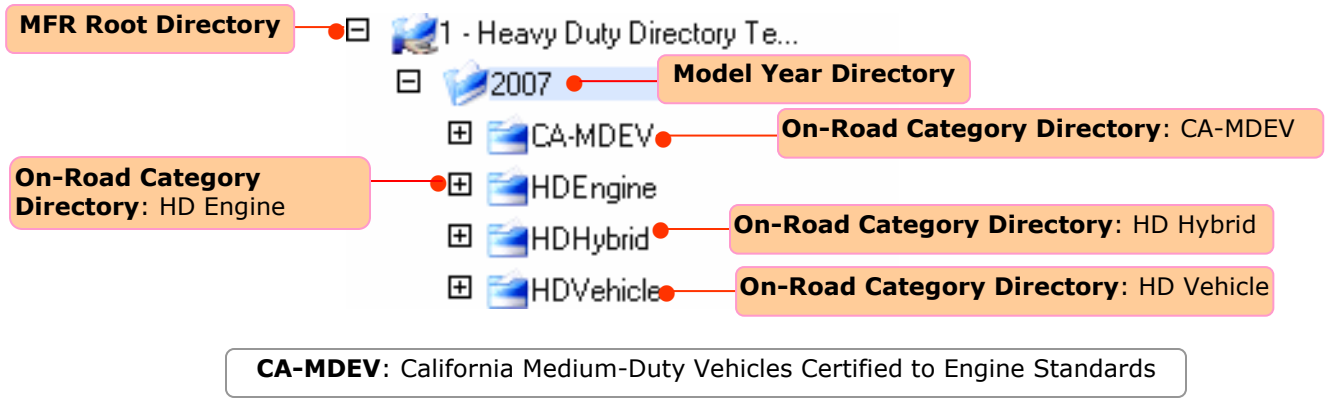


Figure 2-5 **The Directory Tree for On-Road Heavy Duty (HD) Category—"CA-MDEV" Subdirectory**

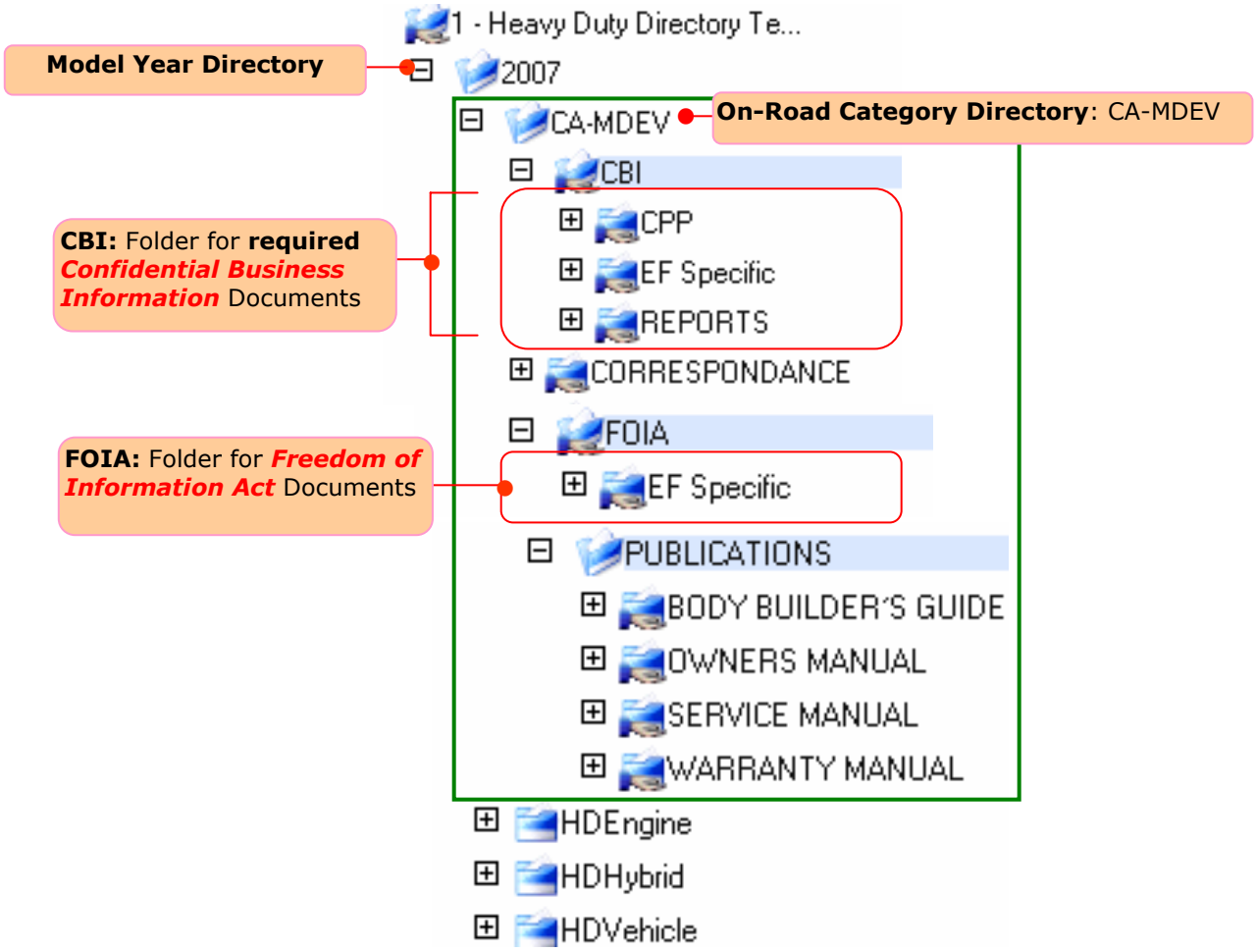


Figure 2-6 The Directory Tree for On-Road Heavy Duty (HD) Category—"HD Engine" Subdirectory

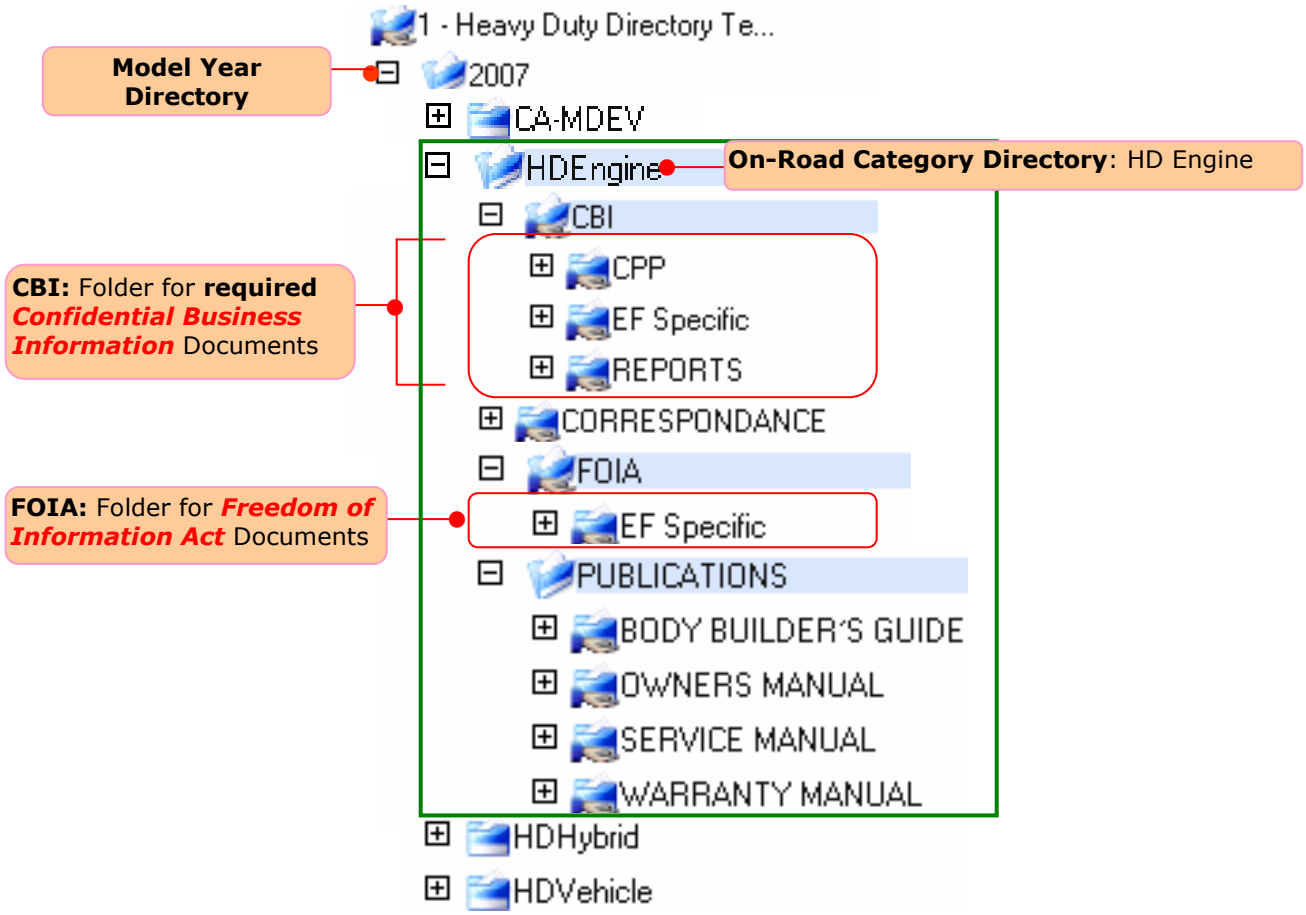


Figure 2-7 The Directory Tree for On-Road Heavy Duty (HD) Category—"HD Hybrid" Subdirectory

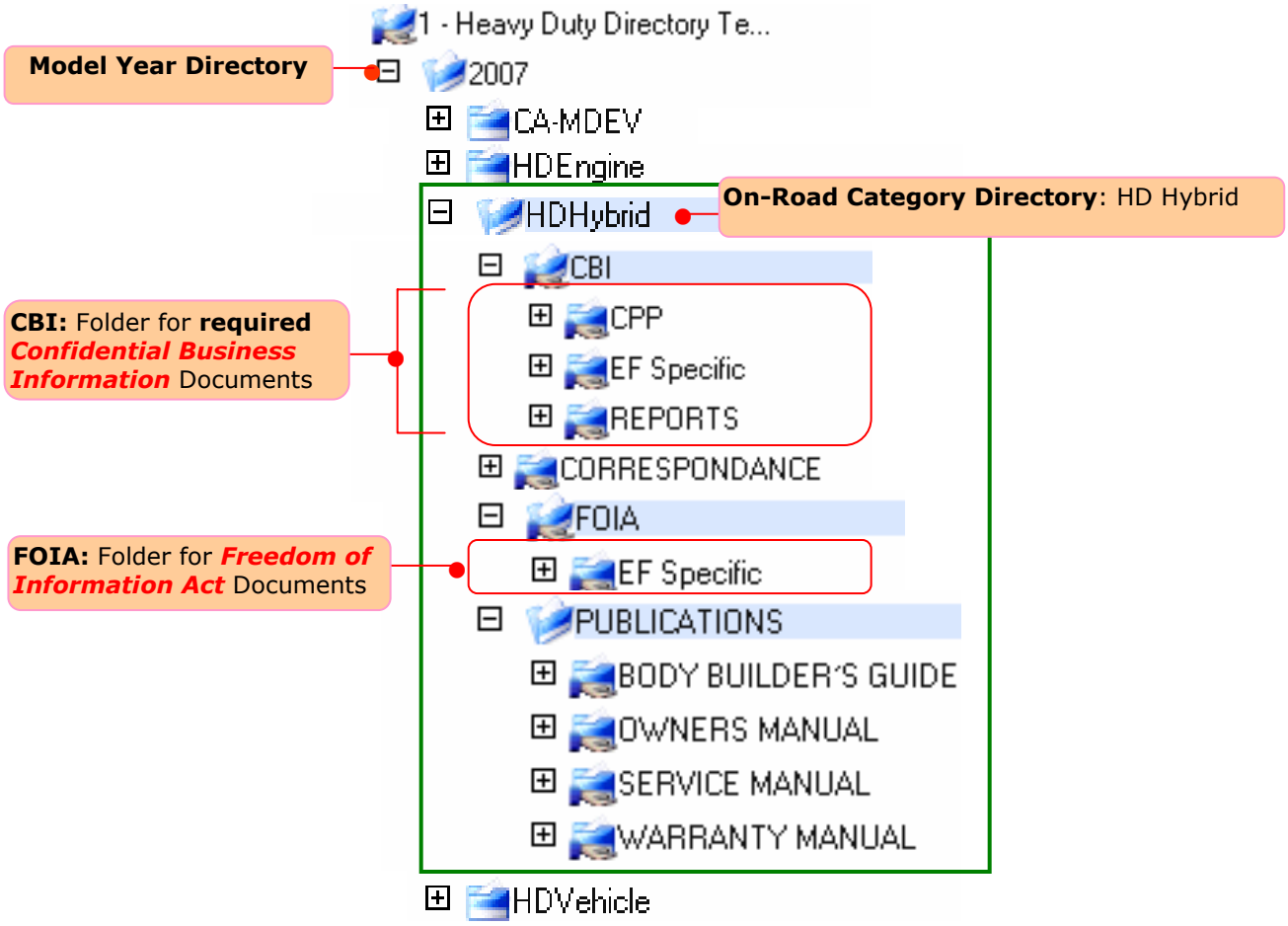
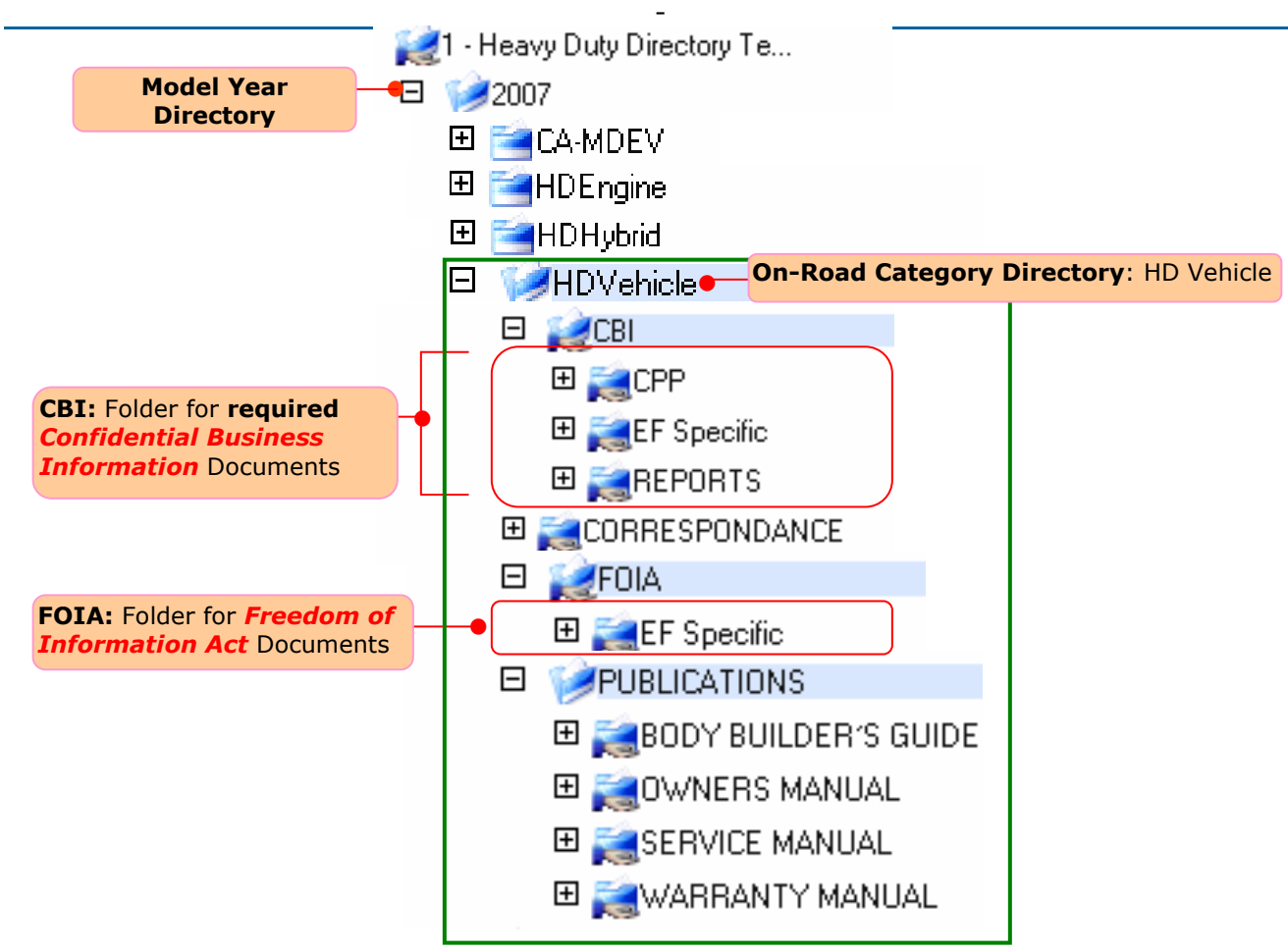


Figure 2-8 **The Directory Tree for On-Road Heavy Duty (HD) Category—"HD Vehicle" Subdirectory**



2.2.1 On-Road Light Duty (LD) Category

Figure 2-9 The Directory Structure for On-Road LD Category

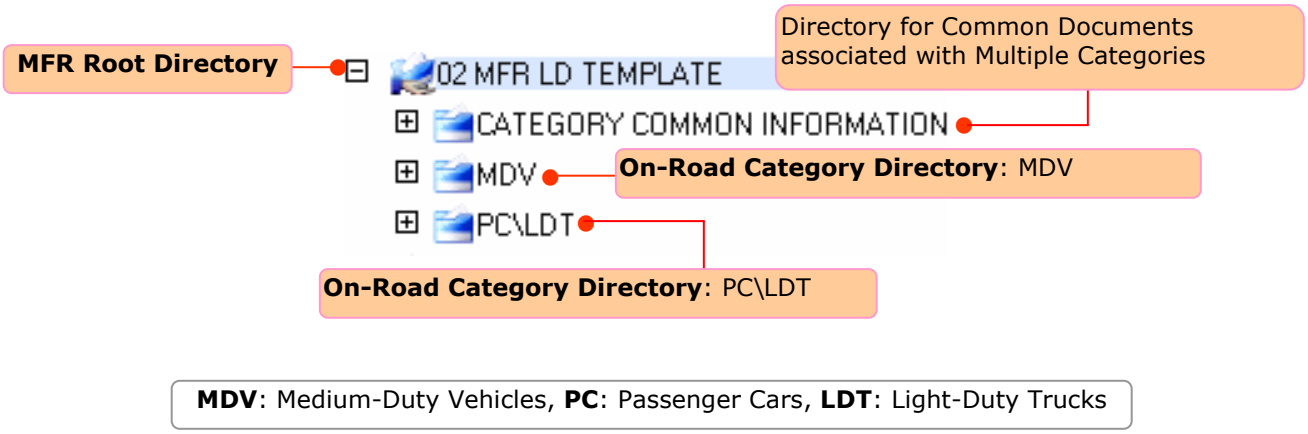


Figure 2-10 The Directory Structure for "CATEGORY COMMON INFORMATION" Subdirectory of On-Road Light Duty (LD) Category

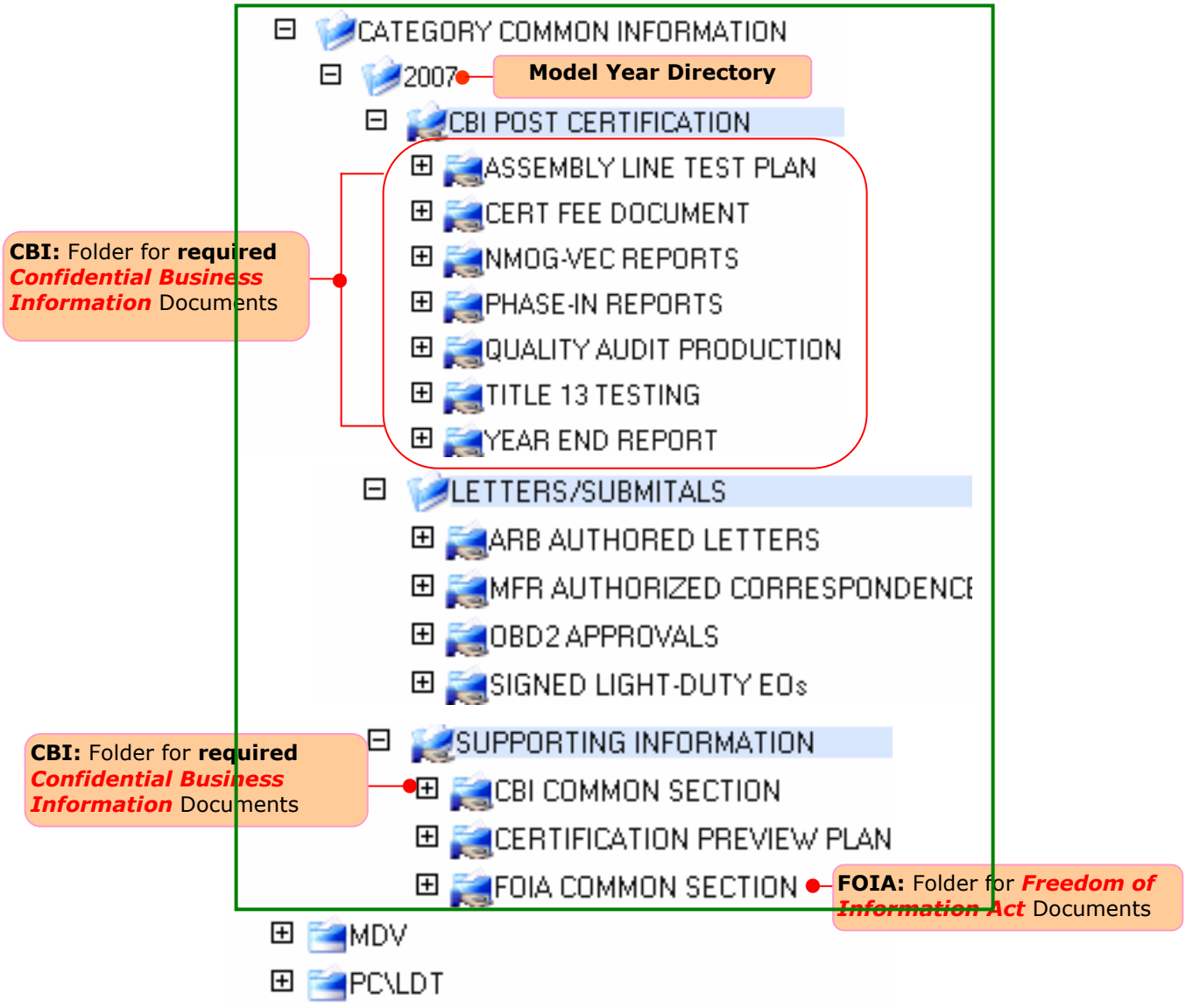


Figure 2-11 The Directory Structure for "MDV" Subdirectory of On-Road Light Duty (LD) Category

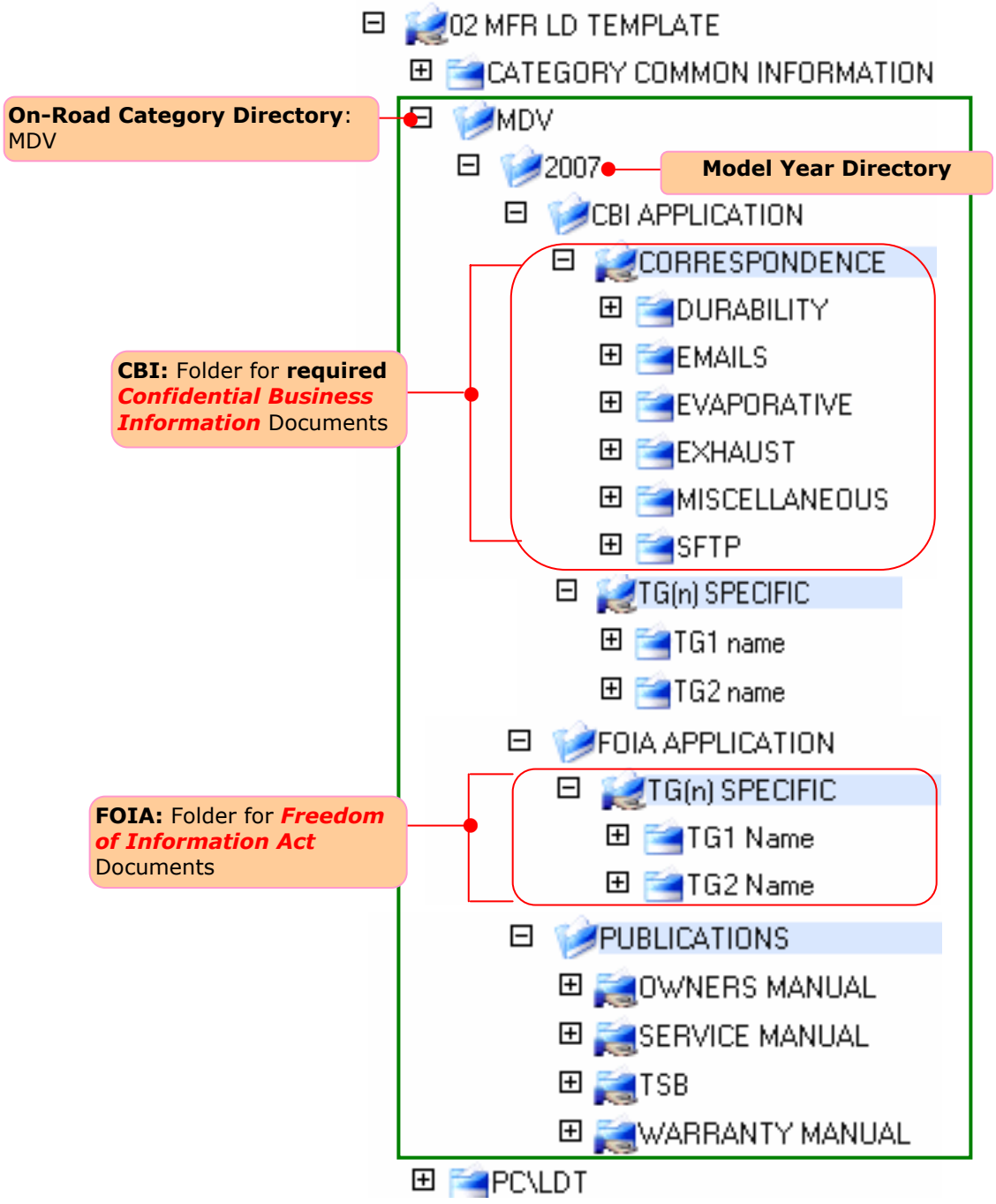
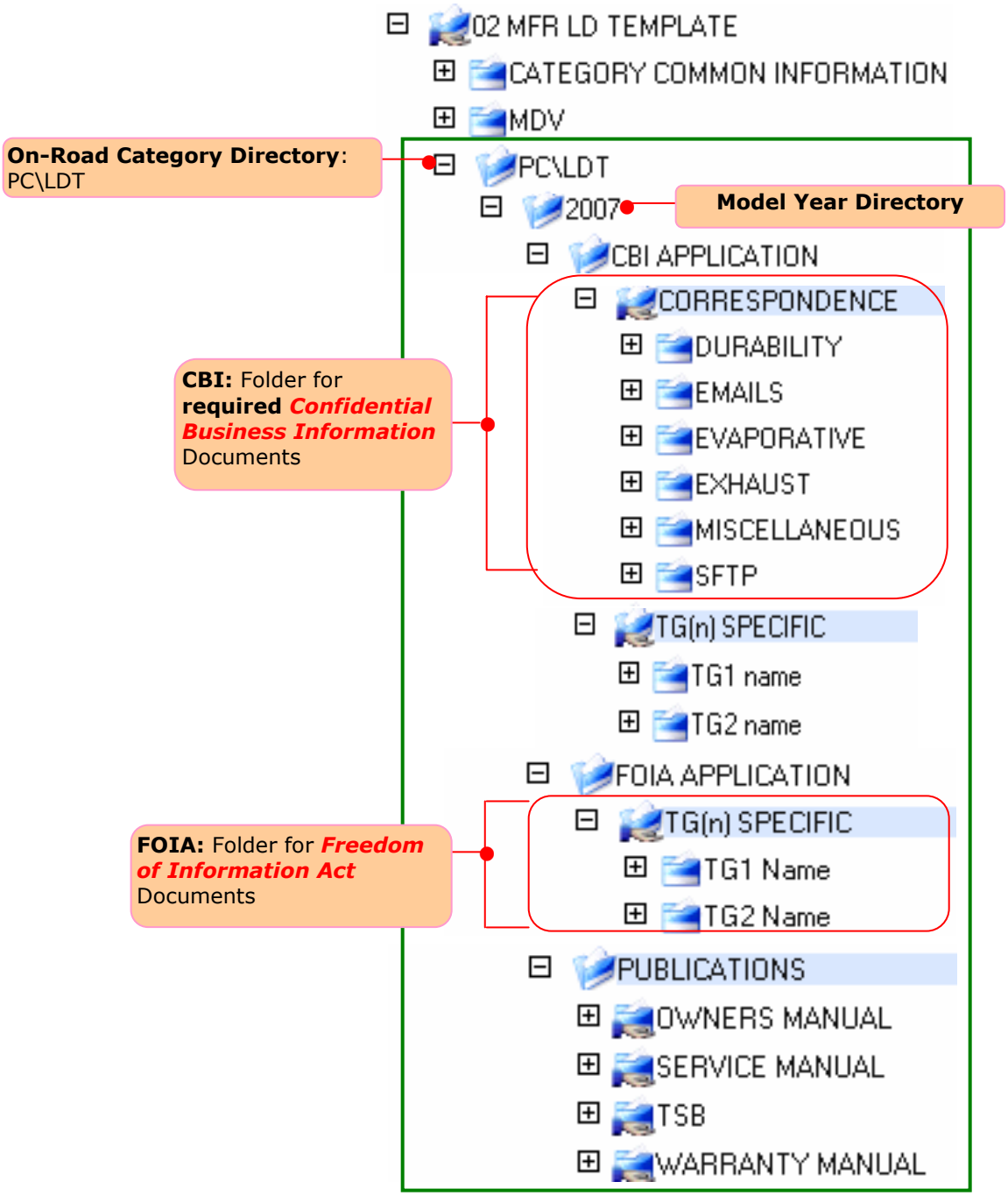
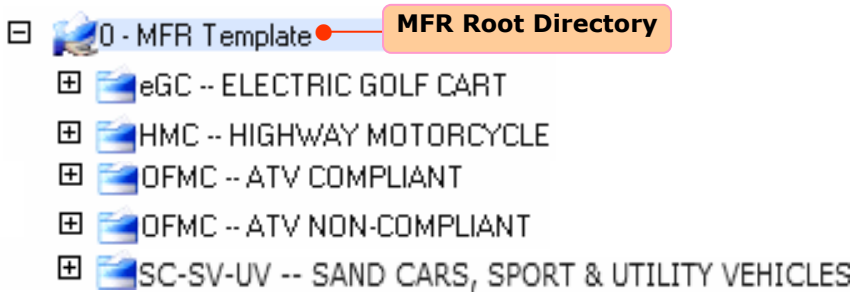


Figure 2-12 The Directory Structure for "PC\LDT" Subdirectory of On-Road Light Duty (LD) Category



2.2.2 On-Road Motorcycle Category

Figure 2-13 The Directory Structure for On-Road Motorcycle Category



eGC: Electric Golf Carts**; HMC**: Highway Motorcycles; **OFMC**: Off-Road Motorcycles; **ATV**: All-terrain Vehicles
SC: Sand Cars (Sand Rails); **SV**: Off-Road Sport Vehicles; **UV**: Off-Road Utitlity Vehicles

Figure 2-14 The Directory Structure for "eGC" Subdirectory of On-Road Motorcycle Category

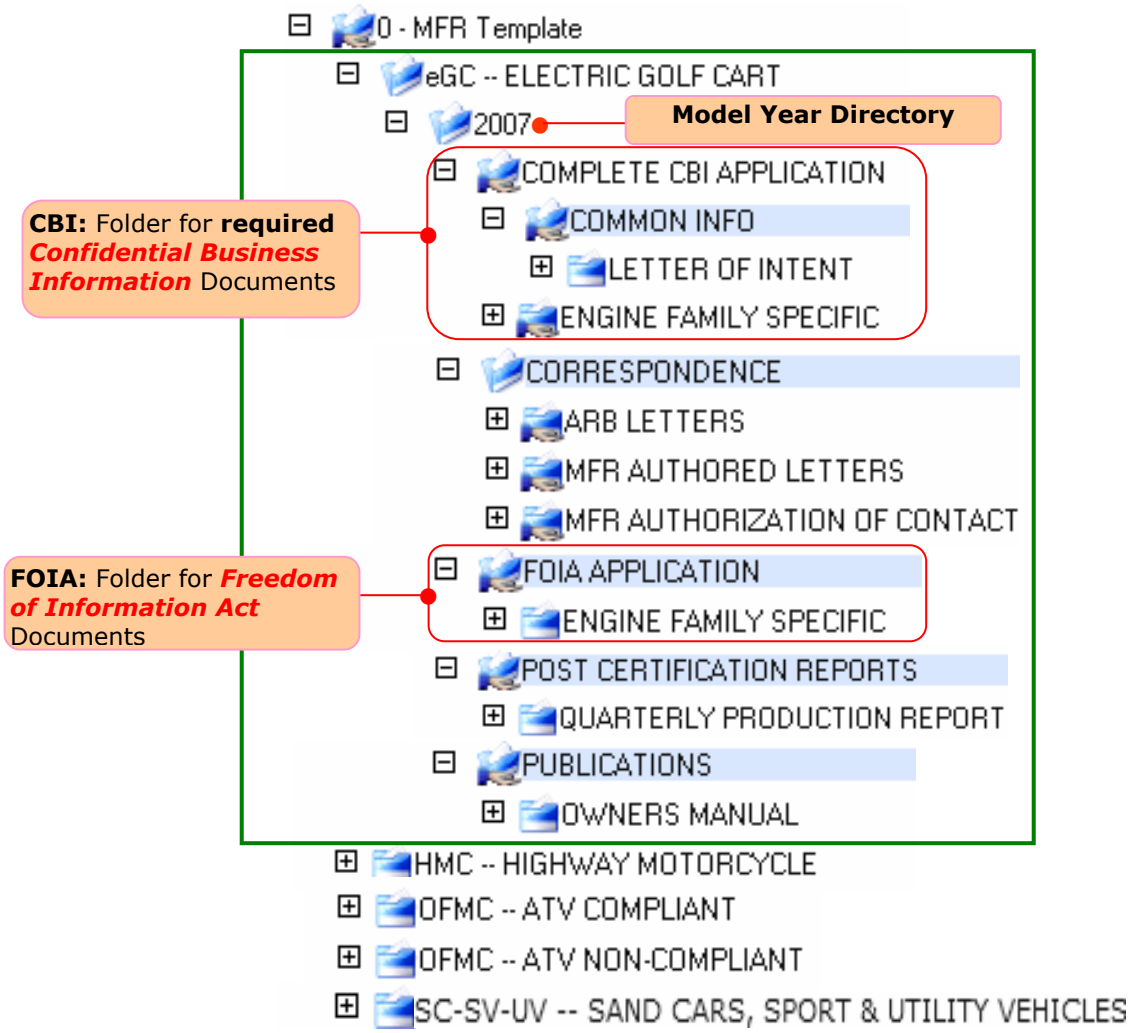


Figure 2-15 The Directory Structure for "HMC" Subdirectory of On-Road Motorcycle Category

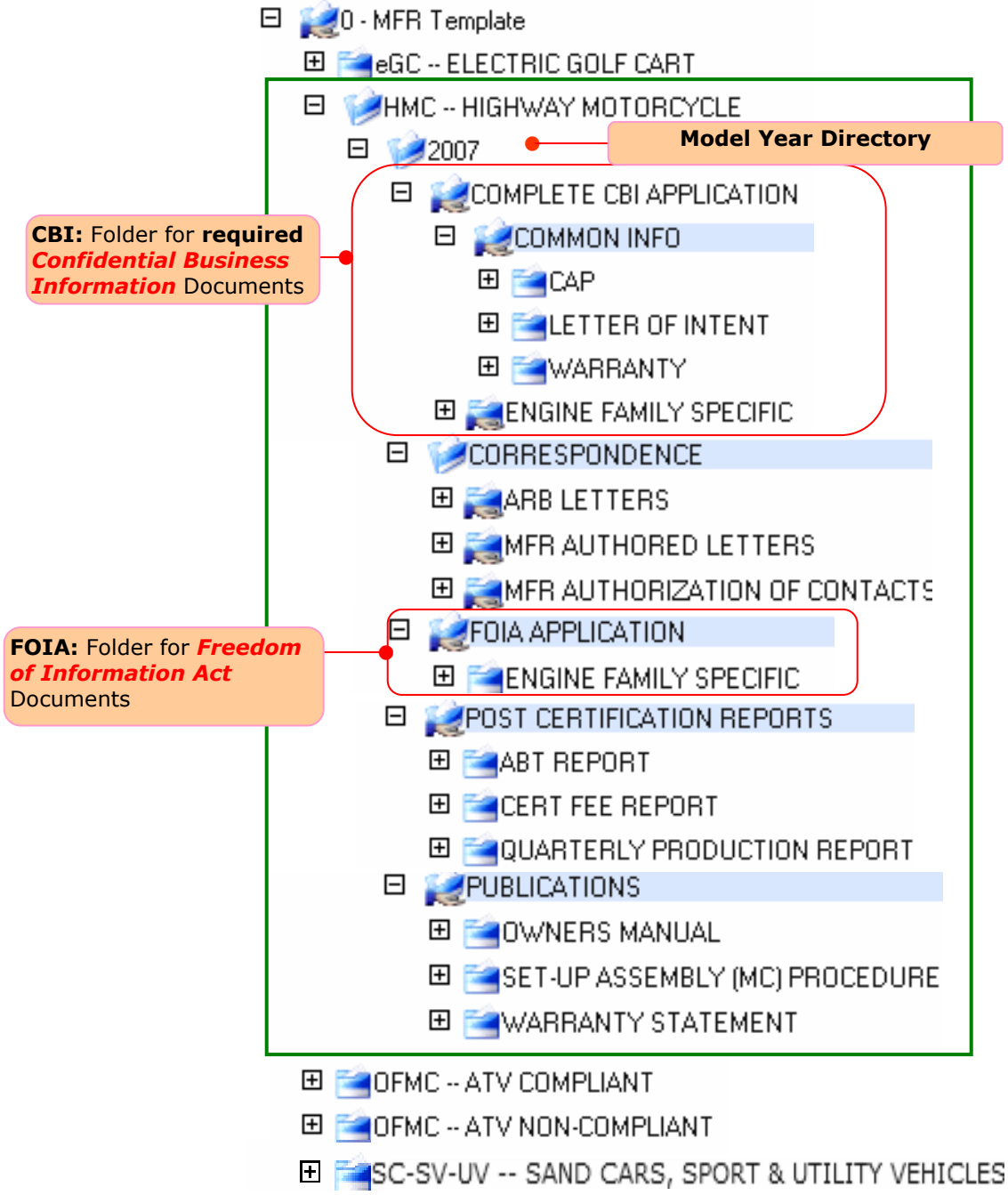


Figure 2-16 The Directory Structure for "OFMC ATV COMPLIANT" Subdirectory of On-Road Motorcycle Category

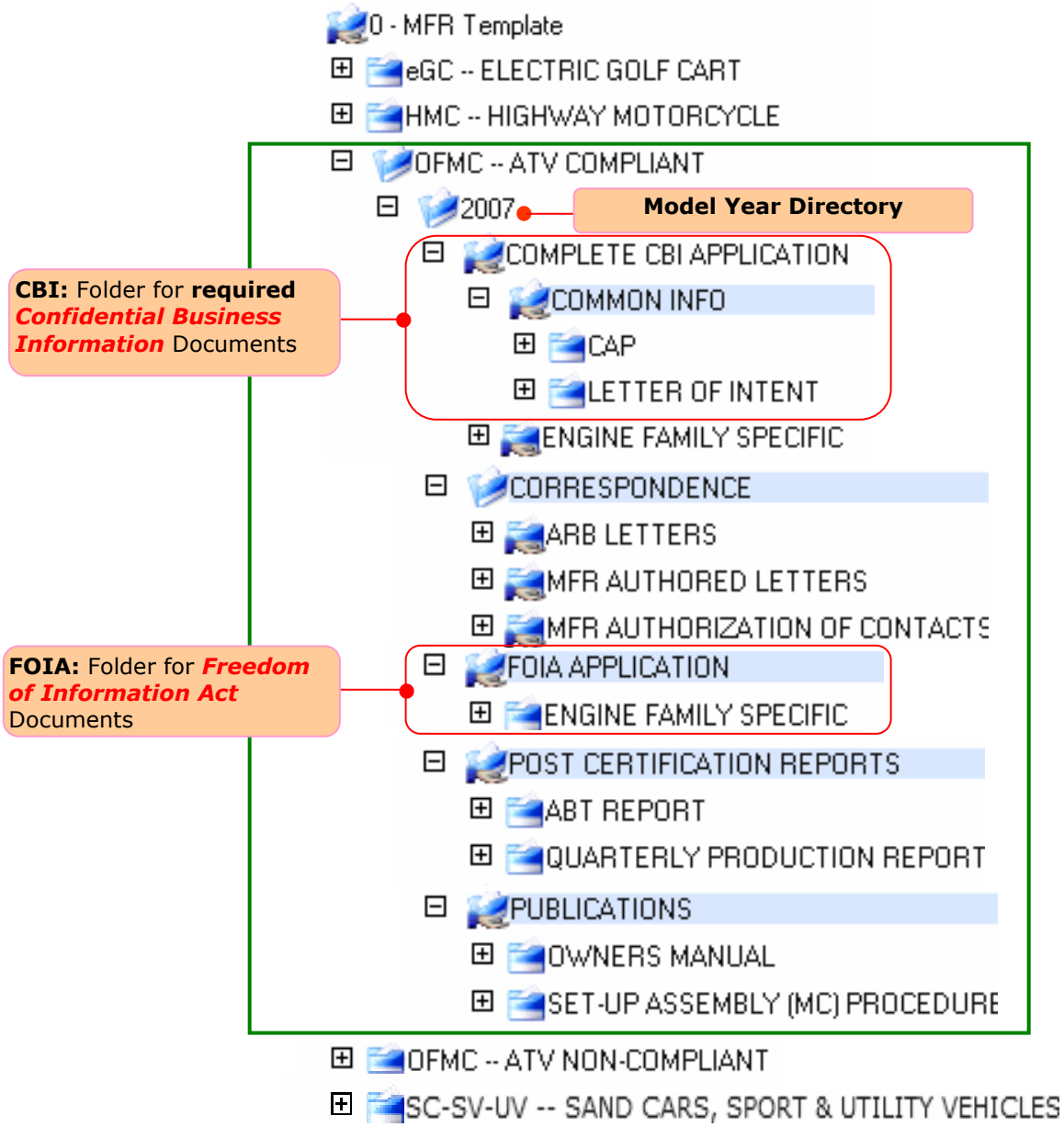
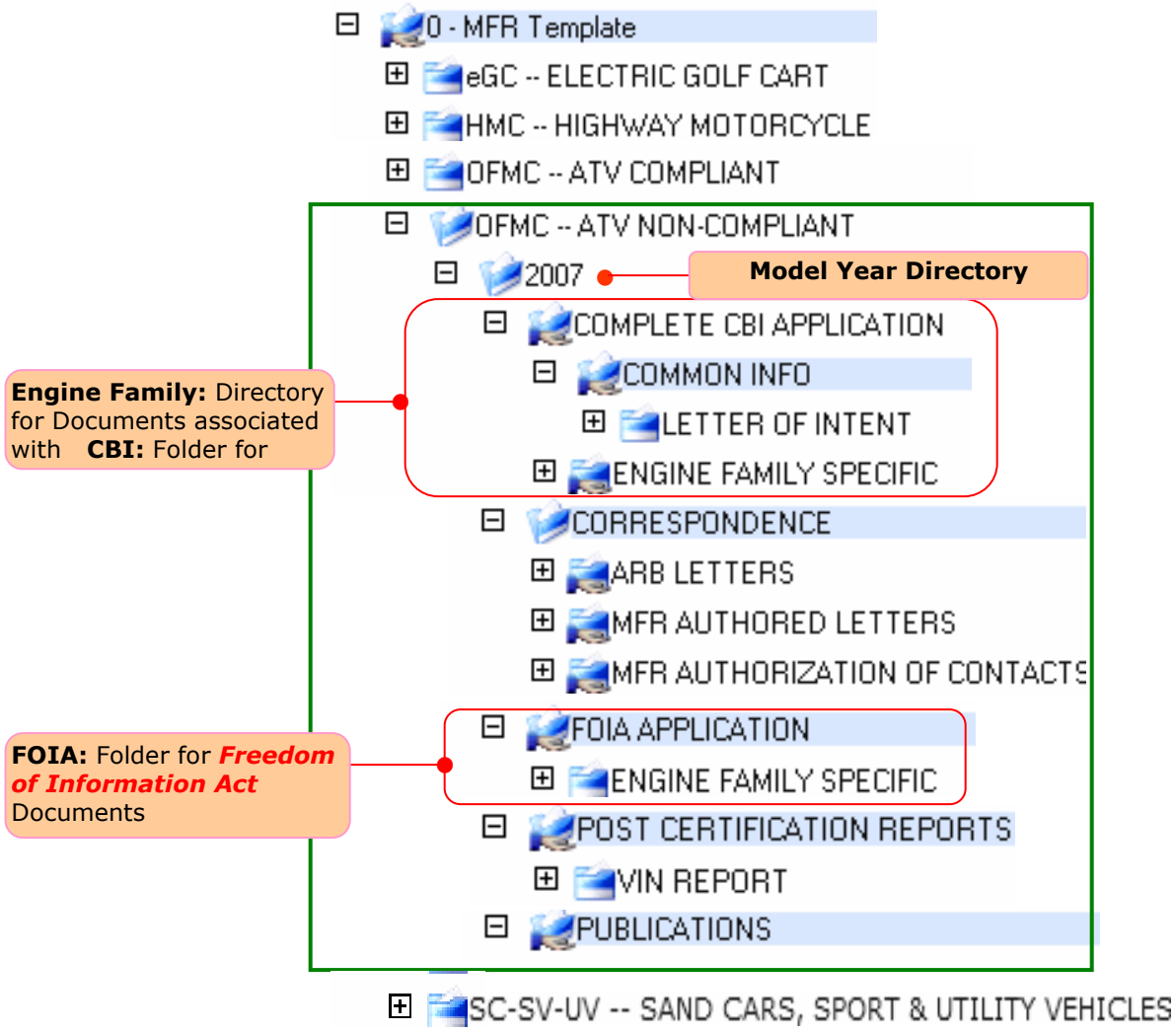


Figure 2-17 The Directory Structure for "OFMC ATV NON-COMPLIANT" Subdirectory of On-Road Motorcycle Category



2.2.3 Off-Road Categories

Figure 2-18 The Directory Structure for Off-Road Spark-Ignition Marine Engine (SIME) Category

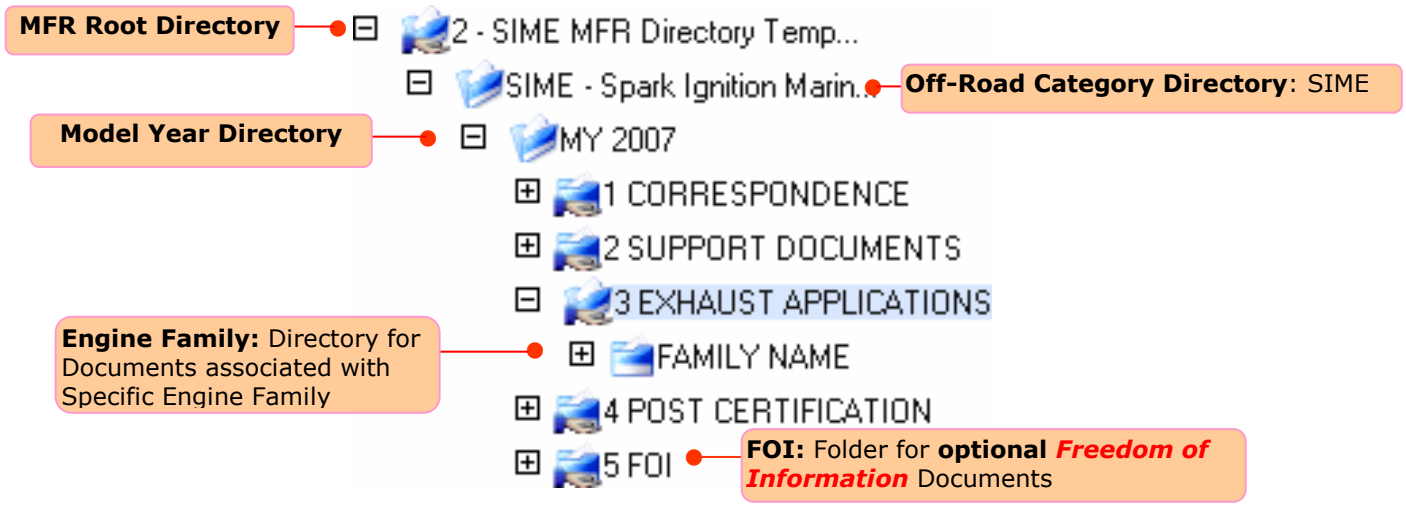


Figure 2-19 The Directory Structure for Off-Road Small Spark-Ignition Engine (SSIE) Category

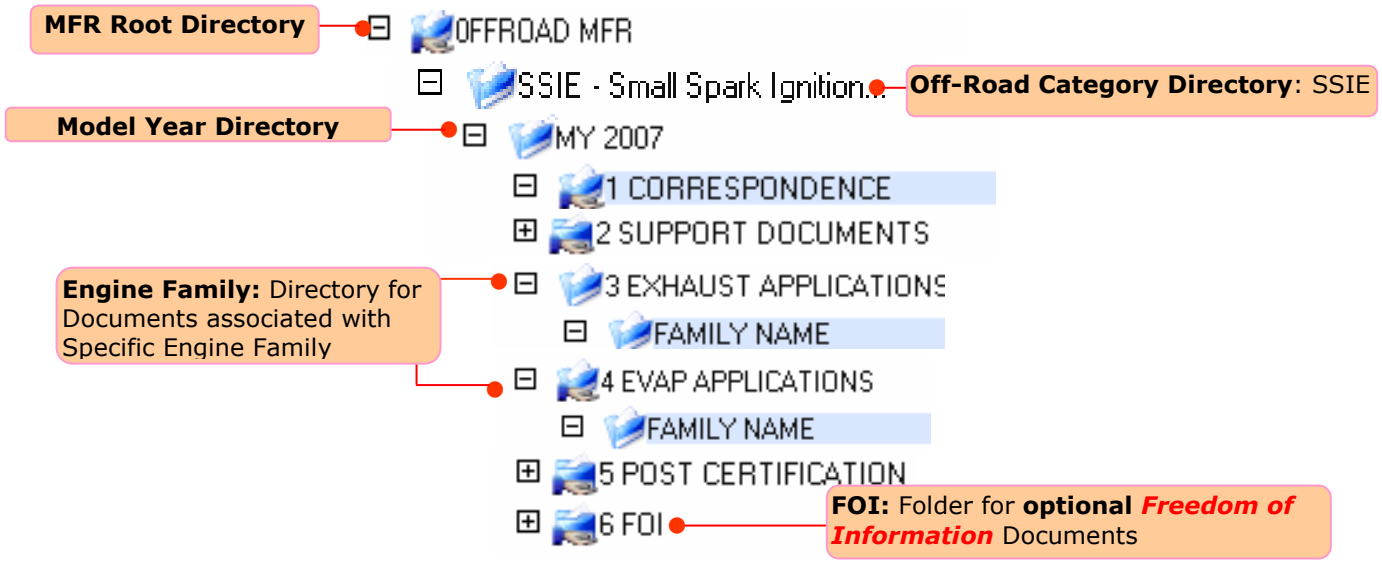


Figure 2-20 The Directory Tree for Off-Road Compression Ignition Engine (OFCI) Category

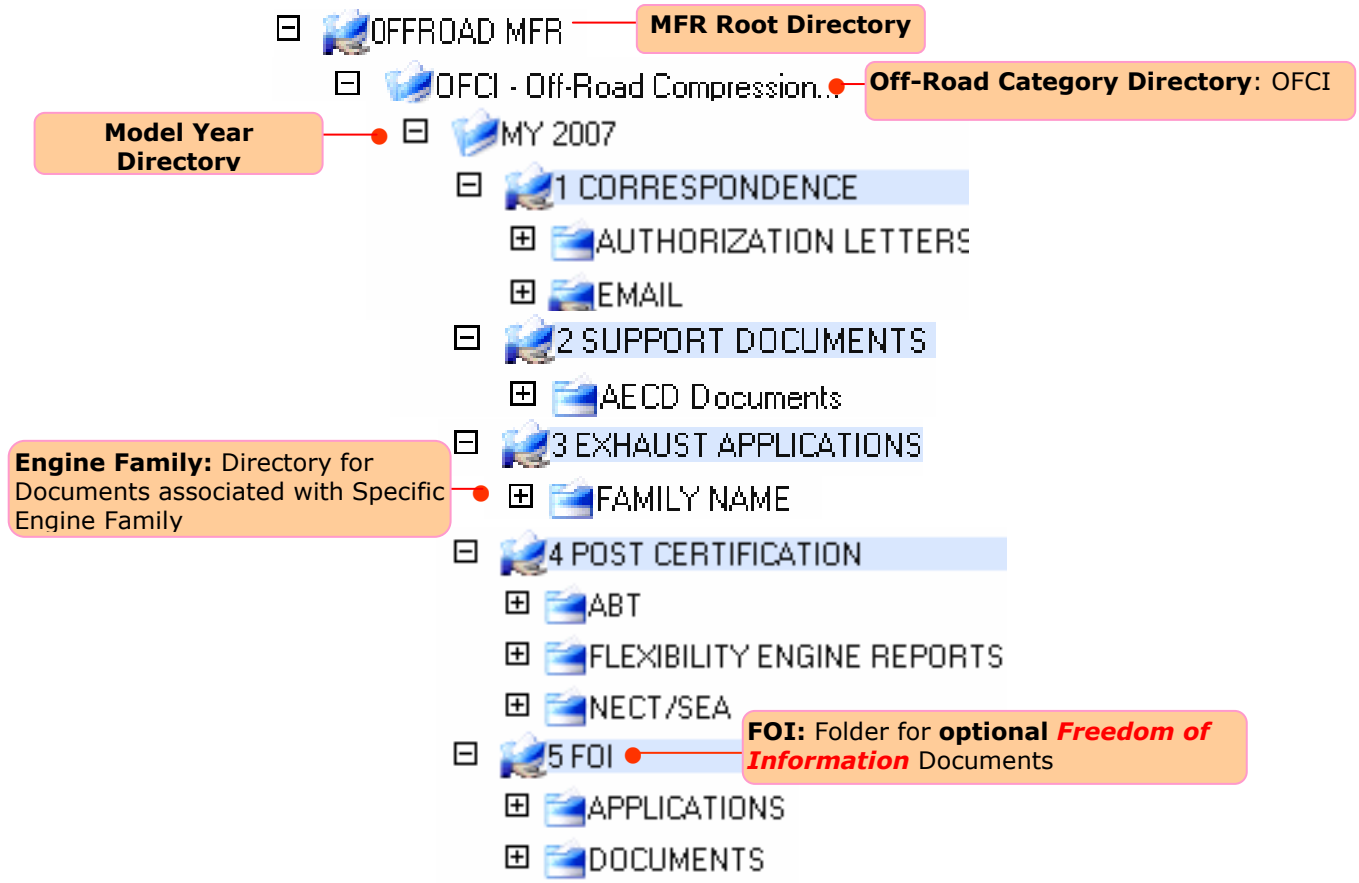
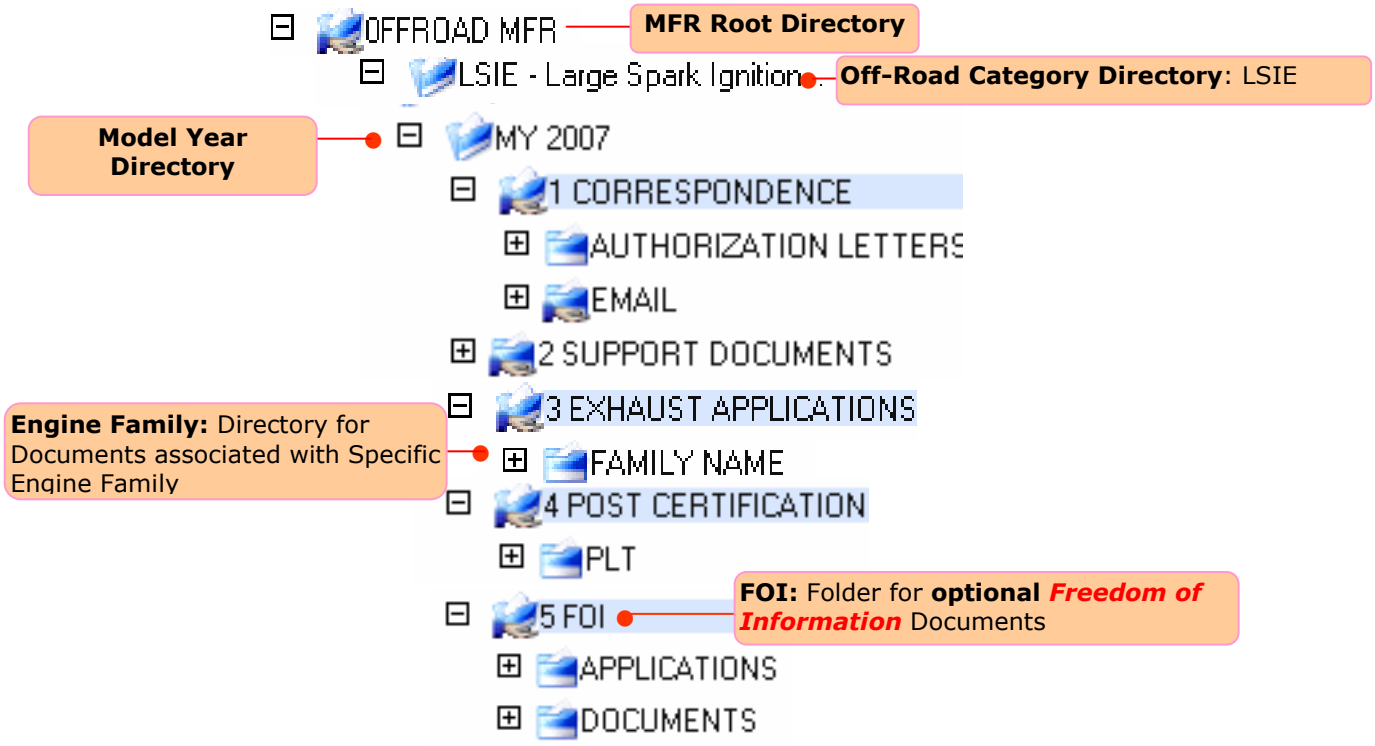


Figure 2-21 The Directory Tree for Off-Road Large Spark-Ignition Engine (LSIE) Category



2.3 DOCUMENT TYPES AND METADATA

When uploading a document to the ARB DMS, manufacturers must choose the correct document type. The document type makes it easy to identify the contents of your uploaded file and to identify the correct workflow process (see Section 5). Documents must be placed in the applicable folders of the directory tree so that an appropriate document type can be selected and the workflow process can function properly. Documents not properly submitted will be deleted and the manufacturer will be required to resubmit the file.

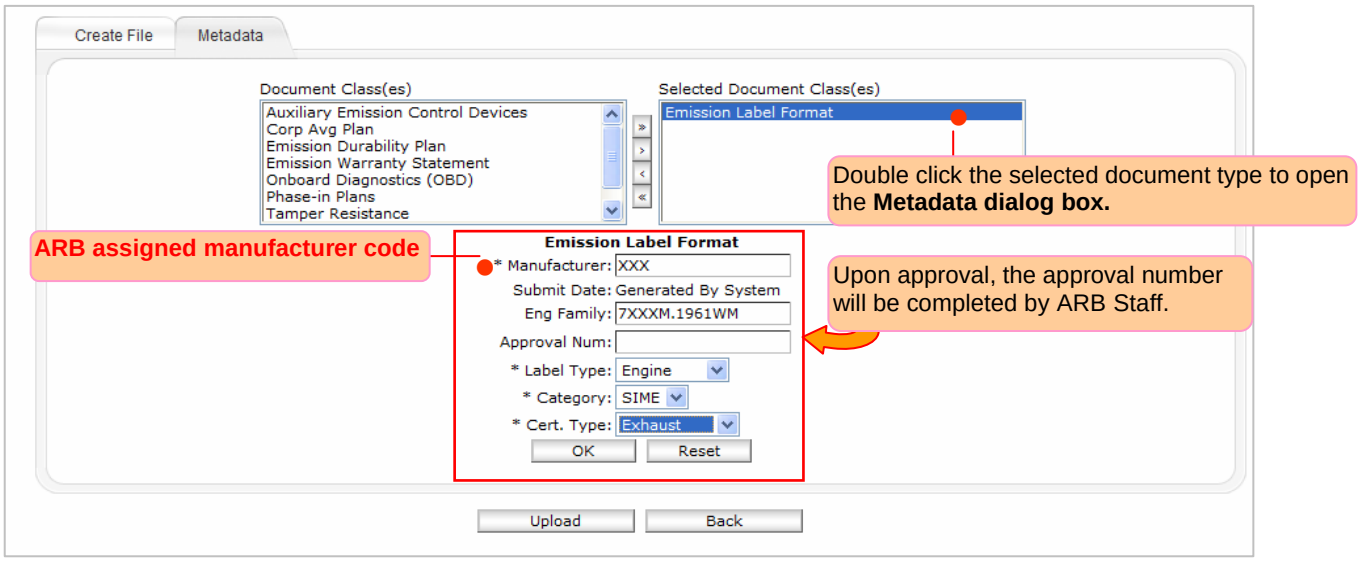
Additionally, after you select a document type in the DMS, you will have to complete the "metadata" attributes applicable to that specific document type. Metadata attributes are unique to each document type and allows the system to identify and locate a document by using specified attributes.

Each distinct document type will be identified by a system-generated **ID** and a unique series of fully searchable, user-defined metadata attributes which can be created and saved in the system. Metadata attributes are an essential component of document management. They not only provide the basis for a document index, but serve as useful search criteria to greatly reduce the margin of unrelated search results.

When conducting an advanced search (see Section 6.4), any number or combination of selected metadata attributes can be used to locate any particular document.

For example, the *SIME Emission Label Format* document type has metadata attributes: *Manufacturer, Submit Date, Engine Family, Approval Number, Label Type, Category, and Cert. Type*.

Figure 2-22 Metadata Attributes Dialog Box



The metadata fields denoted with an asterisk "*"are required. Those fields ***must*** be completed before the document can be uploaded to the applicable folder in the DMS. However, manufacturers are encouraged to fill in the optional metadata fields to enhance the system's search results and to maximize the effectiveness of the search engine.

Figures 2-23 through **2-37** list available document types assigned to the folders in the directory tree of various on- and off-road categories. Please follow this guide to upload your documents. Appendix B contains three Tables **B-1** through **B-3** that relate available document types with their associated metadata attributes for on-road and off-road categories.

Below is a summary of the figures included in each category.

- On-Road Heavy Duty (HD) Category and associated subdirectories (**Figures 2-23 to 2-26**)
- On-Road Light Duty (LD) Category and associated subdirectories (**Figures 2-27 to 2-29**)
- On-Road Motorcycle Category and associated subdirectories (**Figures 2-30 to 2-33**)
- Off-Road Spark-Ignition Marine Engine (SIME) Category (**Figures 2-34**)
- Off-Road Small Spark-Ignition Engine (SSIE) Category (**Figures 2-35**)
- Off-Road Compression Ignition Engine (OFCI) Category (**Figures 2-36**)
- Off-Road Large Spark-Ignition Engine (LSIE) Category (**Figures 2-37**)

2.3.1 On-Road HD Category

Figure 2-23 Assigned Document Types for the Folders in the "CA-MDEV" Subdirectory — On-Road Heavy Duty (HD) Category

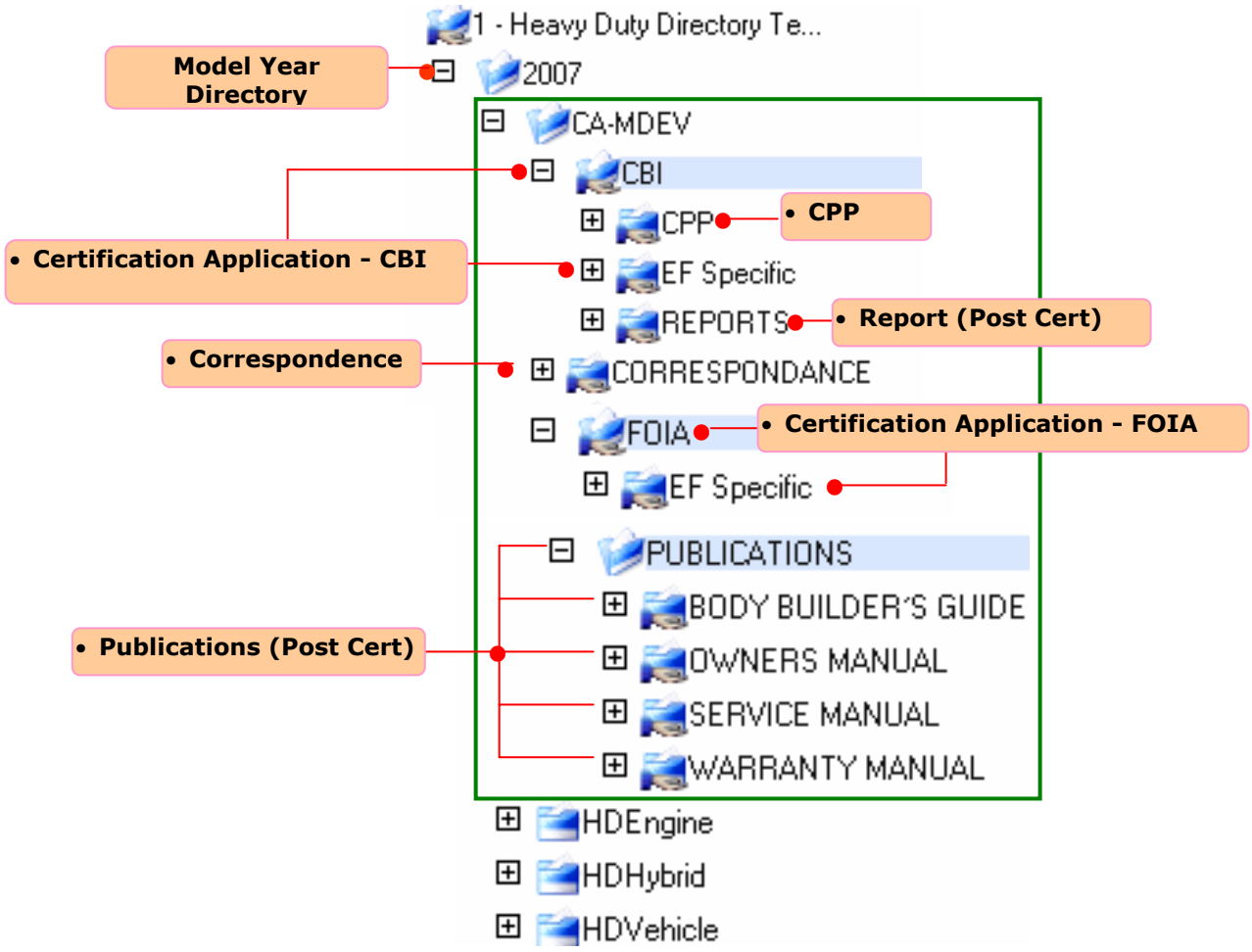


Figure 2-24 Assigned Document Types for the Folders in the "HD Engine" Subdirectory — On-Road Heavy Duty (HD) Category

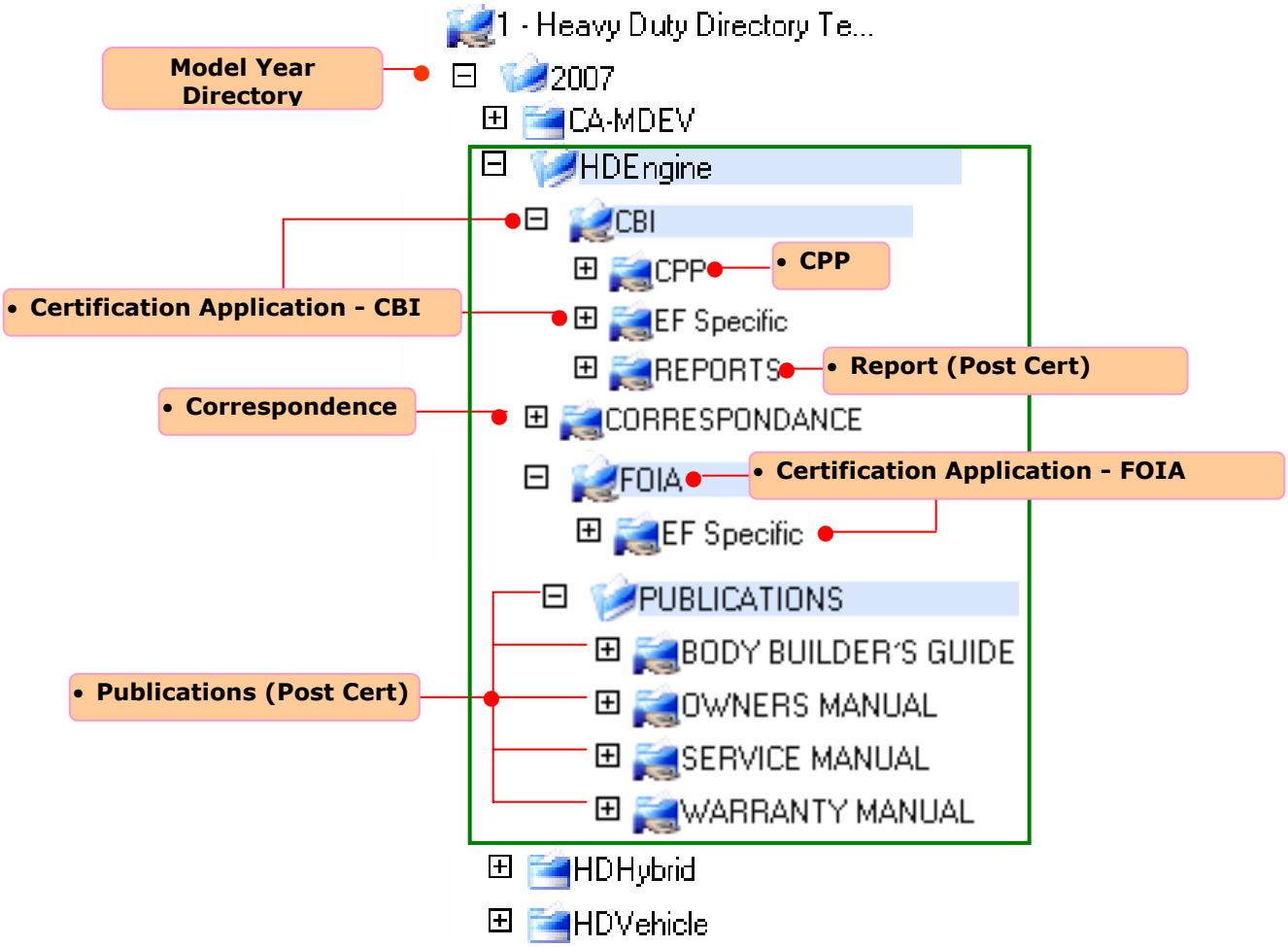


Figure 2-25 Assigned Document Types for the Folders in the "HD Hybrid" Subdirectory — On-Road Heavy Duty (HD) Category

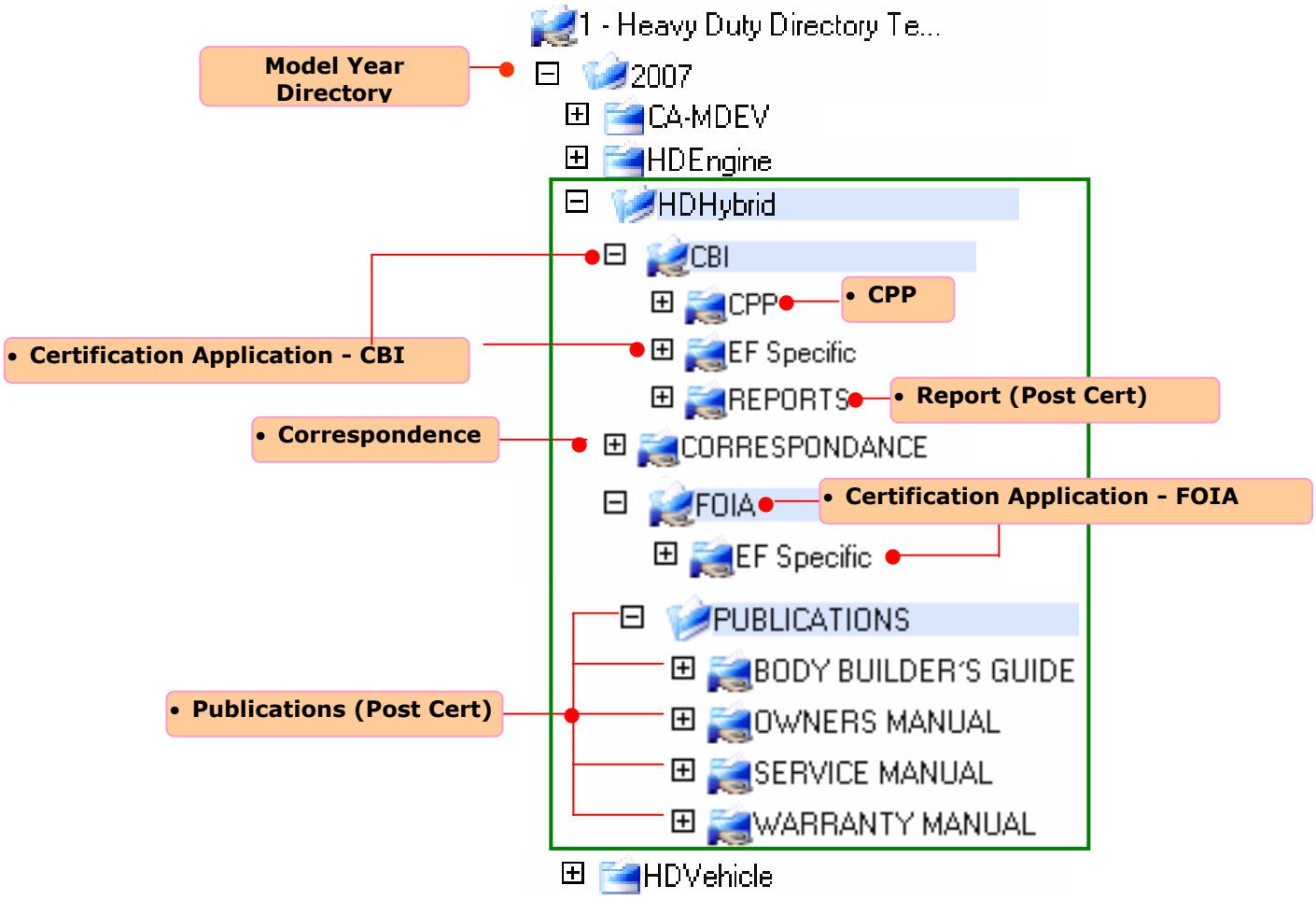
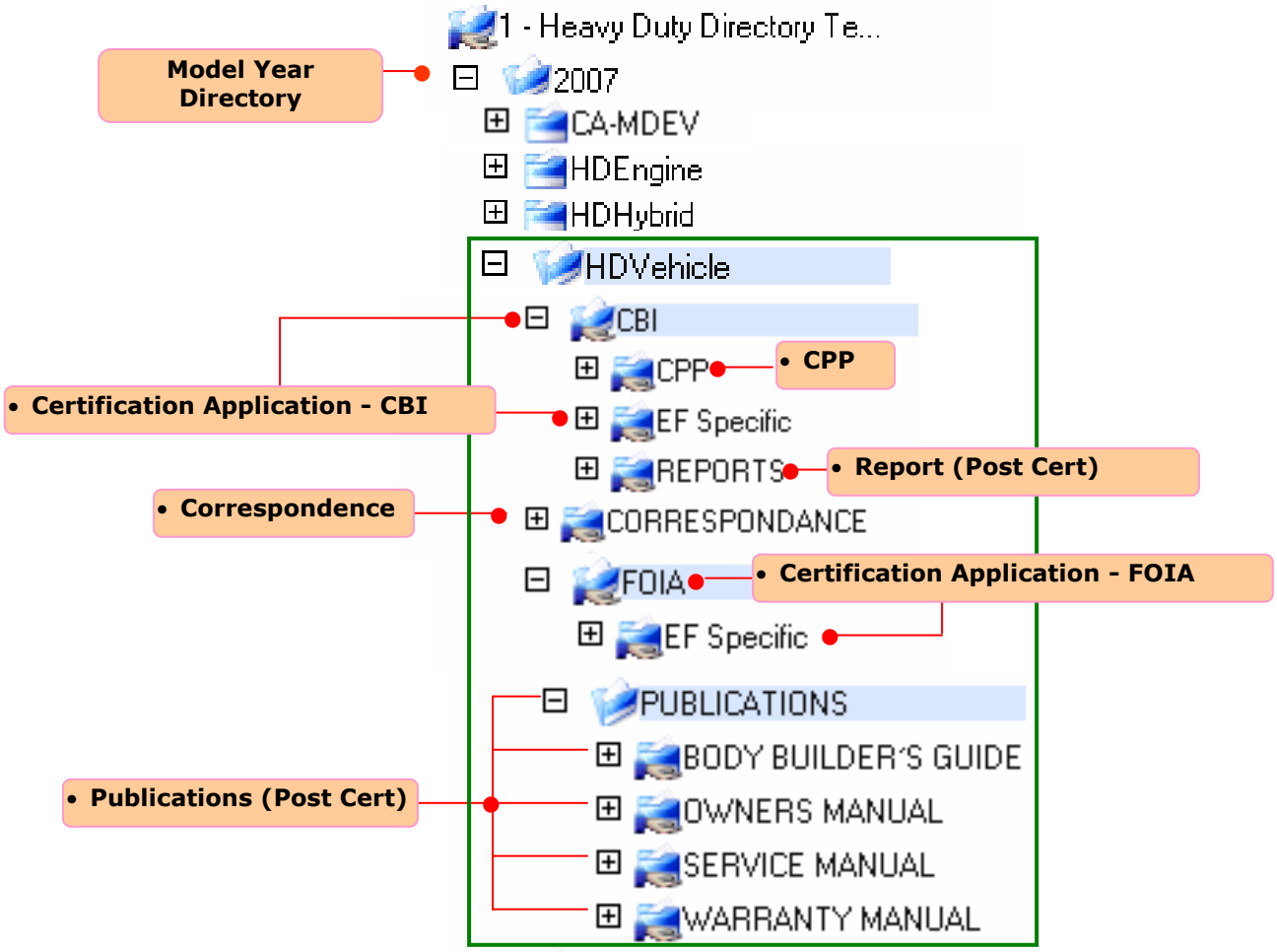


Figure 2-26 Assigned Document Types for the Folders in the "HD Vehicle" Subdirectory — On-Road Heavy Duty (HD) Category



2.3.2 On-Road LD Category

Figure 2-27 Assigned Document Types for On-Road LD Category

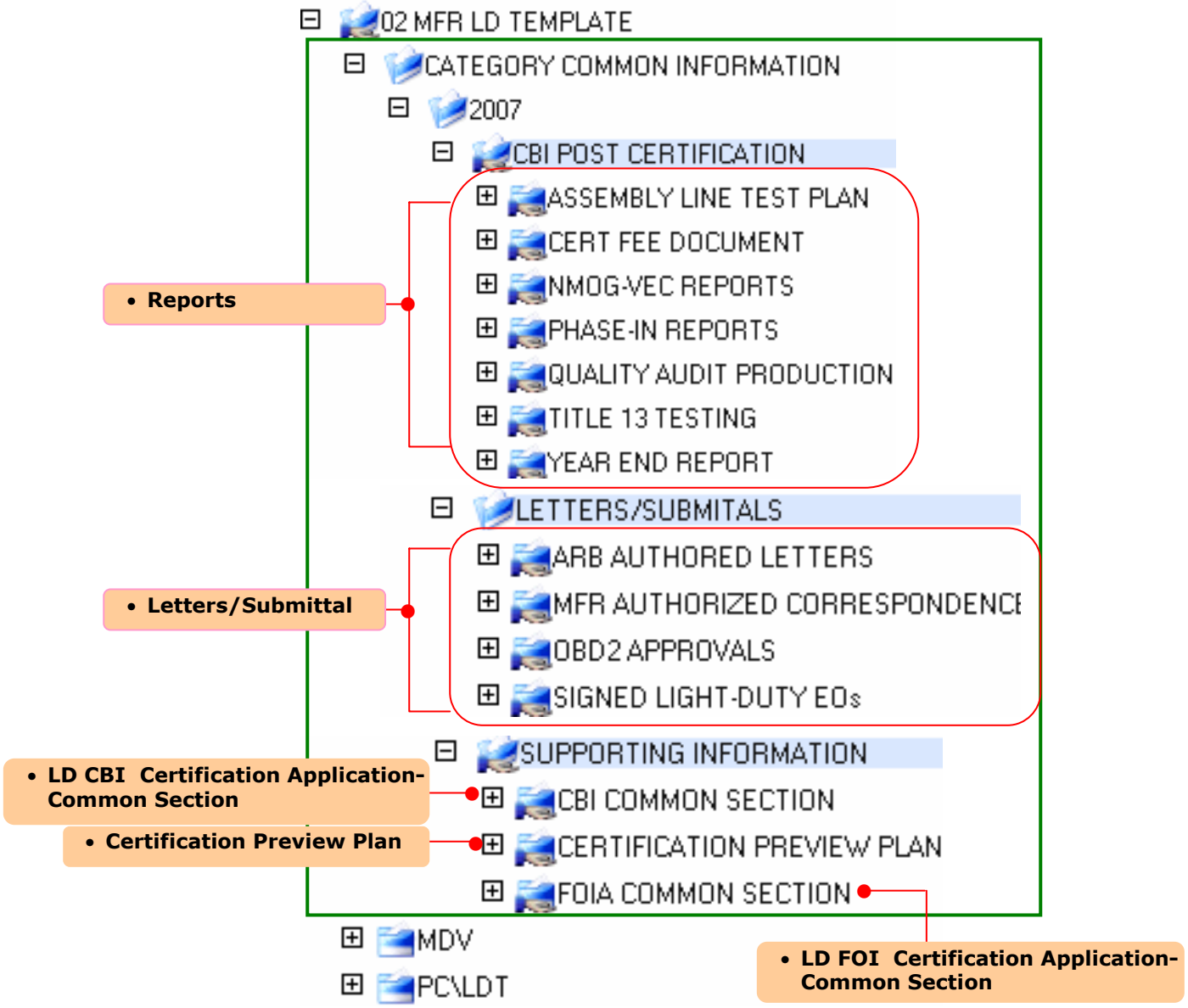


Figure 2-28 On-Road Light Duty (LD) Category — "MDV" Subdirectory and Assigned Document

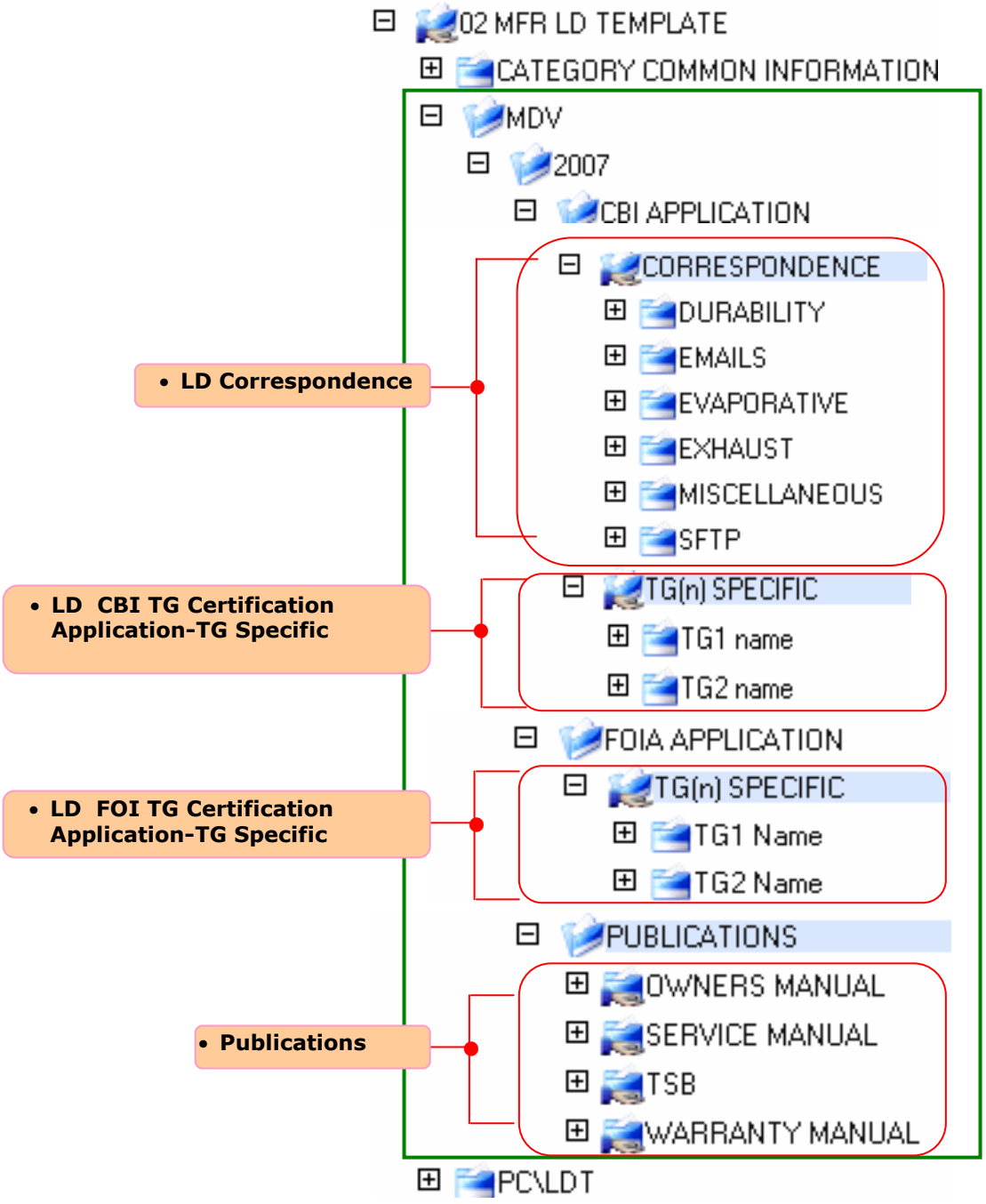
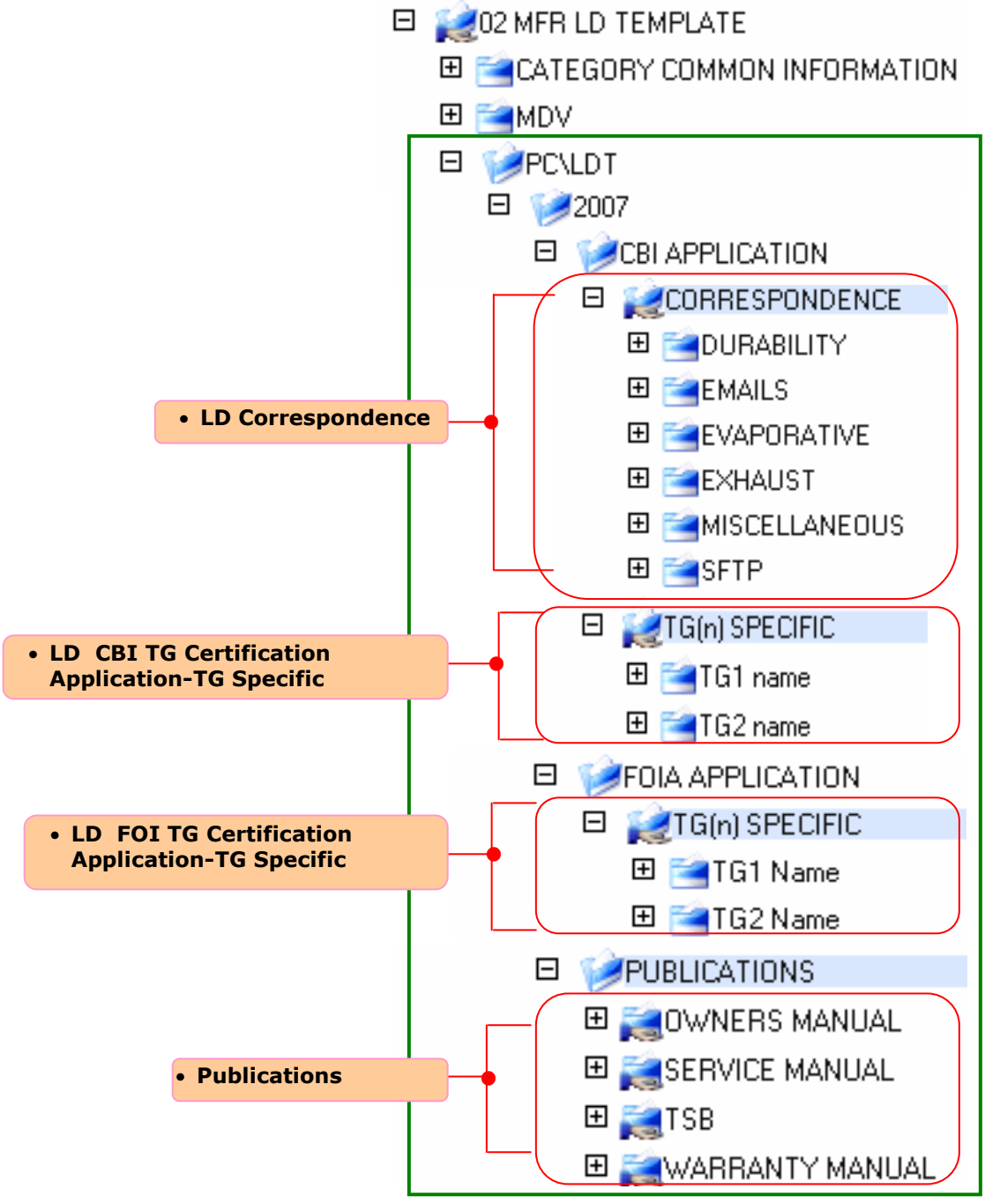


Figure 2-29 On-Road Light Duty (LD) Category — "PC\LDT" Subdirectory and Assigned Document Types



2.3.3 On-Road Motorcycle Category

Figure 2-30 On-Road Motorcycle Category — "Electric Golf Carts" (eGC) Subdirectory and Assigned Document Types

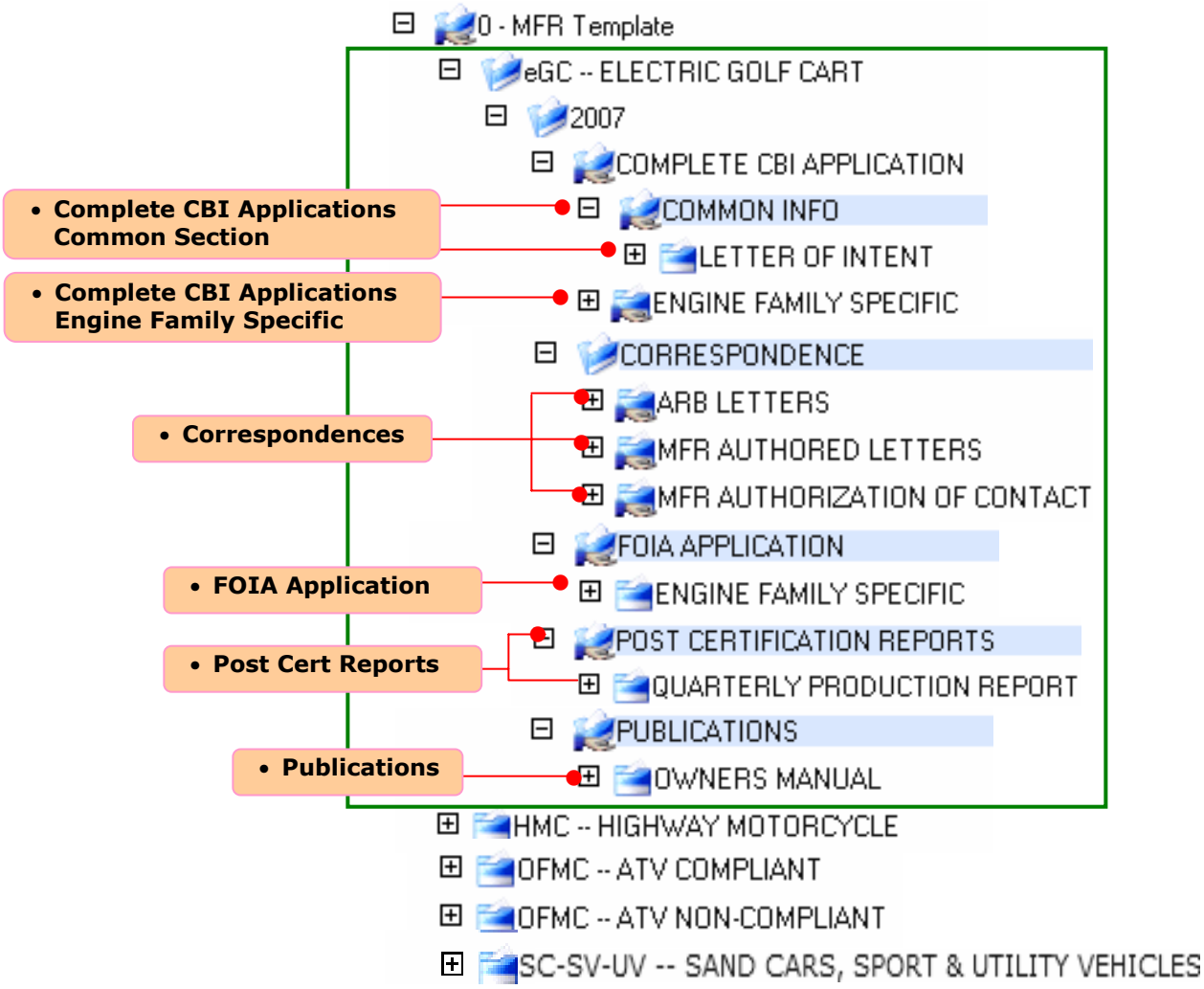


Figure 2-31 On-Road Motorcycle Category — "HMC" Subdirectory and Assigned Document Types

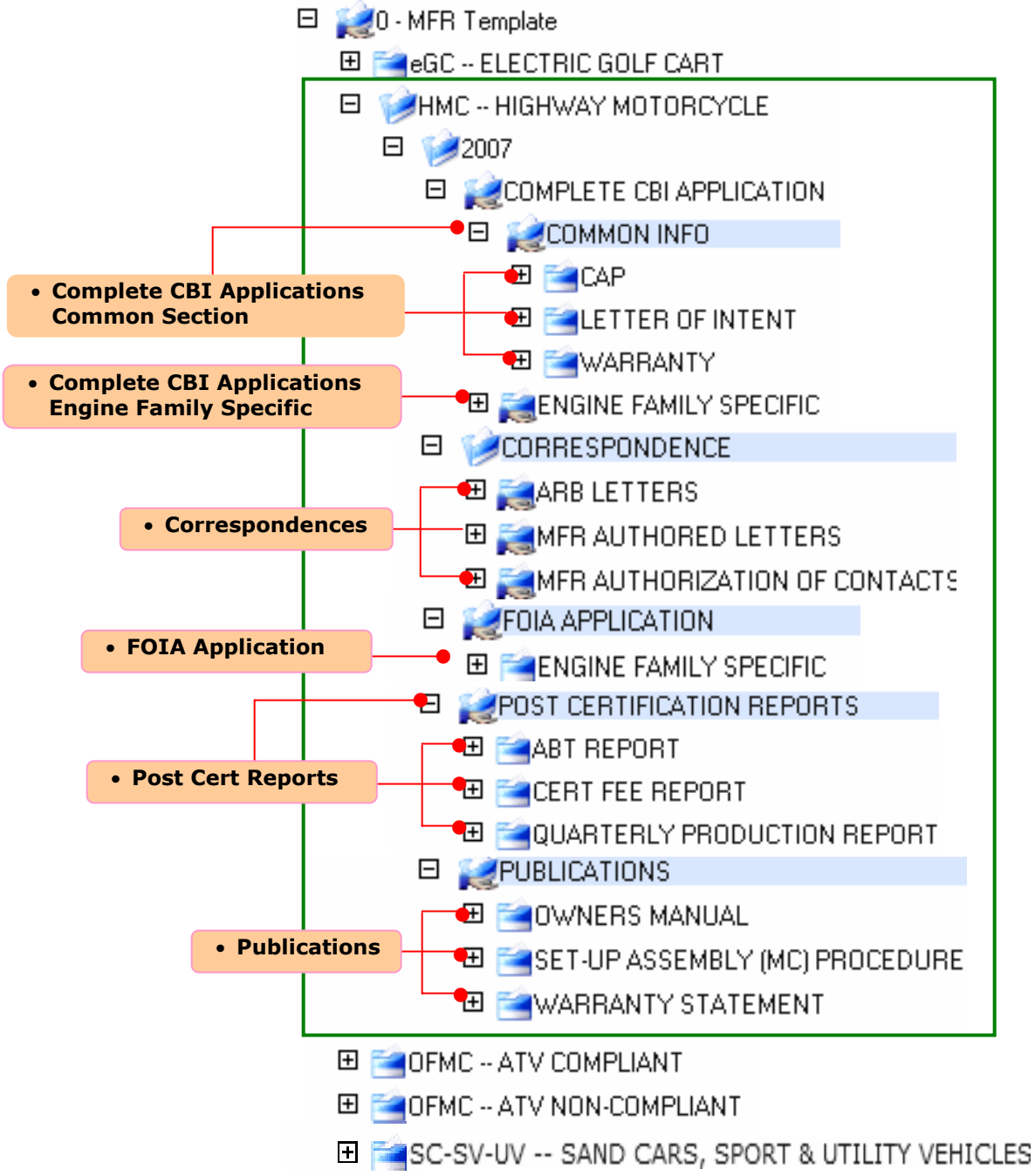


Figure 2-32 On-Road Motorcycle Category — OFMC ATV COMPLIANT Subdirectory and Assigned Document Types

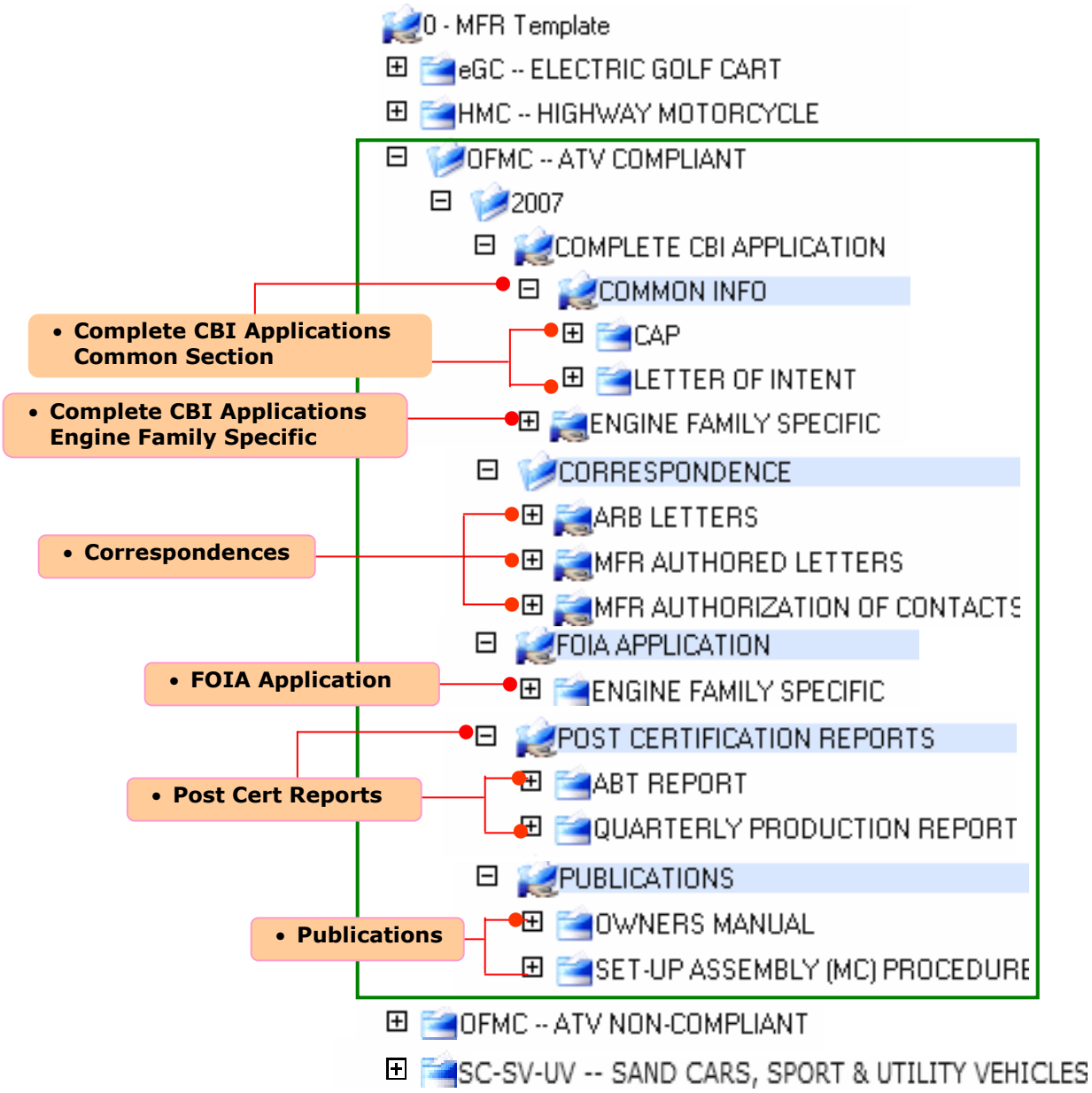
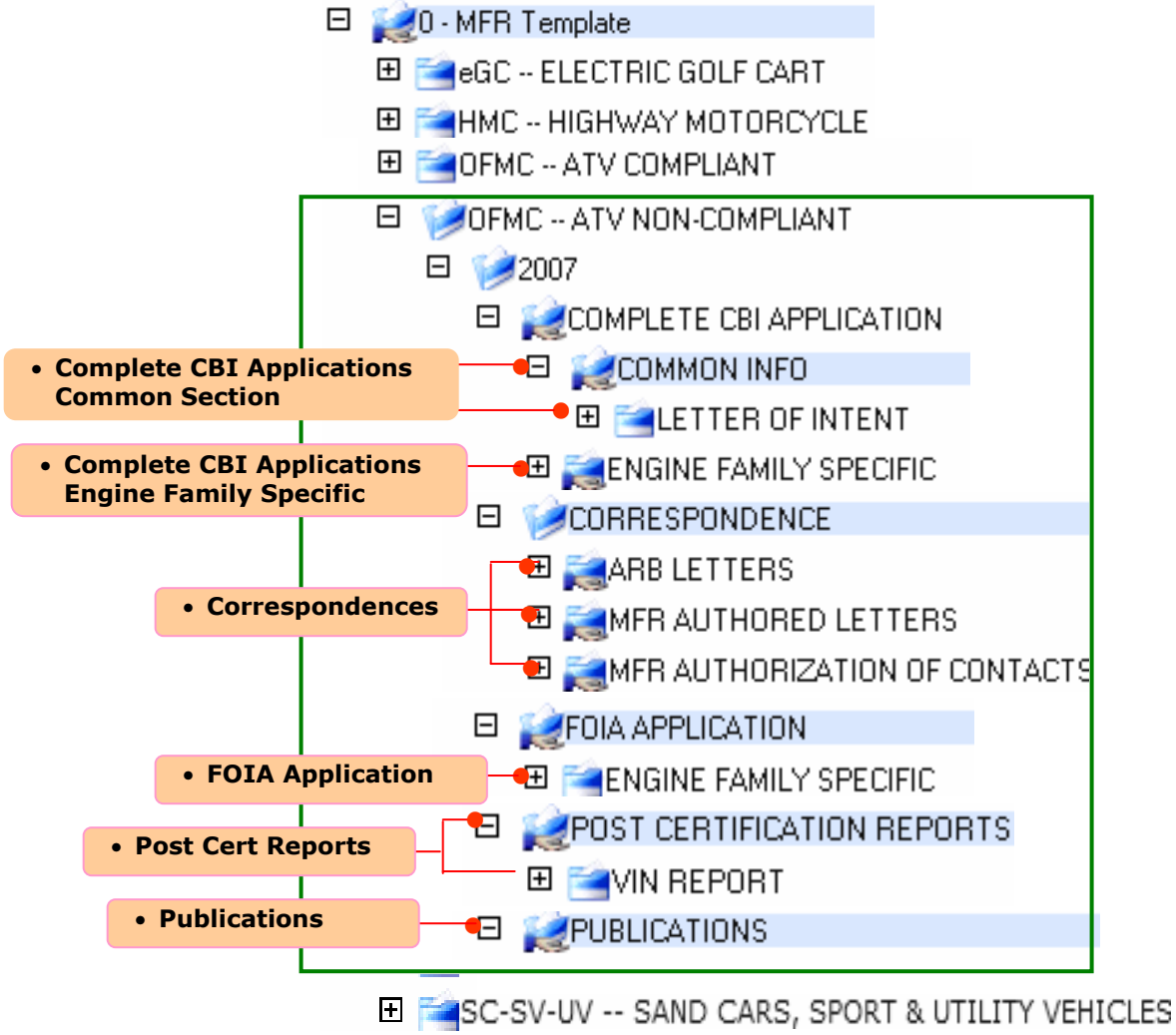
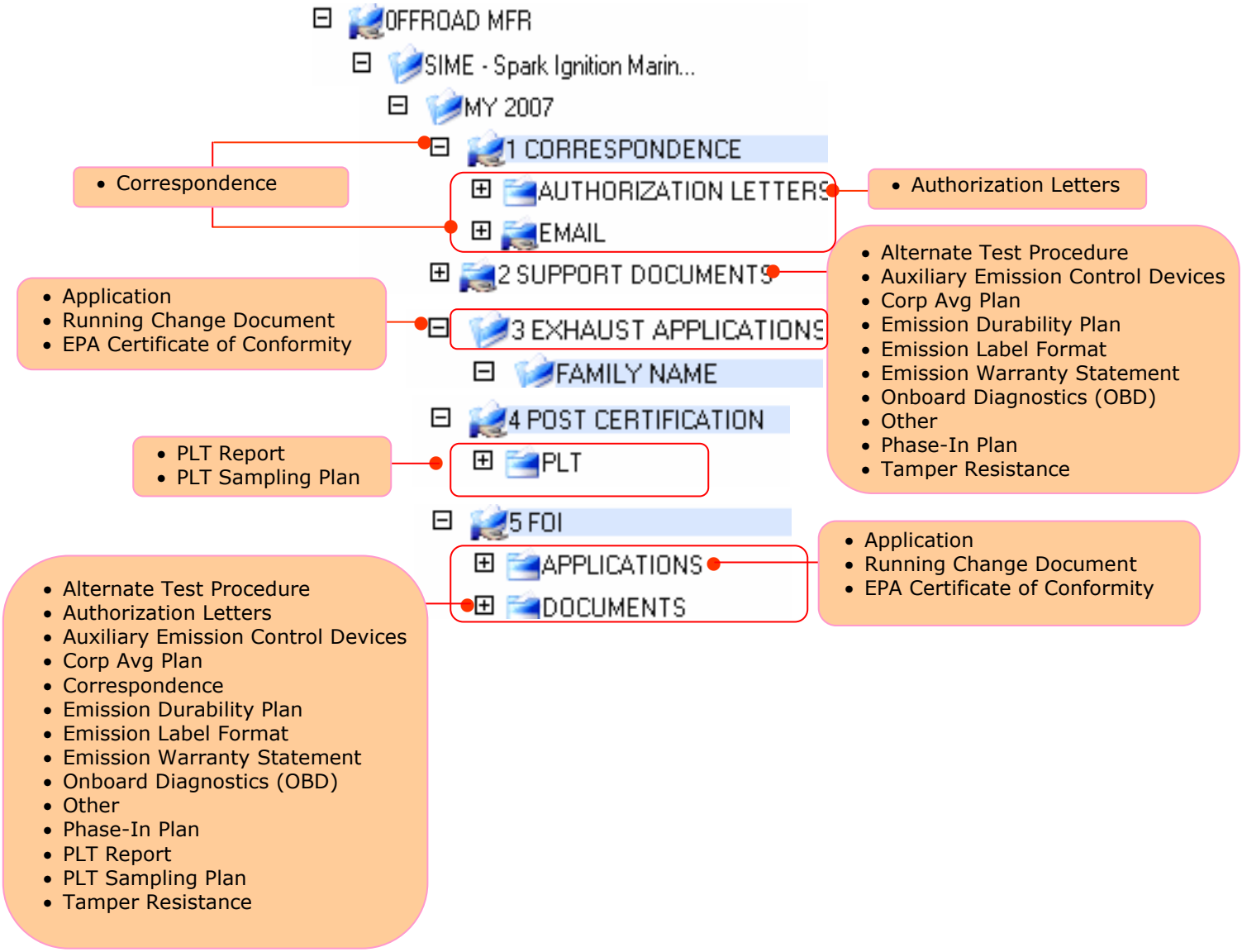


Figure 2-33 On-Road Motorcycle Category— "OFMC ATV NON-COMPLIANT Subdirectory and Assigned Document Types



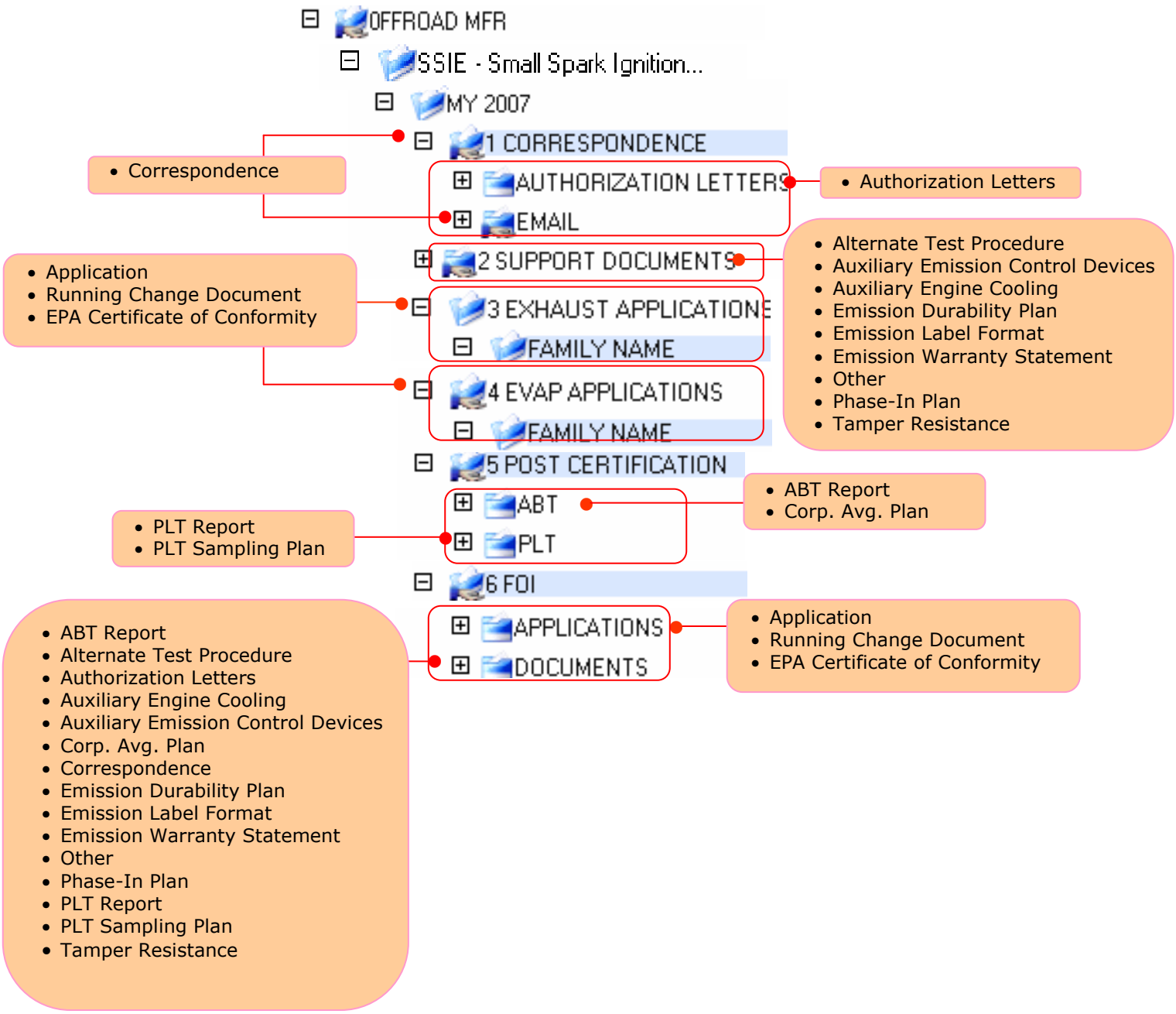
2.3.4 Off-Road SIME Category

Figure 2-34 Assigned Document Types for Off-Road Spark-Ignition Marine Engine (SIME) Category



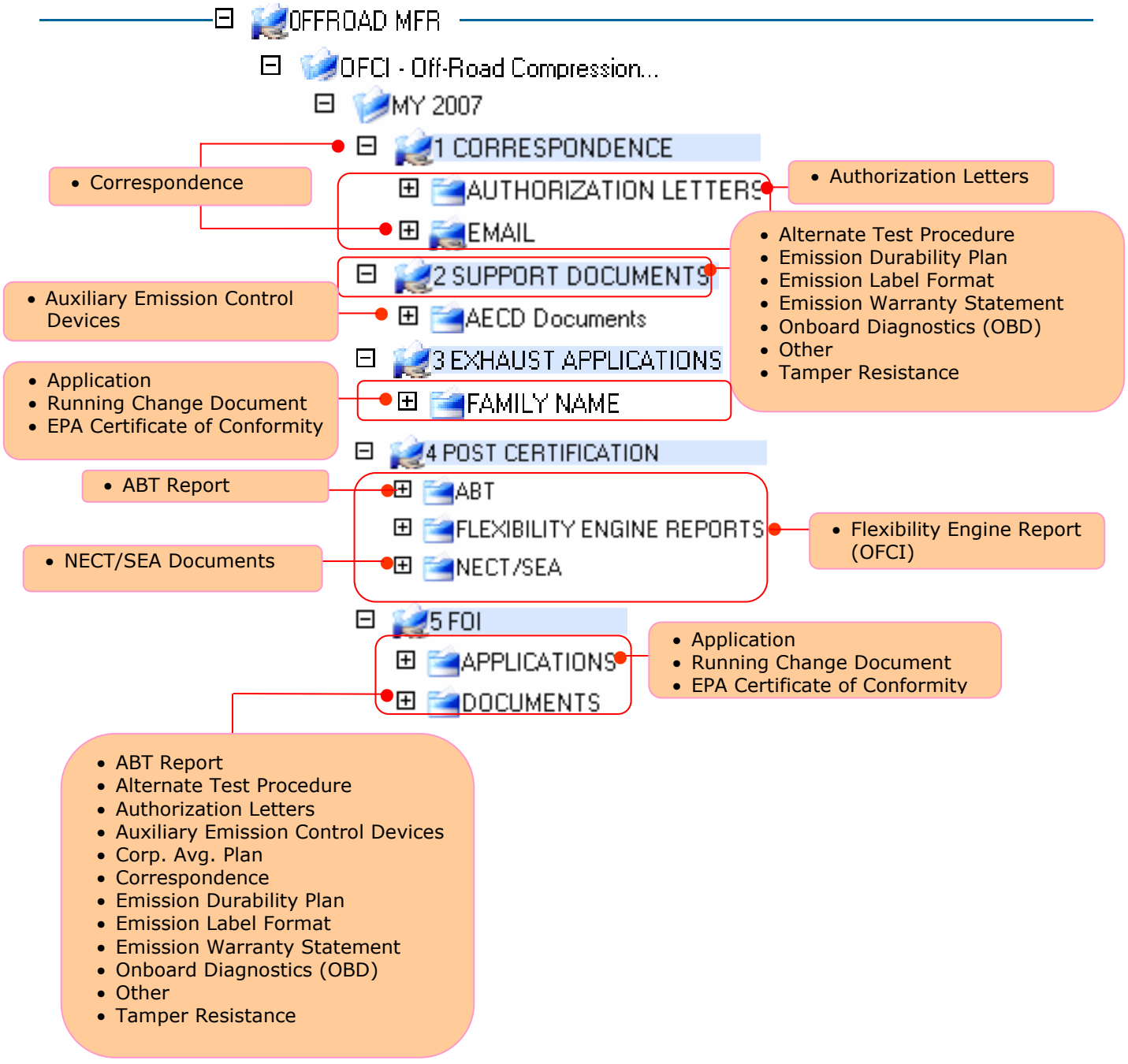
2.3.4 Off-Road SSIE Category

Figure 2-35 Assigned Document Types for Off-Road Small Spark-Ignition Engine (SSIE) Category



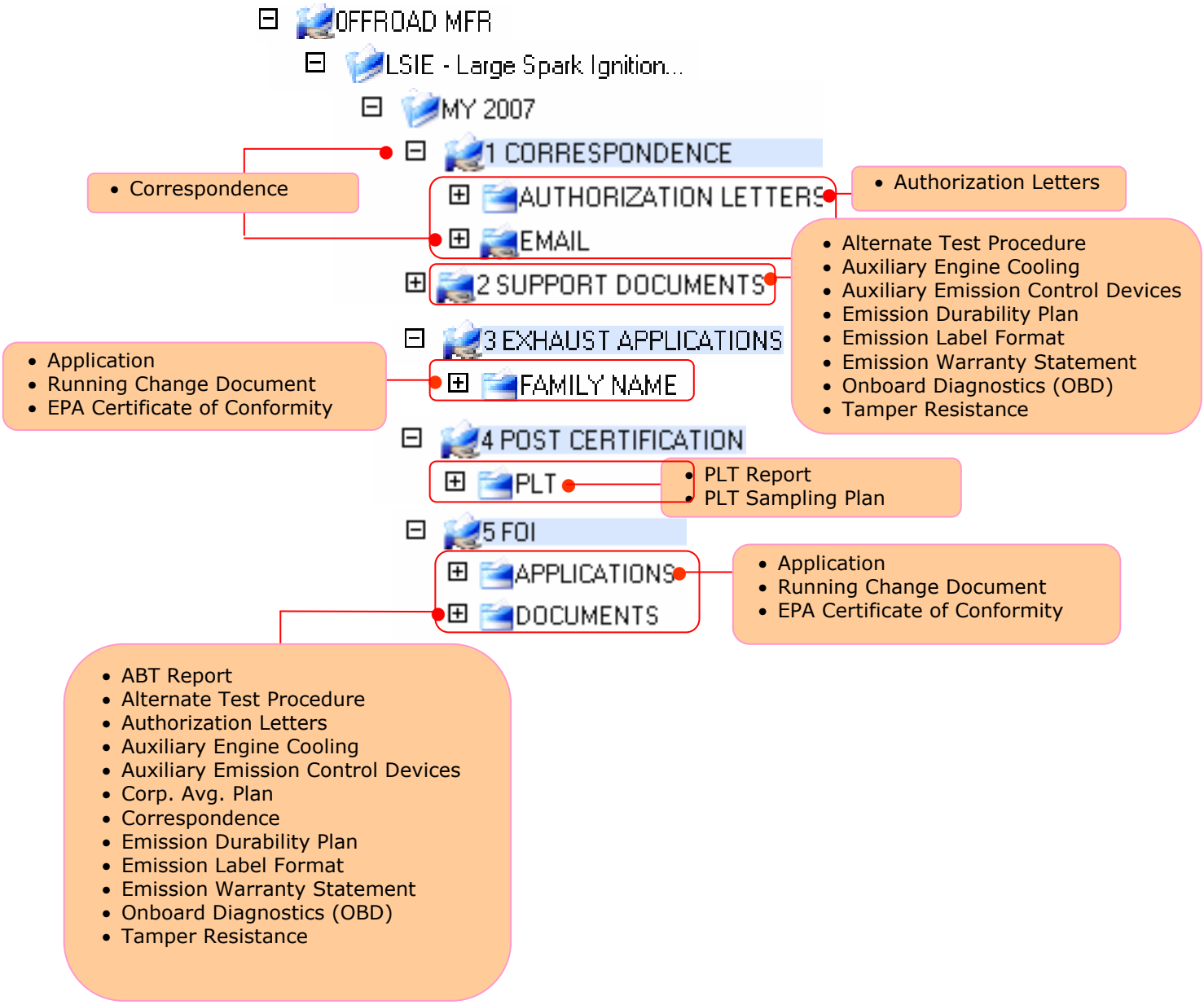
2.3.5 Off-Road OFCI Category

Figure 2-36 Assigned Document Types for the Folders in the Directory Tree — Off-Road Compression Ignition Engine (OFCI) Category



2.3.6 Off-Road LSIE Category

Figure 2-37 Assigned Document Types for the Folders in the Directory Tree —Off-Road Large Spark-Ignition Engine (LSIE) Category



3. GETTING STARTED

3. GETTING STARTED

In this section, manufacturers will learn how to get started with the ARB DMS, including:

- Connecting to ARB DMS
- Changing User Password

3.1 CONNECTING TO ARB DMS

Prior to accessing the **ARB DMS**, manufacturers and authorized users are required to obtain their "**User Name**" and "**Password**" from ARB. Using their assigned user name and secure password, manufacturers can then access the **ARB DMS** over the Internet from anywhere at anytime using the supported web browsers: Microsoft Internet Explorer 6.0+ and Netscape Navigator 7.0+.

The steps used to connect to the ARB DMS are described below and illustrated in **Figure 3-1**.

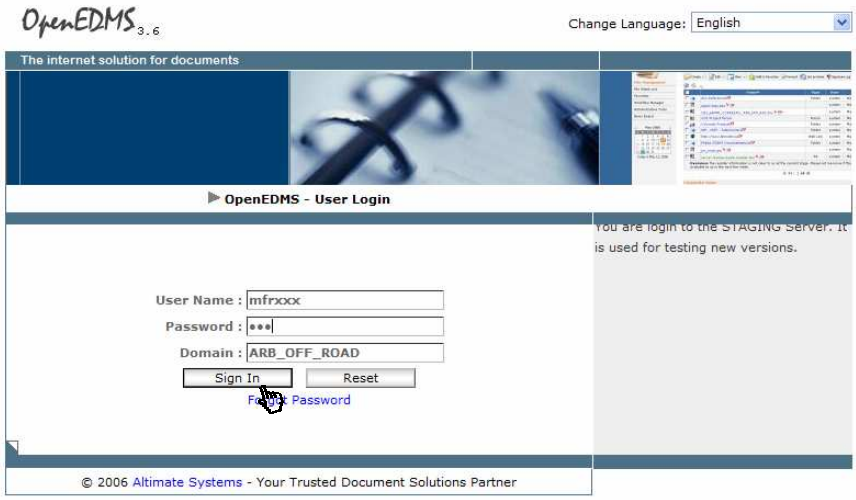
STEP 1— In your web browser, go to the ARB DMS User Login Page at:
https://secure.arb.ca.gov/certdms

STEP 2— Input your assigned "**User Name**" and "**Password**", please note that the password is *case-senstive*.

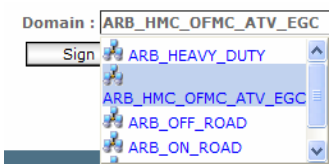
STEP 3 — Select the appropriate domain, "ARB_HEAVY_DUTY", "ARB_HMC_OFMC_ATV_EGC", "ARB_ON_ROAD" or "ARB_OFF_ROAD".

STEP 4 — Next, click on the "**Sign In**" button to login to the ARB DMS.

Figure 3-1 The ARB DMS's User Login Screen



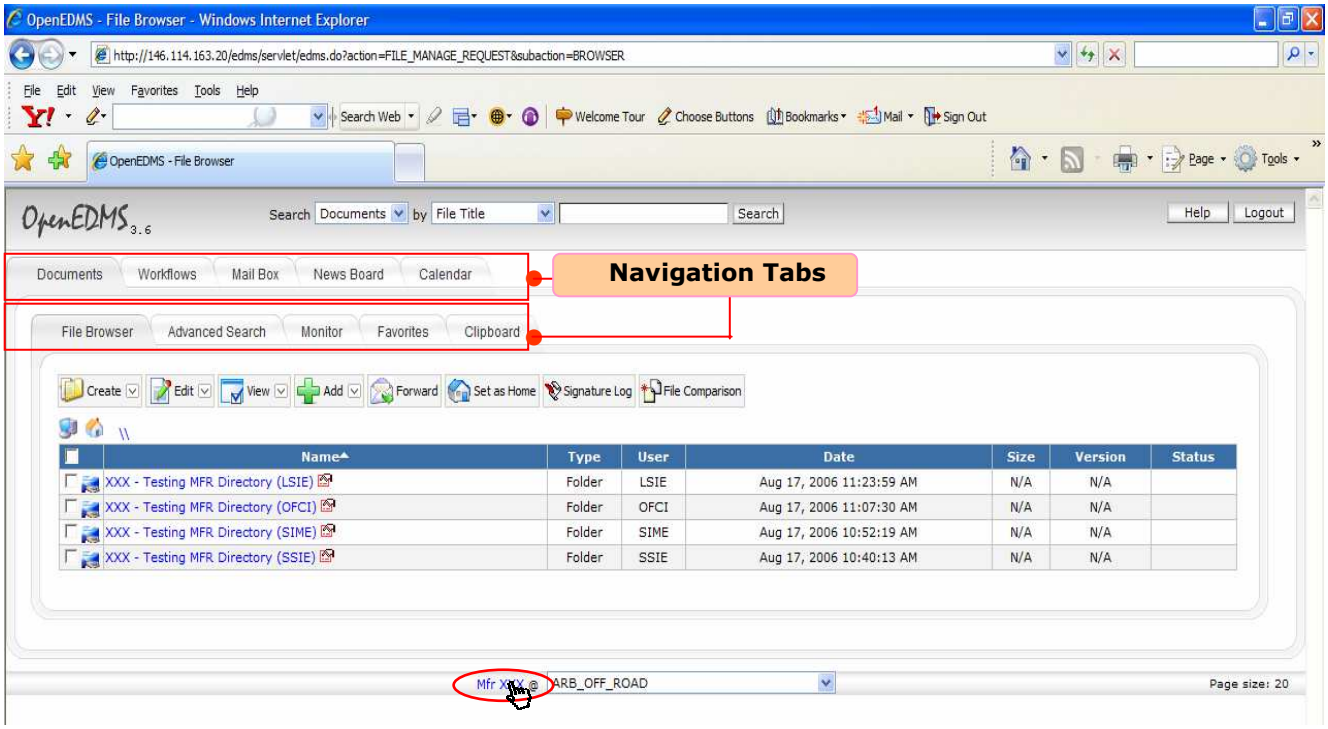
Note: *To choose different domains, your first need to delete the default domain name(e.g., ARB_OFF_ROAD) in order to see other domain lists.*



3.2 CHANGING USER PASSWORD

Manufacturers must change their assigned password after the first login. To do this, click on the user ID displayed at the bottom of the active window (e.g. Mfr XXX next to domain ARB_OFF_ROAD as shown in **Figure 3-2**) to open the **User Profile** screen in **Figure 3-3.**

Figure 3-2 How to Change the User Password — *the File Browser Screen*



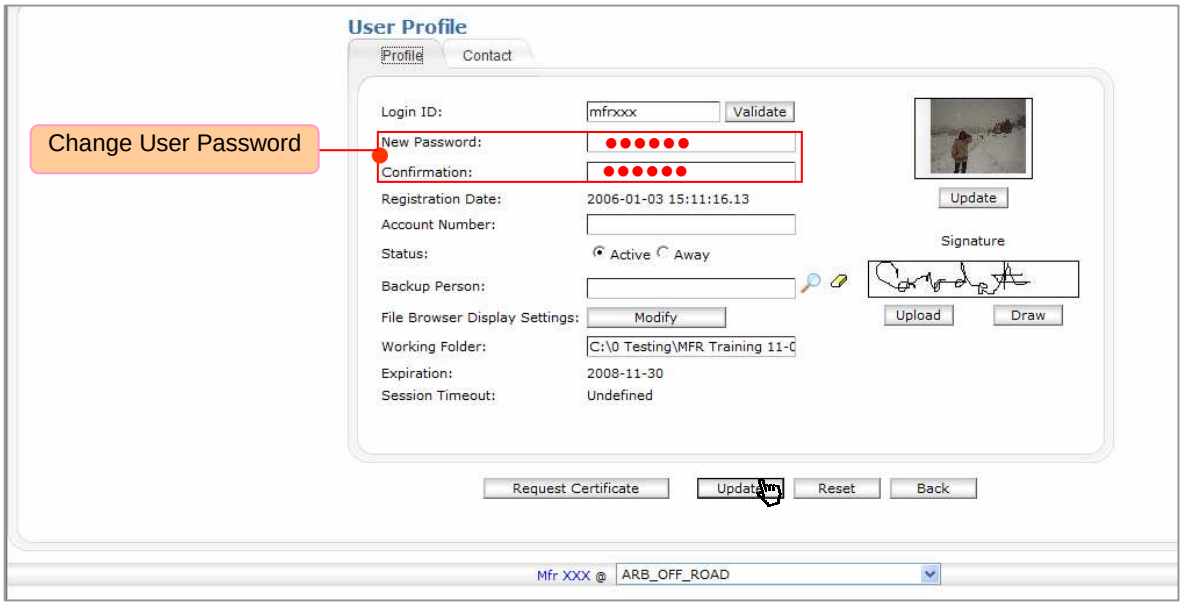
STEP 1 — Under the **Profile** tab, type your new password in both input boxes: "**New Password**" and "**Confirmation**."

STEP 2 — Next, click on the "**Update**" button to complete your password change.

STEP 3 — Exit the **User Profile** screen by clicking on the "**Back"** button

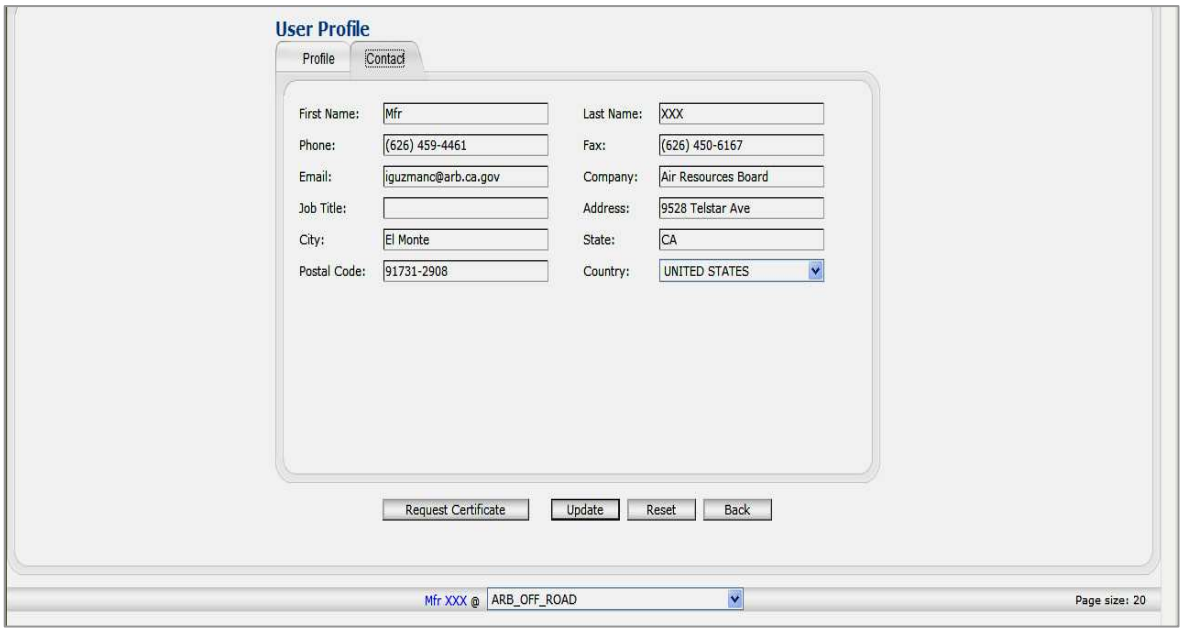
Figure 3-3 How to Change User Password — *the User Profile Screen*

(a) "Profile" Sub-tab



On the "**Contact**" Tab, you can update your personal information when necessary. After you finish your modifications click on the "**Update**" button to save your changes**.**

(a) "Contact" Sub-tab



4. FILE MANAGEMENT

4. FILE MANAGEMENT

In this section, manufacturers will learn the following basic features in the ARB DMS **File Browser** screen:

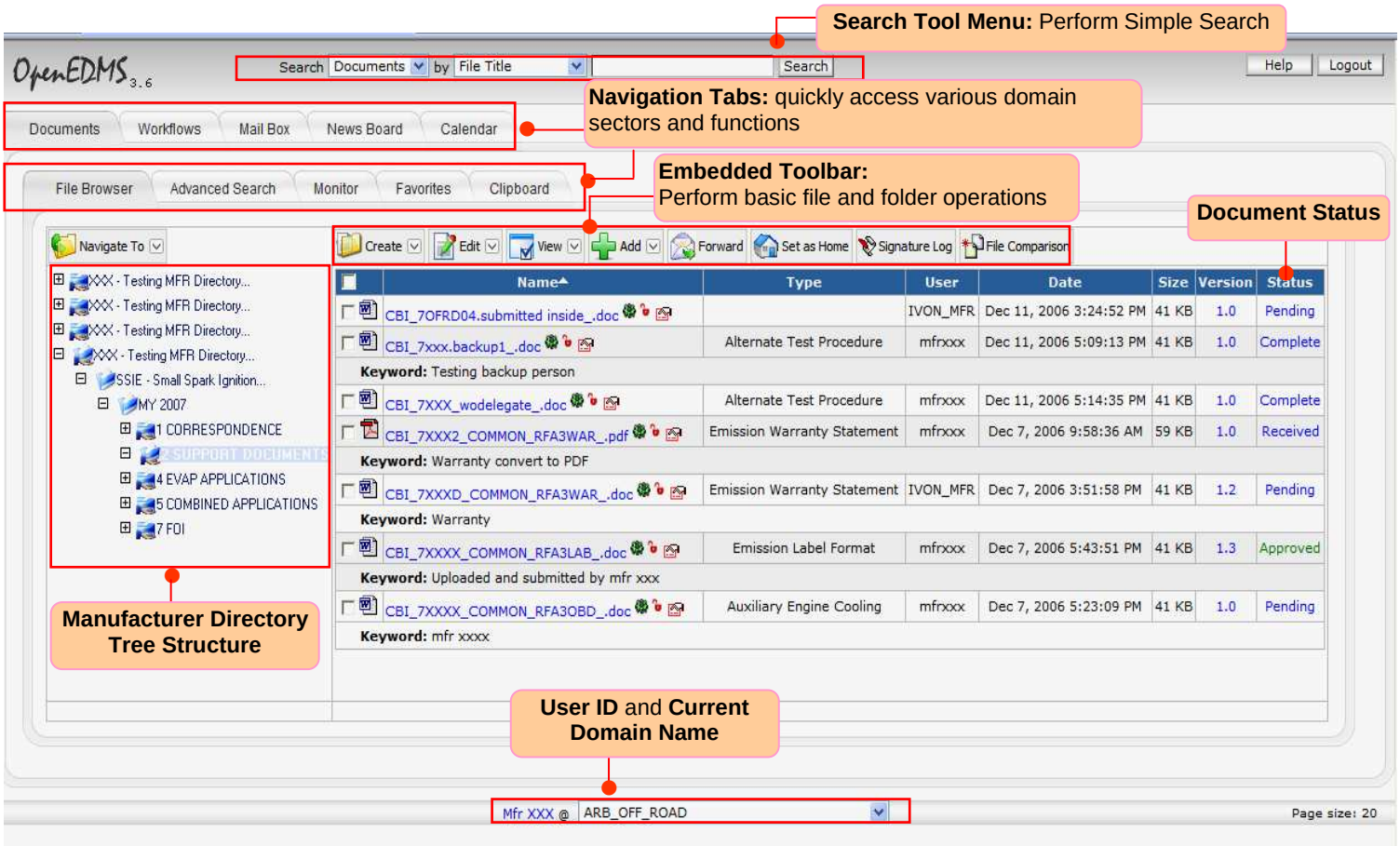
- The **File Browser** Screen Layout
- Directory Navigation
- Uploading Documents to ARB DMS

Additional features included in the **File Browser** screen will be covered in **Section 6**.

4.1 THE FILE BROWSER SCREEN LAYOUT

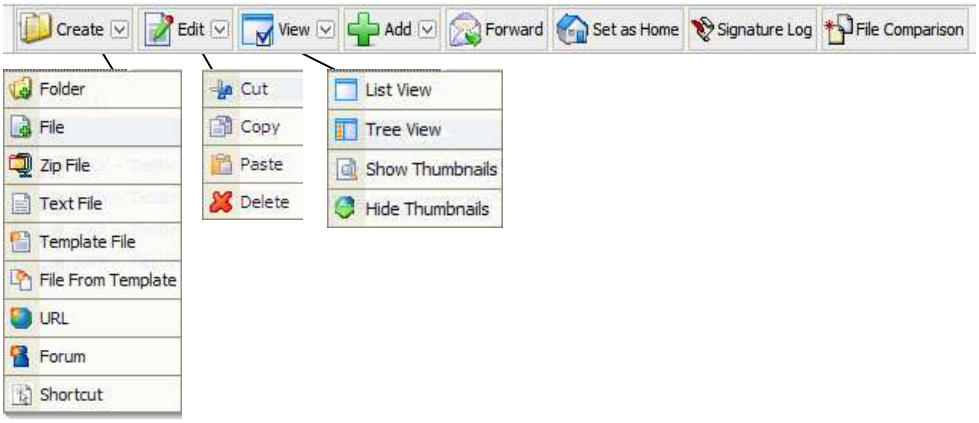
Once logged in, you will only see your own manufacturer root directory in the DMS **File Browser** screen based on your assigned DMS "**Access-control**" permission. You can navigate your directory tree from the **Documents** Tab **> File Browser** sub tab**.** The **File Browser** provides a repository view of all available content stored in the active domain. **Figure 4-1** provides an example of the **File Browser** sub-tab layout for the off-road SSIE category.

Figure 4-1 File Browser Screen Layout for Off-Road SIME Category



In the **File Browser**, the **Embedded Toolbar** (see **Figure 4-2**) provides a simple set of functions readily accessible. Depending on the assigned access permissions, you may perform only part of the following actions from the toolbar:

Figure 4-2 File Browser> Embedded Toolbar



Create:

The **Create** function in the toolbar is used to *upload* new files to the DMS and to create new folders, text files, template files, files from template, URLs, forums, and shortcuts.

Edit:

This **Edit** function allows **authorized users** to **cut, copy, paste, and delete** selected files or folders under the target directory in which they have assigned permission for file or folder modification or deletion. In the ARB DMS, manufacturers are not allowed to delete the files after they are uploaded to the DMS. If a manufacturer needs to delete an uploaded file, the manufacturer needs to contact its designated certification staff to do so.

View:

By using the **View** function, manufacturers can change the display setting by switching between two view options: ***List View*** and ***Tree View***. The default view of DMS is "***List View***." To change the default view, click "**View**" in the tool bar to switch the view setting to "***Tree View***." Screen snap shots of both "***List View***" and "***Tree View***" are provided in **Figures 4-3** and **4-4**, respectively.

Figure 4-3 File Browser — *List View*

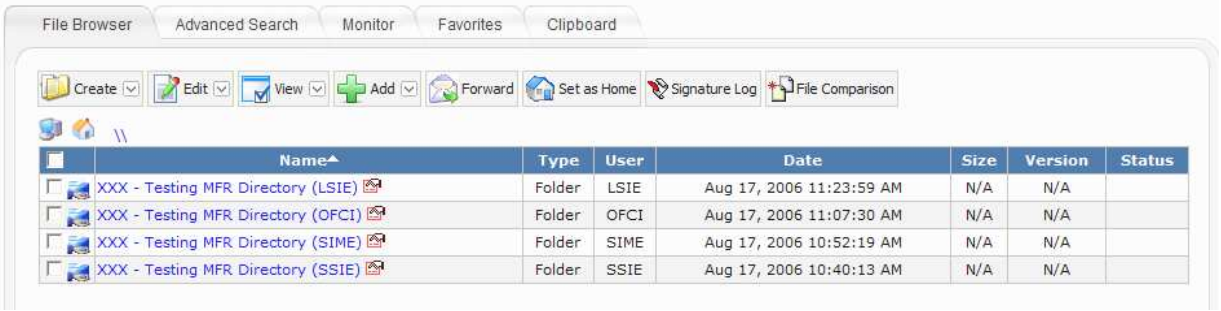
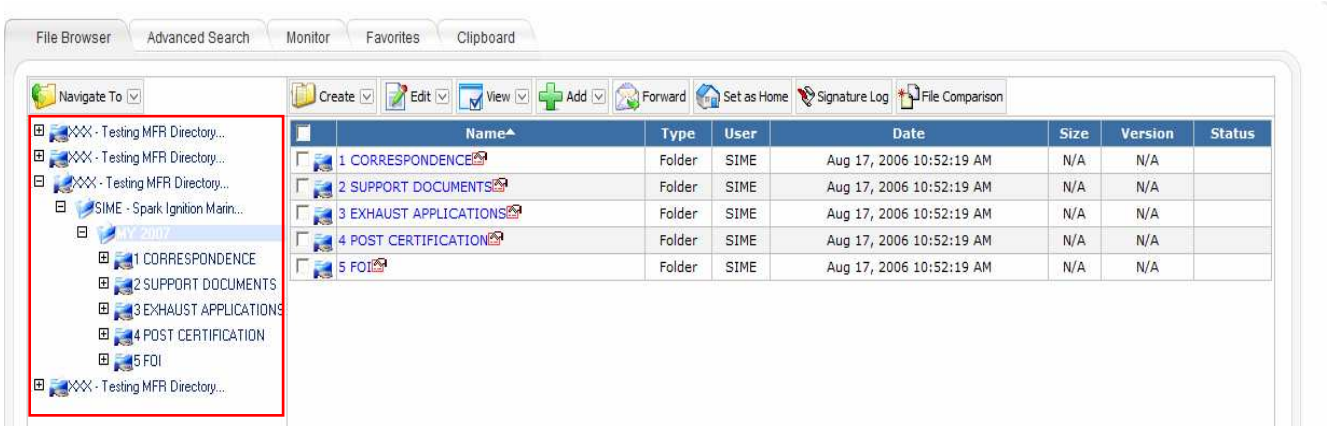


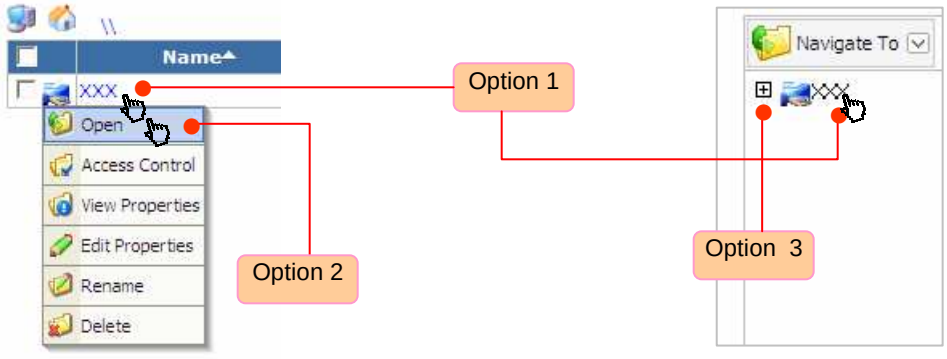
Figure 4-4 File Browser Screen — *Tree View*



4.2 DIRECTORY NAVIGATION

Depending on the view setting, "***List View***" or "***Tree View,***" the manufacturer can expand the root directory to open its subdirectories or subfolders by using one of the following options:

- **Option 1**— In either "***List View***" or "***Tree View,***" directly click on the name of the directory or folder to open it.
- **Option 2**— In "***List View,***" left click the directory or folder icon to open the drop-down file operational menu and select "***Open***."
- **Option 3**— In "***Tree View,***" click the ⊞ to expand the directory.

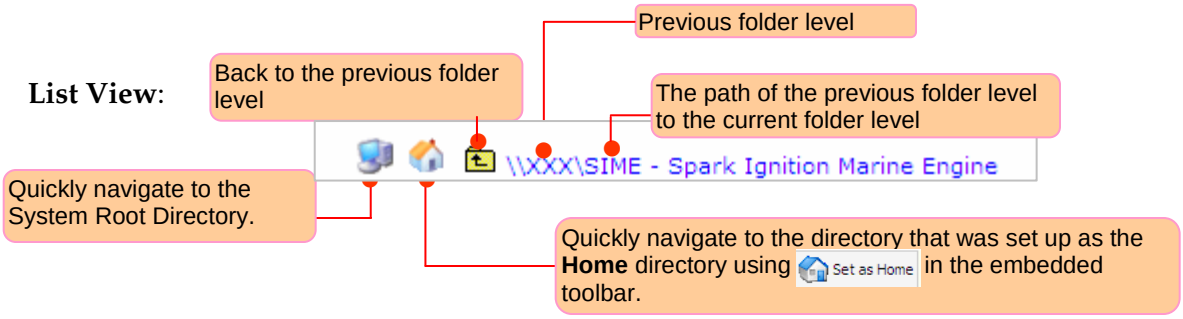


List View *Tree View*

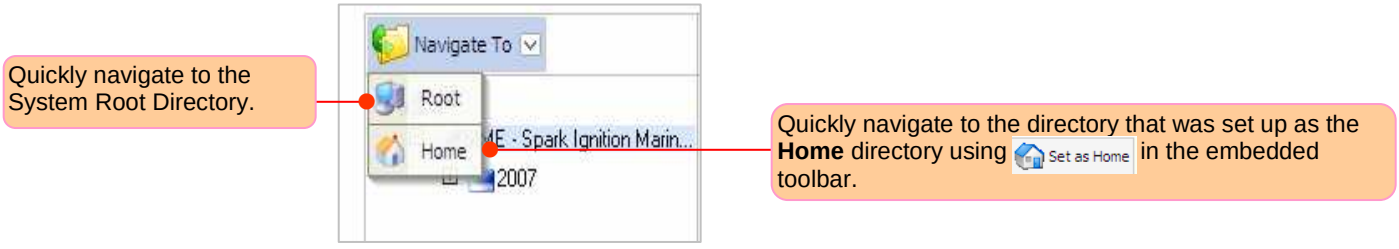
In the **File Browser** screen, manufacturers may find the directory tree structure similar to those commonly seen in the Microsoft Windows Operating System. You can navigate to the desired directory or folder using the above options.

Additionally, you will also find the following icons useful for quick navigation.

List View:



Tree View:



4.3 UPLOADING DOCUMENTS TO ARB DMS

After the documents are appropriately prepared and named, you are now ready to upload the documents to the desired folders in your own manufacturer directory.

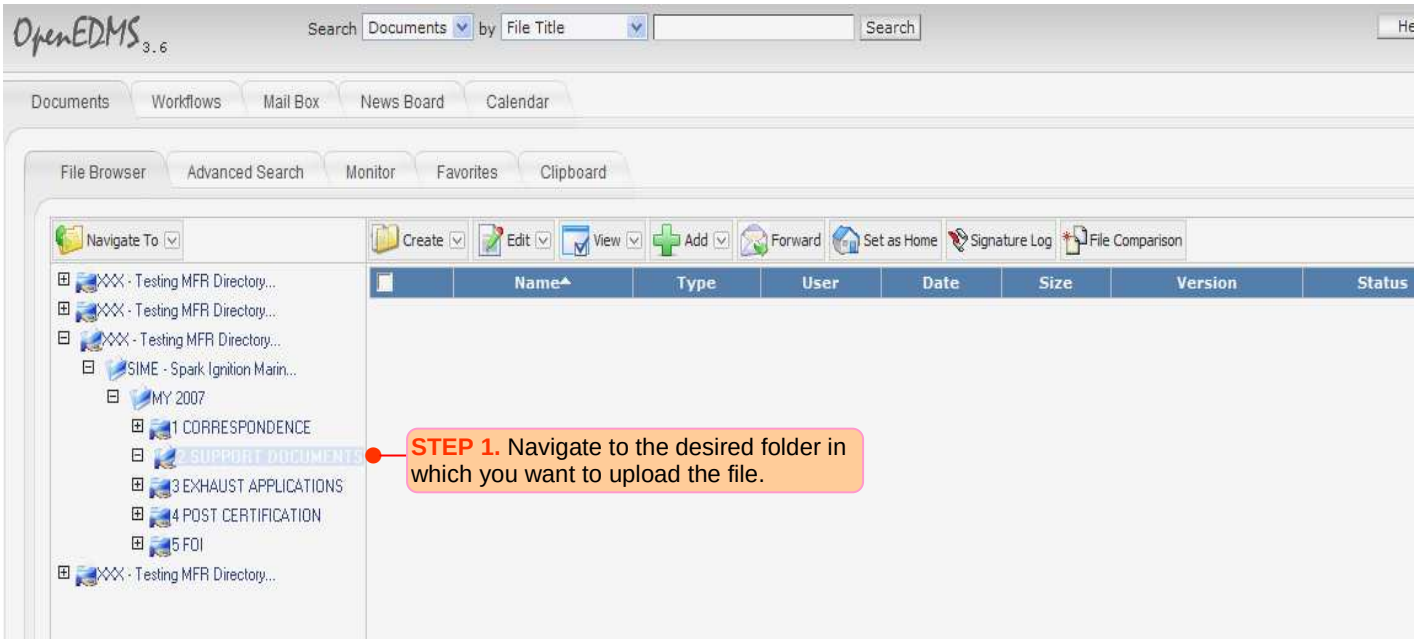
Please note that for **Off-Road Categories**, manufacturers are required to upload the documents with Confidential Business Information (CBI) to their CBI folders for review. Submitting a copy of the same documents without confidential business information or Freedom of Information (FOI) to their corresponding FOI folders is optional. Manufacturers can choose to either upload both CBI and FOI versions to the DMS at the same time or can upload the FOI version to the DMS if and when ARB receives a Public Records Act (PRA) request.

As an example, consider an off-road SIME manufacturer (Mfr XXX) who has prepared a file and named the file as: "CBI_7XXXM.1961WM_RFA1LAB_.pdf." Based on the "ARB's Guidance on Electronic File Naming Convention" described in Section 2.0 and Appendix A, Mfr XXX shall upload the file to the **2 SUPPORT DOCUMENTS** folder under the folder of Model Year 2007.

Please see the following step-by-step example of how to upload this document to the desired folder in the Mfr XXX directory.

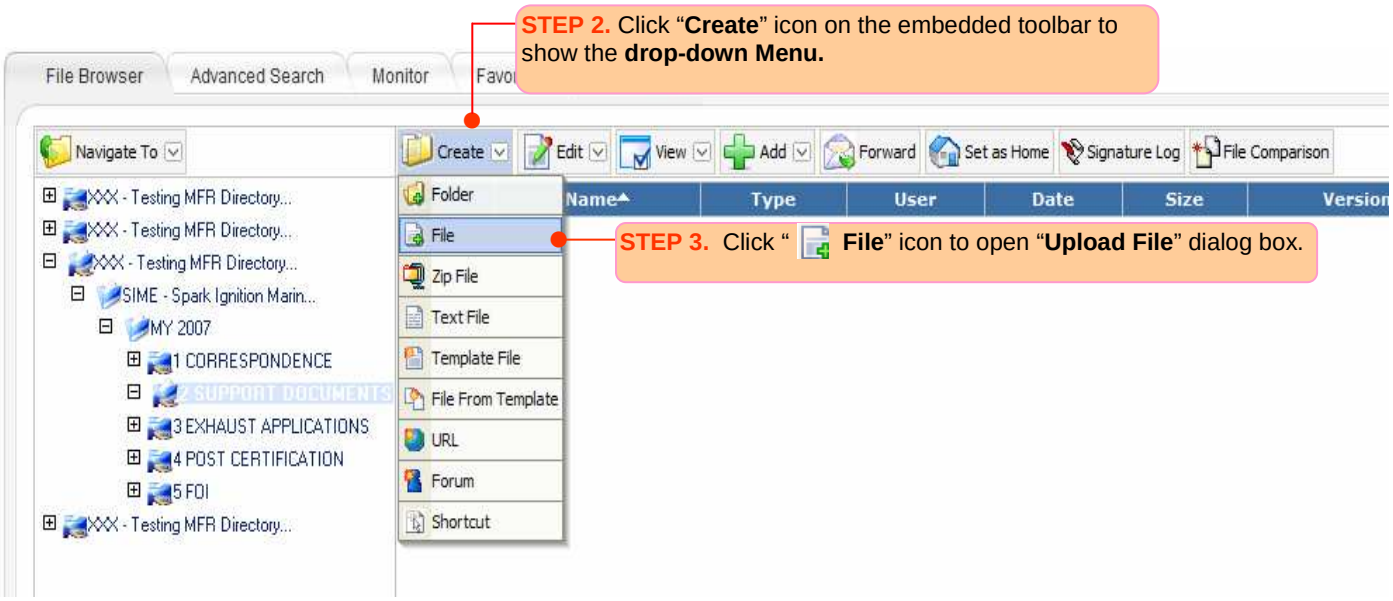
STEP 1 — Navigate to the desired folder (e.g., **2 SUPPORT DOCUMENTS** folder). Please make sure you have navigated to the desired folder since the file will be uploaded to the folder in which the "**Create**" function was executed. See **Figure 4-5**.

Figure 4-5 How to Upload the Documents to the ARB DMS — *Directory Navigation*



STEPS 2 & 3 — Once in the desired folder, click the "**Create"** menu on the embedded toolbar and select the "**File"** function to open the "**Create File"** tab shown in **Figure 4-6**.

Figure 4-6 How to Upload the Documents to the ARB DMS — *Create (Upload) File*



STEP 4 — Under the "**Create File**" tab, click the "**Browse**" button to browse and select the local files to be uploaded to the DMS server. See **Figure 4-7-a**.

STEP 5 — Once the desired local file has been selected, both the **Save As** and the **File Title** fields will automatically assume the source file name (e.g. CBI_7XXXM.1961WM_RFA1LAB_.pdf). An alternate file name can be assigned in the **Save As** input-box. This is the name used to save your document in the repository. We recommend that you do not modify the **File Title**. The system will save the source name in the **File Title** and you can use it to compare the source name (original name) with the target name (name saved as in the repository). The source file name may be modified, but the file extension (in our example, .pdf) must be retained so that the file format is preserved and the document can be open.

STEP 6 (Optional) — Under the "**Create File**" tab, you can also provide any keywords for the selected file. Use it as a tool to communicate something important about the document with your assigned ARB staff representative and/or to easily remember the main content of the document without opening it. If you have more than one version you can also summarize the main differences of each version.

STEP 7 (Optional) — You also have the option to convert the selected file to PDF format or keep the original document as is. You may want to retain the source document in the original format and upload a PDF version. The system provides a PDF converter. To do so, select the check-box "Convert to PDF" and the system will upload a PDF version. If you also select the check box "Keep the original," the system will upload two copies: the original format and a PDF format document. To upload the original format only, you do not need to select any of these two check boxes.

STEP 8 — Click the "Metadata"sub-tab. As shown in Figure 4-7-b, select a corresponding document type from the "**Document Class(es)**" list box and click "" to add this specific document type to "**Selected Document Class(es)**" box. In this example, we selected the "**Emission Label Format**" document type.

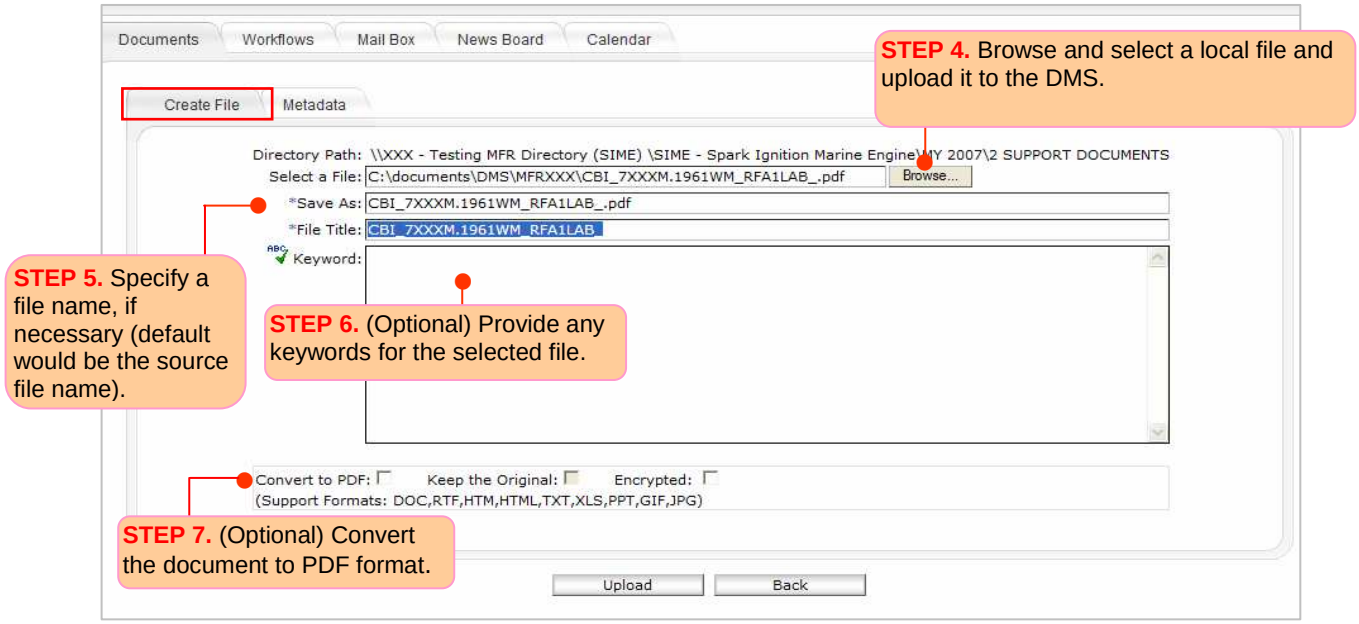
STEP 9 — Double click on the highlighted document type (e.g., Emission Label Format) to open the **File Metadata fields.** Fill in the required metadata attributes as indicated with "*." Optional metadata attributes shall also be provided to facilitate identification and classification as well as enhance file searches.

STEP 10 — Once the metadata attributes are completed, click on the "**OK**" button to close the metadata dialog box.

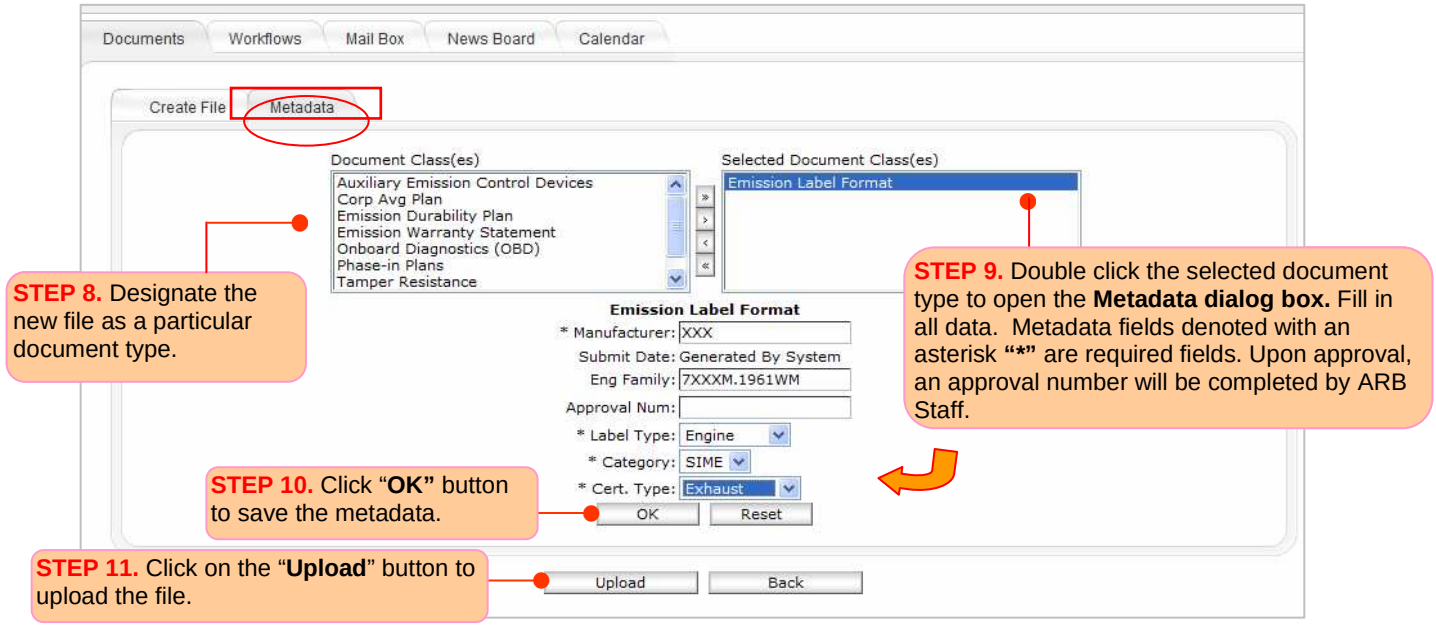
STEP 11 — To complete the process, click on the "**Upload**" button to upload the file to the folder where you executed the **Create** function.

Figure 4-7 How to Upload the Documents to the ARB DMS — *Create File and Metadata Sub-tabs*

(a) "Create File" Sub-tab

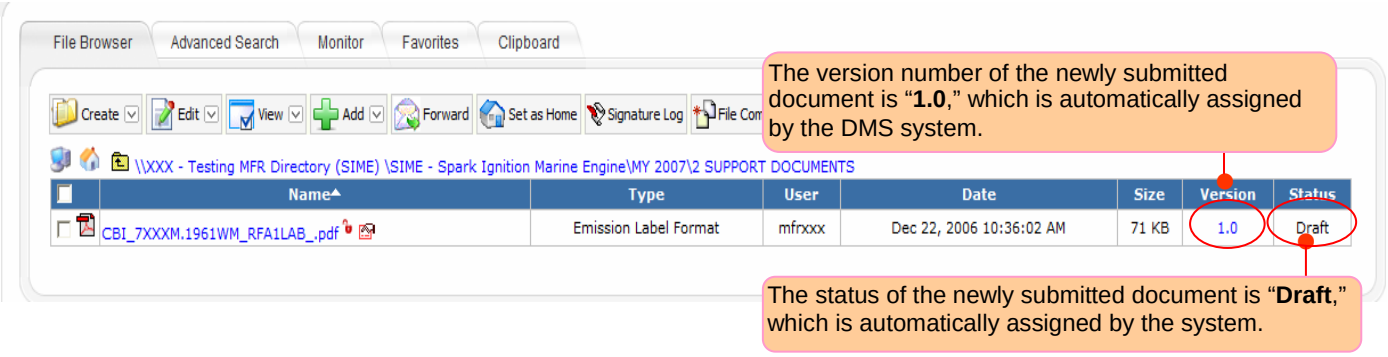


(b) "Metadata" Sub-tab



A base version number (e.g., 1.0 by default) will be assigned automatically to the new document once it is uploaded into the desired folder. All newly uploaded files are immediately searchable for rapid retrieval and convenient ease of access. The status of the newly submitted document is assigned as "**Draft**" by default. See **Figure 4-8**.

Figure 4-8 How to Upload the Documents to the ARB DMS —*Version Number and Document Status*



The uploaded file is now ready to be submitted into the ARB DMS Workflow Processes. Please note that if the file has been named incorrectly, ARB staff will ask you to *rename* the file with the proper file naming convention. Additionally, the file must be submitted to the Workflow in order for documents to be reviewed by ARB staff. If it is not submitted to the workflow, staff will not receive notification that a new document has been submitted for review.

5. WORKFLOW PROCESSES

5. WORKFLOW PROCESSES

In this section, manufacturers will learn how to submit uploaded documents to **Workflow Processes** in the ARB DMS. *Only documents submitted to Workflow Processes will be reviewed by ARB staff.*

- Introduction to Workflow Processes
- List of Workflow Templates for On-Road and Off-Road Manufacturers
- Submitting Documents to Workflow Processes
- Checking the Status of Documents Submitted to the Workflow Processes
- Submitting Additional Documents to the Workflow Process

5.1 INTRODUCTION TO WORKFLOW PROCESSES

The **ARB DMS Workflow System** is designed to facilitate and streamline document review, processing, and approval. All electronic documents submitted to the workflow for processing are automatically routed to the workflow participants for review. With automatic task routing, the designated workflow participants (e.g., ARB certification staff) are notified when new submissions are made by manufacturers. It is important that manufacturers submit their files to the workflow or ARB staff will not receive notification of the documents submitted and the documents will not be reviewed. **Figure 5-1** shows a flow chart of the ARB DMS Workflow Process and **Figure 5-2** provides a screen layout of the **Process Manager** under the **Workflow Manager** section.

Figure 5-1 Flow Chart of the DMS Workflow Process

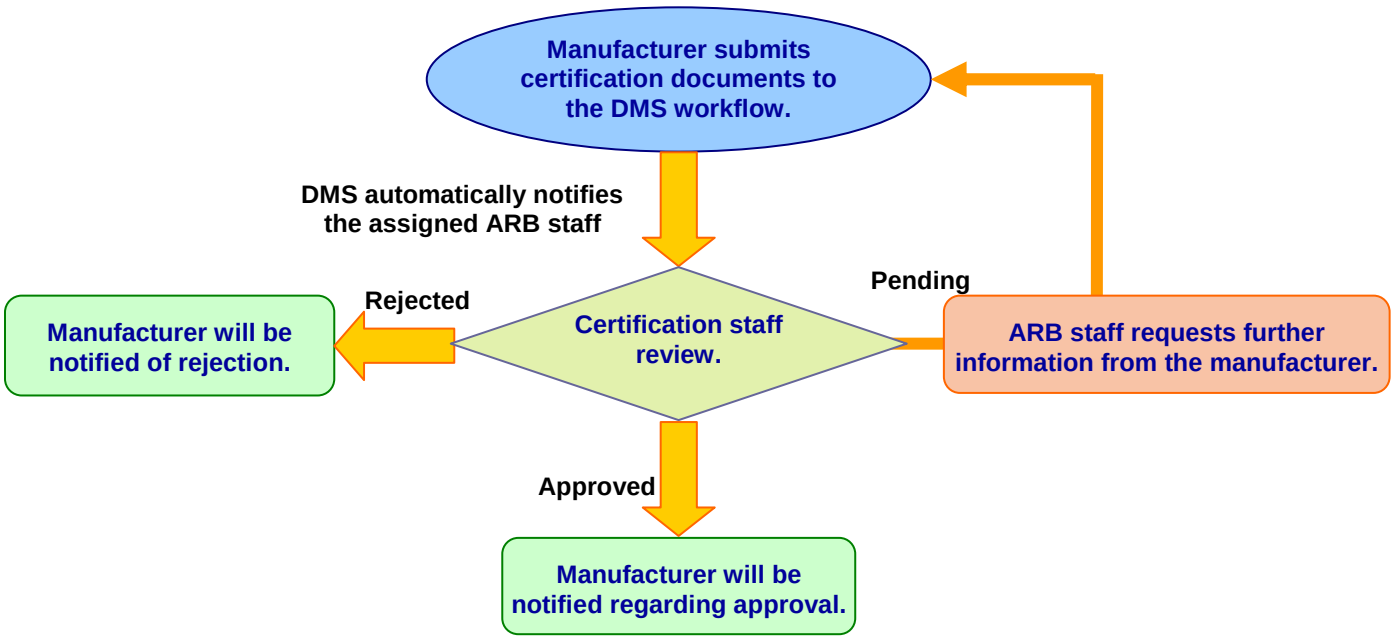
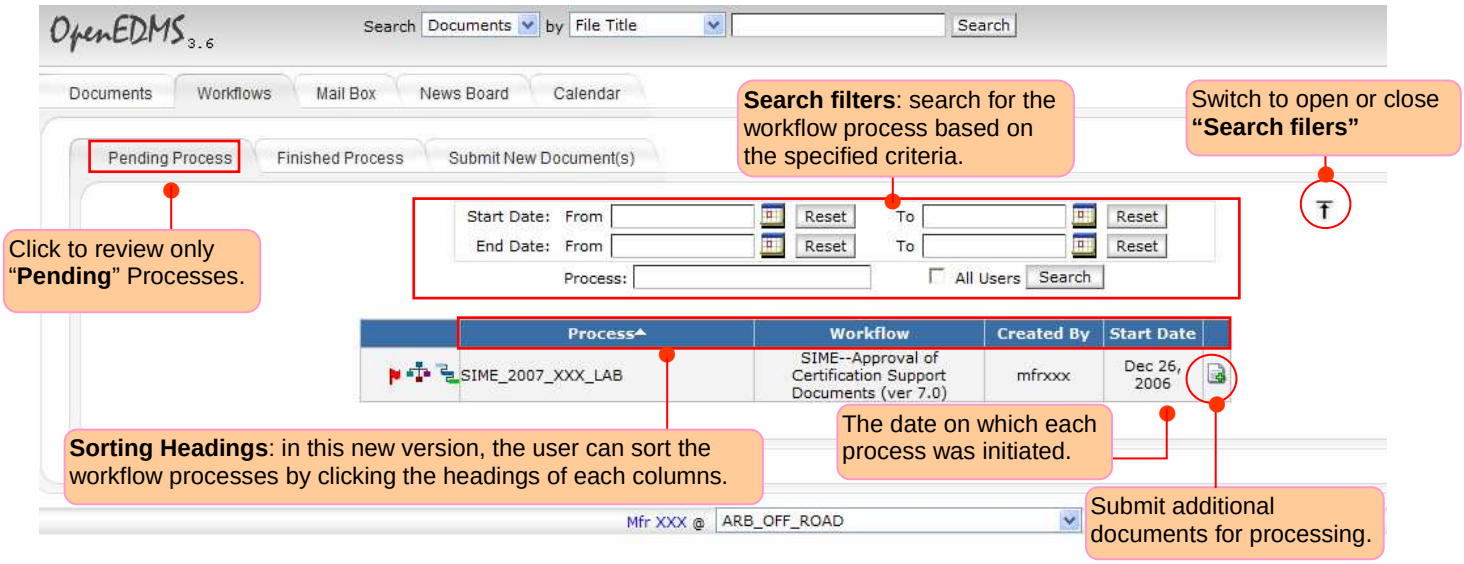
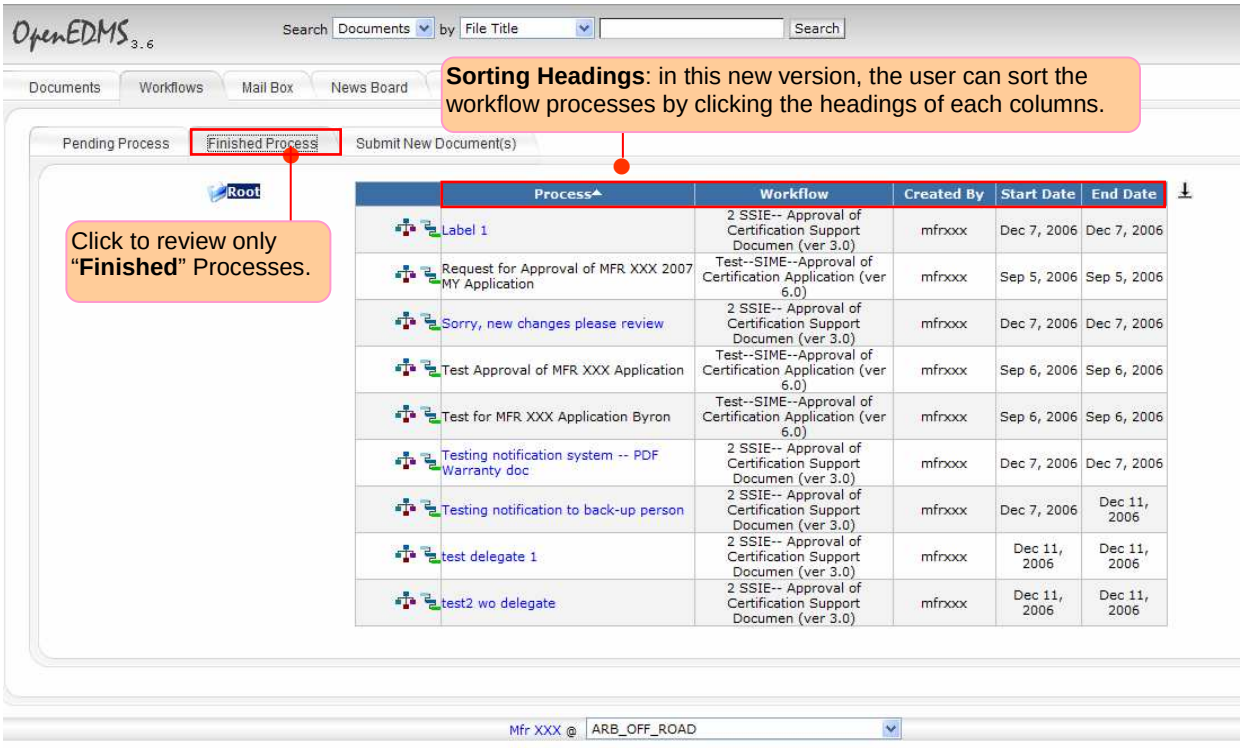


Figure 5-2 Workflow Tab — *"Pending Process" and "Finished Process" Sub-tabs*

(a) "Pending Process" Sub-tab



(b) "Finished Process" Sub-tab



5.2 LIST OF WORKFLOW TEMPLATES FOR ON-ROAD AND OFF-ROAD CATEGORIES

In the ARB DMS, the workflow templates are defined based on specified document types and their review and approval processes. **Tables 5-1** and **5-3** list available workflow templates for the on-road Light Duty (LD), Motorcycle, and Heavy Duty (HD) categories, respectively. **Tables 5-4** and **5-7** list available workflow templates for the off-road SIME, SSIE, LSIE, and OFCI categories, respectively.

Table 5-1 Workflow Templates for On-Road LD Category

No.	Workflow Template Name	Document Types
1	LD FOIA Application Submission	• LD FOIA TG Certification Application - TG Specific
2	LD FOIA Certification Application – Common Section	• LD FOIA Certification Application –Common Section
3	LD CBI Application Submission	• LD CBI Certification Application - TG Specific
4	LD CBI Certification Application – Common Section	• LD CBI Certification Application –Common Section
5	LD CBI Running Change Requiring New EO	• LD CBI Running Change Requiring New EO
6	LD CBI Running Change with no new EO Required	• LD CBI Running Change with no new EO Required
7	LD Correspondence Submission	• LD Correspondence
8	LD Post Certification Submission	• Reports
9	LD Publication Submission	• Publications
10	LD CBI Update/Final Application	• LD CBI Upate/Final Certification Application – TG Specific

Table 5-2 Workflow Templates for On-Road Motorcycle Category

No.	Workflow Template Name	Document Types
1	CBI Applications Common Section	• Complete CBI Applications Common Section
2	CBI Applications Engine Family	• Complete CBI Applications Engine Familiy Specific
3	Correspondence	• Correspondence
4	FOIA Applications	• FOIA Application
5	FOIA Applications Common Section	• FOIA Applications Common Section
6	Post Certification	• Post Cert Reports
7	Publications	• Publications

Table 5-3 Workflow Templates for On-Road HD Category

No.	Workflow Template Name	Document Types
1	CBI-Certification Application	• CBI-Application for certification -HD engine family specific
2	Reports	• Periodic reports submitted by manufacturers
3	Certification Preview Plan (CPP)	• Certification Preview Plan (CPP) Material
4	Common Material	• Application common information l
5	Correspondence	• Manufacturer general Correspondence
6	FOIA Certification Application	• FOIA Application for certification – (public accessible/non-confidential information)
7	Publications	• Publications (i.e. service manuals, owners manuals, etc.)

Table 5-4 Workflow Templates for Off-Road SIME Category

No.	Workflow Template Name	Document Types
1	SIME--Approval of Certification Applications	• Application • EPA Certificate of Conformity • Running Change Document
2	SIME--Approval of Certification Support Documents	• Emission Durability Plan • Alternate Test Procedure • Emission Label Format • Emission Warranty Statement • Corp Avg Plan • PLT Sampling Plan • Tamper Resistance • Onboard Diagnostics (OBD) • Auxiliarly Emission Control Devices; Phase-in Plans • Authorization Letters • Correspondence
3	SIME--Approval of Mfr ABT or PLT Report	• ABT Report • PLT Report

Table 5-5 Workflow Templates for Off-Road SSIE Category

No.	Workflow Template Name	Document Types
1	SSIE--Approval of Certification Applications	• Application • EPA Certificate of Conformity • Running Change Document
2	SSIE--Approval of Certification Support Documents	• Emission Durability Plan • Alternate Test Procedure • Emission Label Format • Emission Warranty Statement • Corp Avg Plan • PLT Sampling Plan • Tamper Resistance • Auxiliary Engine Cooling • Auxiliarly Emission Control Devices • Phase-in Plans
3	SSIE--Approval of Mfr ABT Report	• ABT Report
4	SSIE--Approval of Mfr ABT or PLT Report	• PLT Report

Table 5-6 Workflow Templates for Off-Road LSIE Category

No.	Workflow Template Name	Document Types
1	LSIE--Approval of Certification Applications	• Running Change Document • Application • EPA Certificate of Conformity
2	LSIE--Approval of Certification Support Documents	• Emission Durability Plan • Alternate Test Procedure • Emission Label Format • Emission Warranty Statement • Corp Avg Plan • PLT Sampling Plan • Tamper Resistance • Onboard Diagnostics (OBD) • Auxiliary Emission Control Devices • Phase-in Plans • Authorization Letters • Correspondence
3	LSIE--Approval of Mfr ABT or PLT Report	• PLT Report • ABT Report

Table 5-7 Workflow Templates for Off-Road OFCI Category

No.	Workflow Template Name	Document Types
1	OFCI--Approval of Certification Applications	• Running Change Document • Application • EPA Certificate of Conformity
2	OFCI--Approval of Certification Support Documents	• Emission Durability Plan • Alternate Test Procedure • Emission Label Format • Emission Warranty Statement • PLT Sampling Plan • Tamper Resistance; • Onboard Diagnostics (OBD) • Auxiliary Emission Control Devices • Phase-in Plans • Authorization Letters • Correspondence • NECT/SEA Documents
3	OFCI--Approval of Mfr ABT Report	• ABT Report
4	OFCI--Approval of Flexibility Engine Reports	• Flexibility Engine Reports (OFCI)

5.3 SUBMITTING DOCUMENTS TO THE WORKFLOW PROCESSES

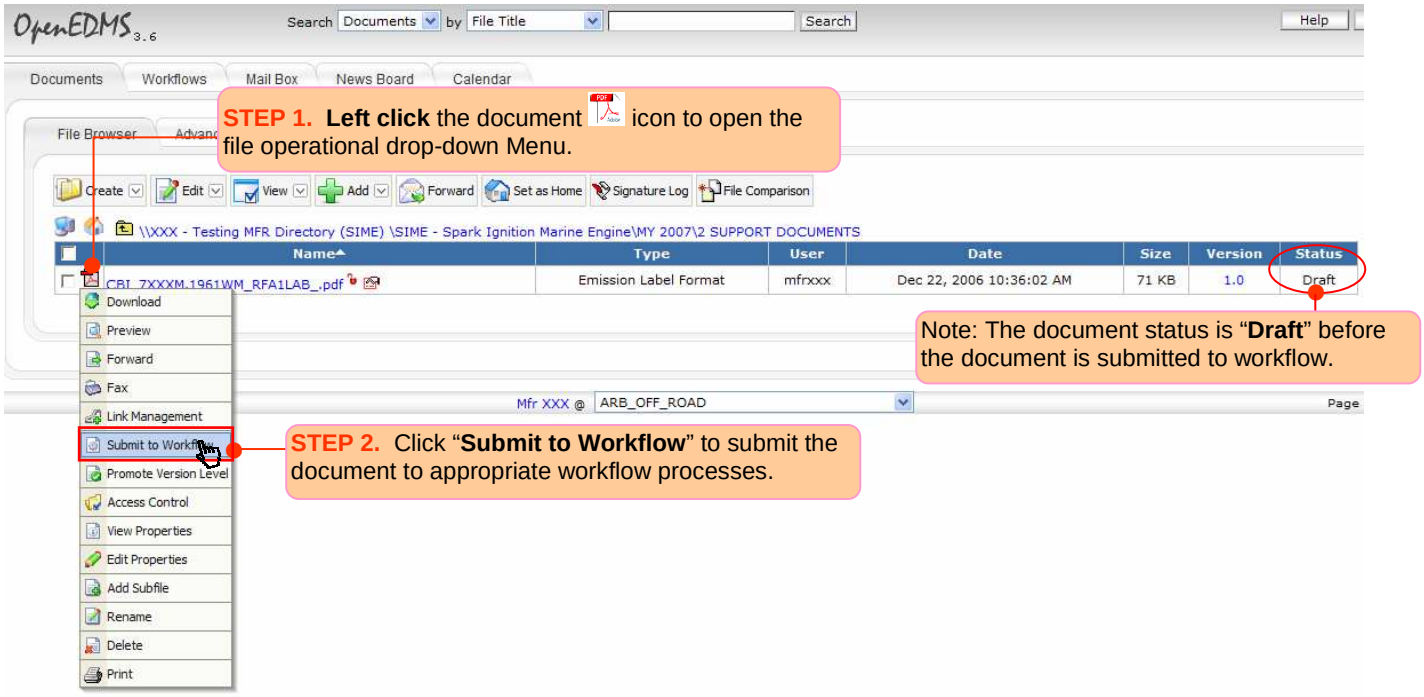
In Section 4, you learned how to upload documents to the desired folders. In this section, you will learn how to submit the uploaded documents to the DMS workflow processes.

Using the same example from Section 4, below is a step-by-step demonstration of how to submit the uploaded documents to the intended workflow processes. **Figures 5-3** and **5-4** illustrate all the steps through screen snap shots.

STEP 1 — Left click on the document icon that you want to submit to the workflow process. This will open a drop-down file operational menu.

STEP 2 — Click on the "**Submit to Workflow**" function and the **Workflow Manager** Screen will appear.

Figure 5-3 How to Submit Documents to the Workflow Processes — *Submit to Workflow*



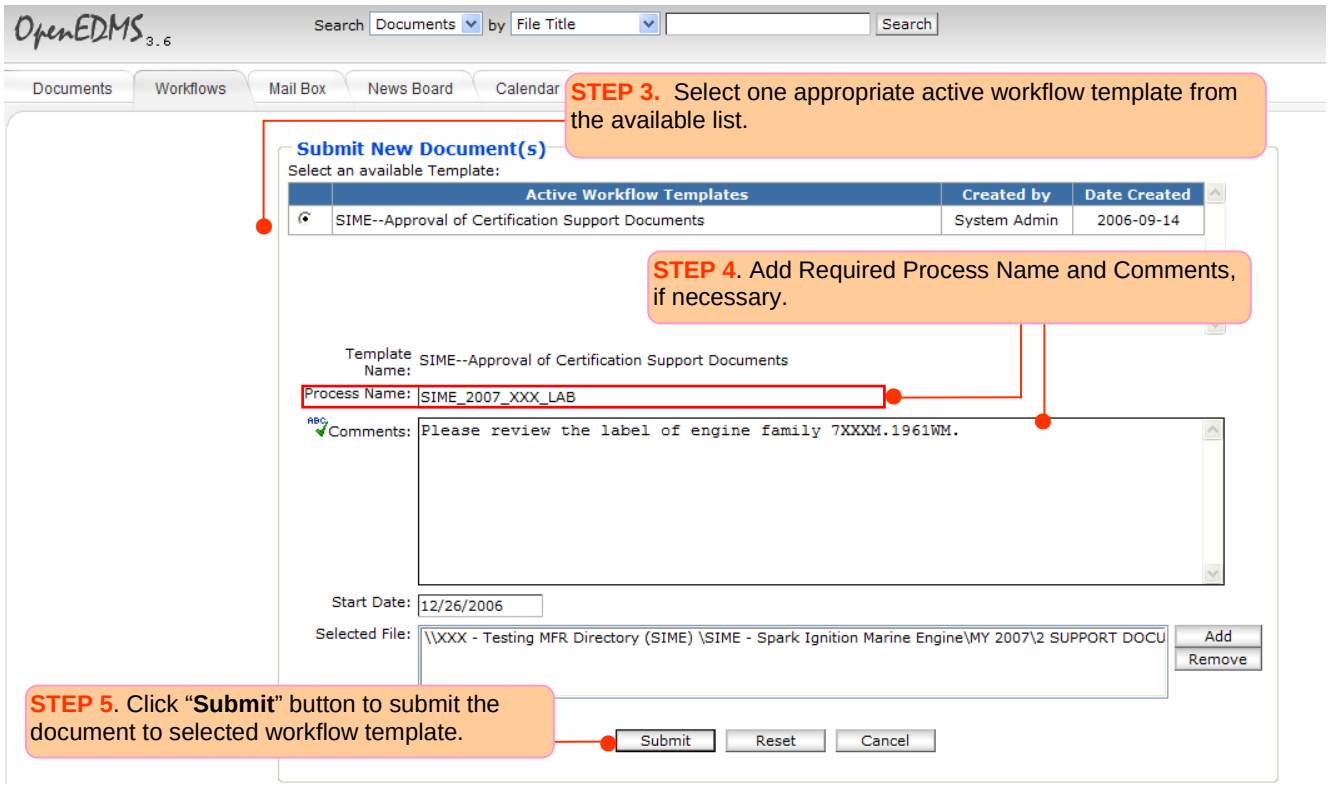
Based on the document type of the file (e.g., ABT report), you will see the available active workflow template(s). The workflow template only accepts documents submitted from the repository if a document type has been previously associated to the workflow. In this example, you will see "Approval of Certification Support Documents" is the only available active workflow template since Mfr XXX is submitting the document with the **Emission Label Format** document type. Please refer to **Tables 5-1** and **5-7** in Section 5.2 to identify the workflow templates available to each document type.

STEP 3 — Select the available active workflow template. Once selected, the name of the template will be immediately shown next to "**Template Name**".

STEP 4 — Name the Process following the appropriate naming convention indicated on Appendix C, which contains a guideline to facilitate naming on-road and off-road processes. A process could have one or more documents related to one application or approval request. Please use a name that represents the main document or purpose. If additional information is needed, you will receive an e-mail notification making reference to the process name that you assigned. Please do not assign the same name to more than one work-flow process otherwise you may have difficulties determining which process to amend.

STEP 5 — Click on the "**Submit**" button. The DMS will then automatically route the document to the selected workflow and add it to the queue of the ARB staff assigned by the workflow template. The assigned certification staff will be automatically notified via e-mail of the new document submission.

Figure 5-4 How to Submit Documents to the Workflow Processes —*Workflow Manager >Submit New Document(s)*



***Note:** Manufacturers will not **automatically** receive a notification after the new document is submitted to the workflow process. At any time, manufacturers can log in to the DMS to check the status of their documents as described in next section.*

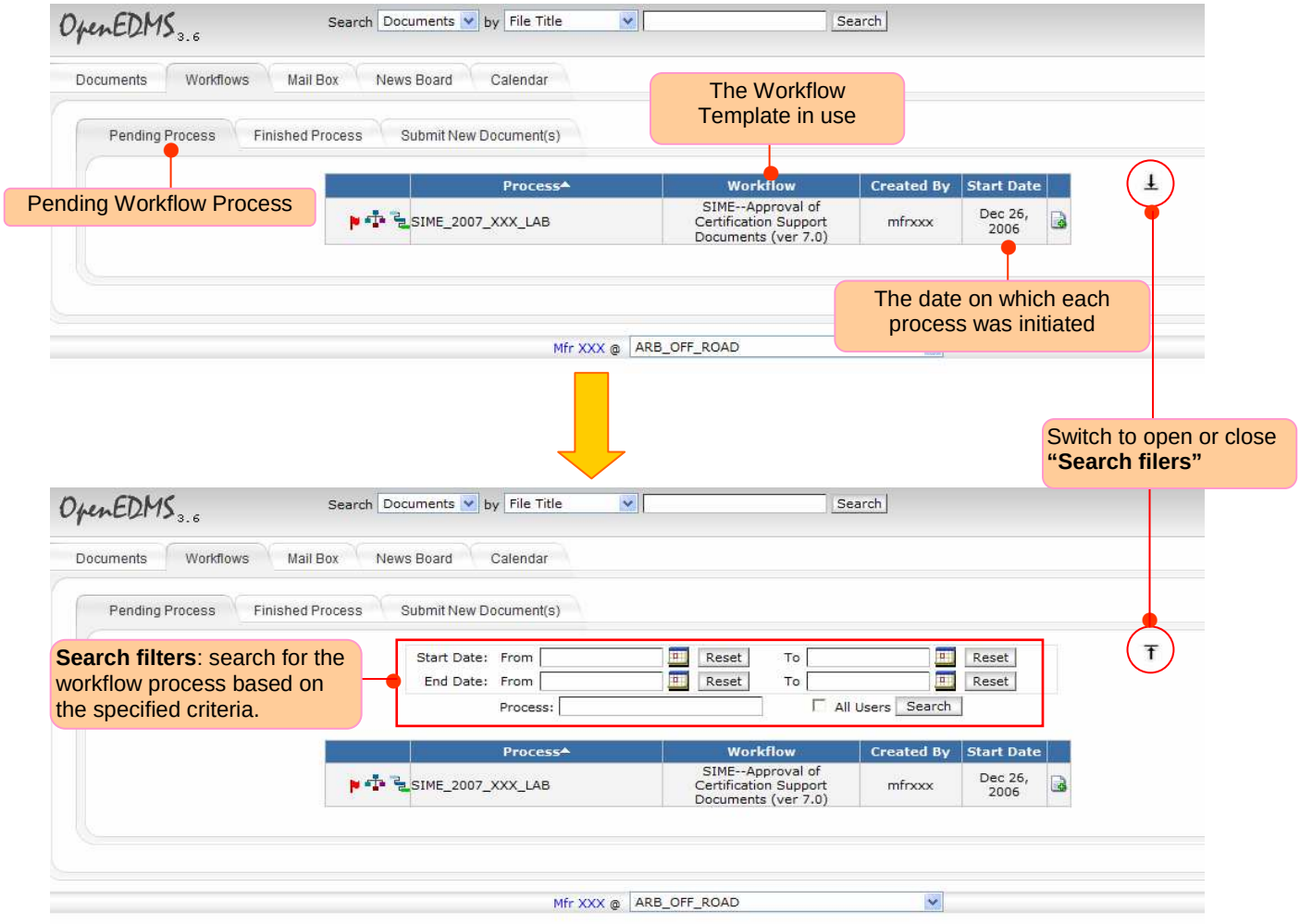
5.4 CHECKING THE STATUS OF DOCUMENTS SUBMITTED TO WORKFLOW PROCESSES

Manufacturers can use the following two methods to check if the documents were submitted to the DMS workflow processes.

(1) From the Documents Tab — *Process Manager Sub-tab*

Once you click the "**Submit**" button as seen in **Figure 5-4**, the **Pending Process sub-tab** under the **Workflows Tab** will appear (see **Figure 5-5**). In this **screen**, you will see a list of your pending processes. Your document was successfully submitted to the workflow process if it is listed on this screen. In **Figure 5-5**, we see that our example of an Emissions Label document has been submitted successfully since the process name called "**SIME_2007_XXX_LAB**" is listed in the pending process.

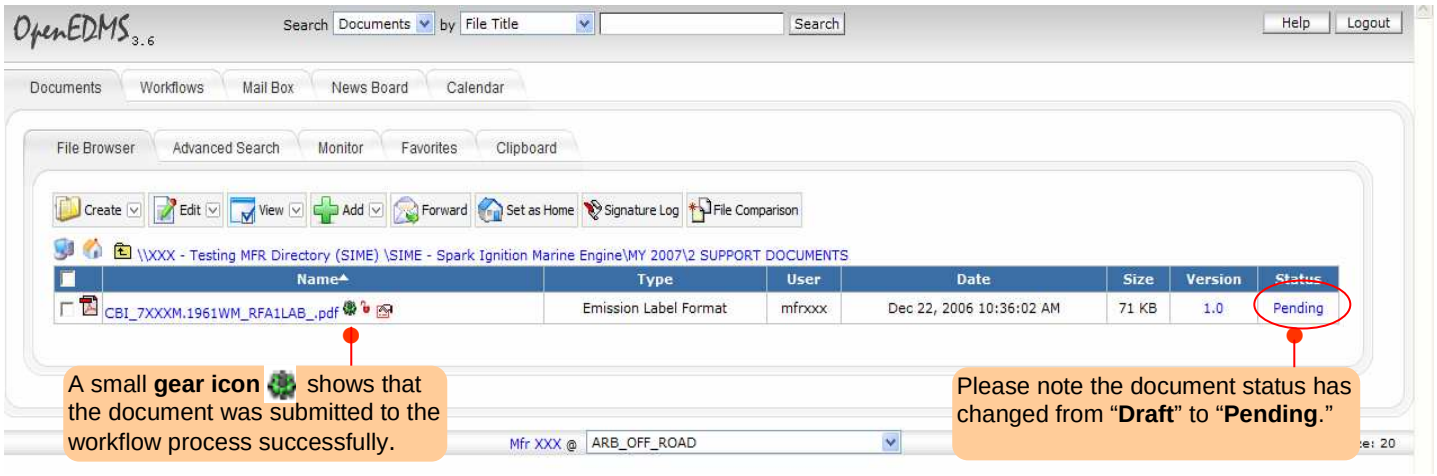
Figure 5-5 Checking the Status of Documents Submitted to the Workflow Process — *Workflows Tab >Pending Process Sub-tab*



(2) From Documents Tab—*File Browser Sub-tab*

Another method to check the status of documents submitted to the workflow is shown in **Figure 5-6**. From the **File Browser sub-tab** under the **Documents Tab**, you notice that the status of this document has changed from "**Draft**" to "**Pending.**" In addition, a small gear icon is also present, indicating that the document has been submitted to the workflow process successfully. As a document progresses through the ARB review process, its status will change accordingly (e.g., received, invalid, approved or rejected, etc). If you hold the mouse pointer on top of the green gear icon, the assigned workflow process name will be displayed.

Figure 5-6 Checking the Status of Documents Submitted to the Workflow Process — *Document Tab>File Browser Sub-tab*



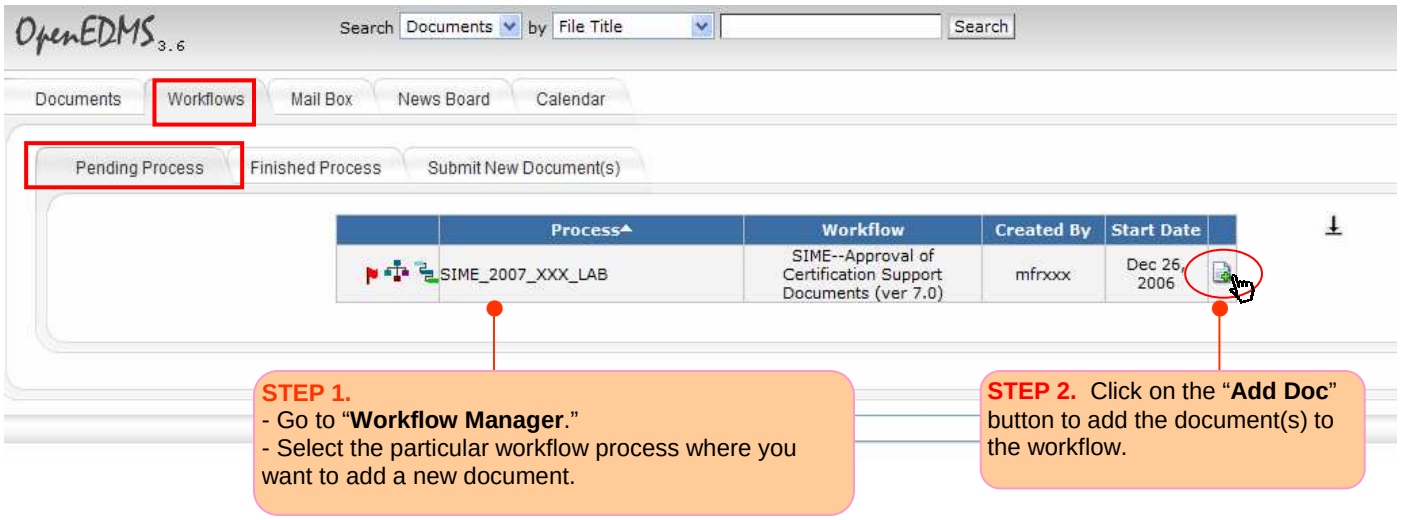
5.5 SUBMITTING ADDITIONAL DOCUMENTS TO THE WORKFLOW PROCESS

Upon reviewing a document, the ARB certification staff may request corrections or need additional information. Below please see a step-by-step example of how additional documents can be submitted to an existing workflow process. These steps are also illustrated in **Figures 5-7** through **5-9**.

STEP 1 — Click on the "**Workflow** " Tab, then click on the "**Pending Processes**" Sub-Tab . Select the particular workflow process where you would like to submit additional documents.

STEP 2 — Click on the "**Add Doc**" button to add the document(s) to the workflow.

Figure 5-7 How to Submit Additional Documents to an Existing Workflow Process — *Workflow Tab>Pending Process Sub-tab*



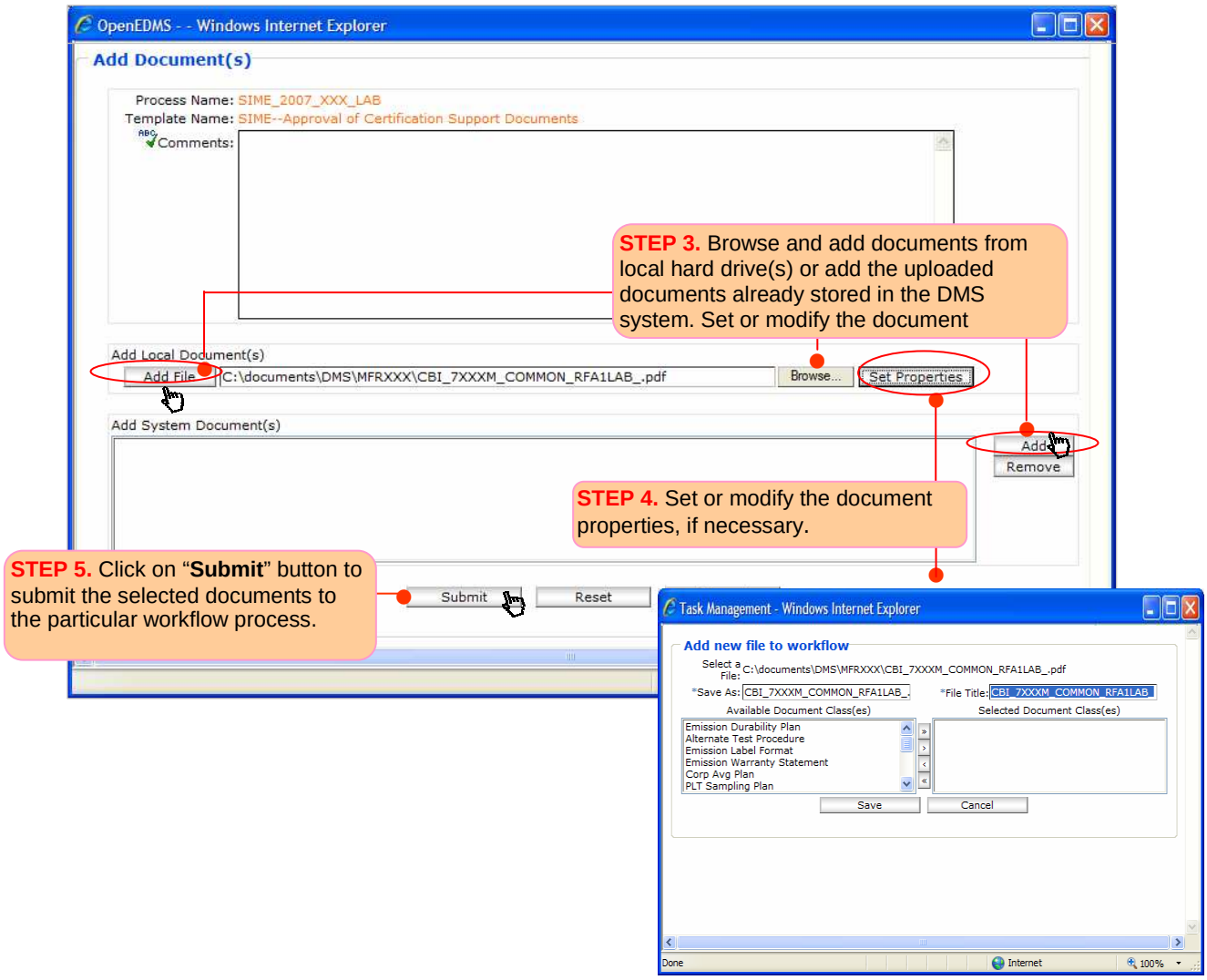
STEP 3 — After the "**Add Doc**" button is clicked, the "**Add Document(s)**" dialog box will appear. In this dialog box, you can click on the "**Browse**" button to browse and add the documents from your local hard drive(s) or you can click on the "**Add**" button if you want to add the documents that have already been uploaded and stored in your DMS manufacturer directory repository.

You can click on the "**Add File**" button if you want to upload additional files from your local hard drive and submit to the particular workflow process.

STEP 4 — To set or modify the document properties, click on the "**Set Properties**" button to open the "**Add new file to workflow**" dialog box. In this dialog box, choose the correct document type and complete the metadata fields as required. Please refer to Section 4.3 for the steps to set up the document properties and complete the metadata information. Once you are done, click the "**Save**" button to close the dialog box. Please remember that when submitting a new version of a file, the file name must be identical to that of the old version in order for the DMS version control to function properly.

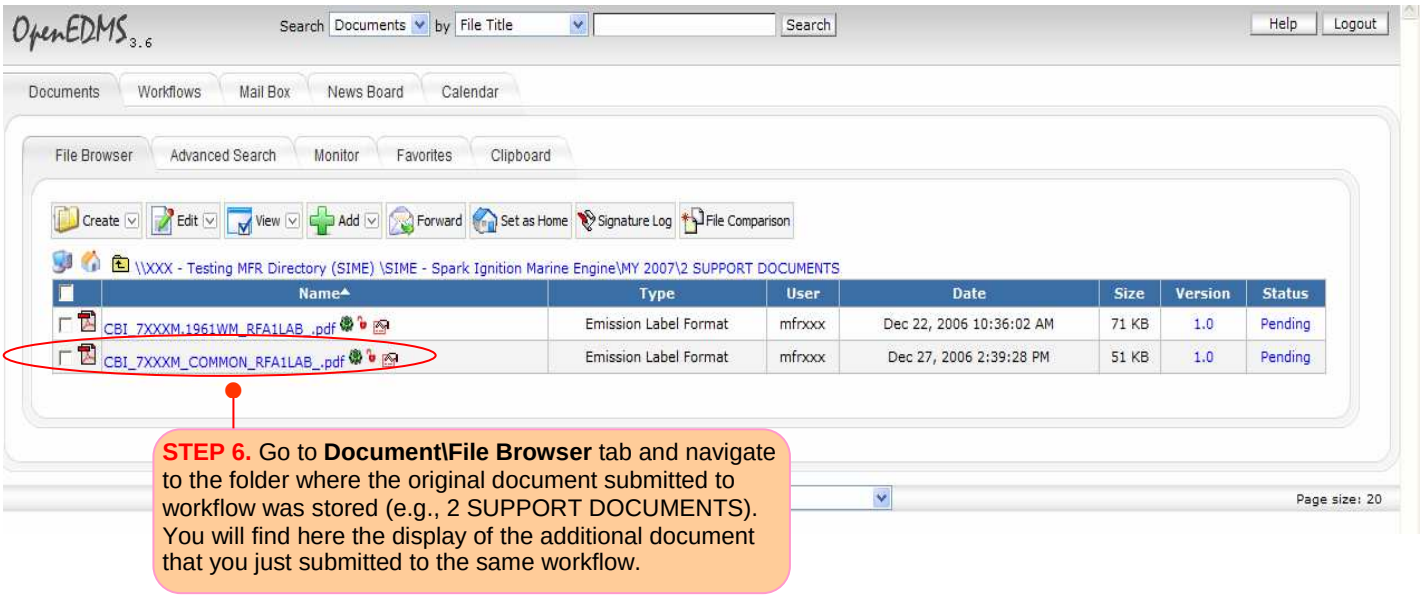
STEP 5 — Click on the "**Submit**" button to complete the submission of your additional documents to the particular workflow process.

Figure 5-8 How to Submit Additional Documents to an Existing Workflow Process — *Add Document(s) Dialog Box*



STEP 6 — To check the status of your additional submission, go to **Document Tab> File Browser Sub-tab** and navigate to the folder where the original document submitted to workflow is being stored (e.g., CBI folder). You will find here the display of the additional document that you just submitted to the same workflow.

Figure 5-9 How to Submit Additional Documents to a Specific Workflow Process — *Checking the Document Status in the File Browser Tab*



STEP 6. Go to **Document\File Browser** tab and navigate to the folder where the original document submitted to workflow was stored (e.g., 2 SUPPORT DOCUMENTS). You will find here the display of the additional document that you just submitted to the same workflow.

6. ADDITIONAL ARB DMS FEATURES

6. ADDITIONAL ARB DMS FEATURES

In this section, you will learn how to use the following additional features in the ARB DMS, including:

- Linking Files
- Document Check-Out/Check-In
- Version Comparison and Promotion
- Simple Search and Advanced Search

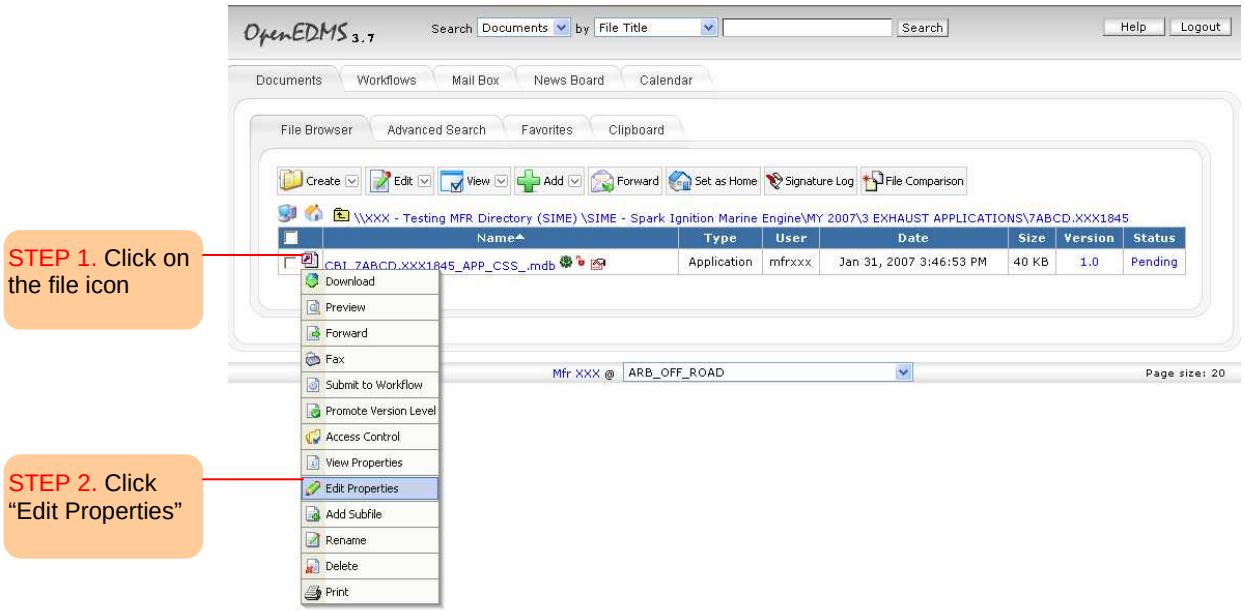
6.1 LINKING FILES

Using the **DMS Link Management** feature, you can link related documents or supporting material stored in remote folders across the repository for convenient document referral and comparison. For example, if you submitted a durability plan two years ago and it is still applicable, you do not need to resubmit it. You only need to link the existing durability plan with the applicable engine family or test group document. You should then write a clarification note in the "**Comments**" box when submitting your engine family or test group files to the workflow process (as illustrated in **Figure 5.4** and **Figure 5.8**). The system will allow you to link multiple documents of different kinds.

Below are step-by-step examples of how to perform the file linking.

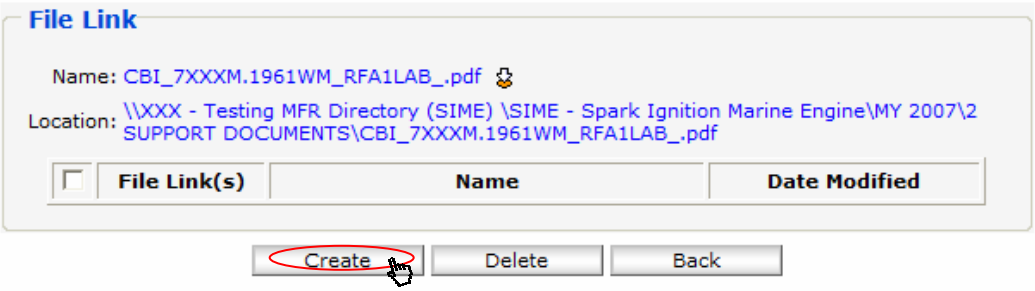
STEP 1 — To add a link, first left click on the icon of the source document. This will open a drop-down file operational menu. See **Figure 6-1**.

Figure 6-1 How to Perform the File Linking — *File Browser Screen>Link Management Function*



STEP 2 — Click on the **Edit Properties** menu item as shown in **Figure 6-1** to open the **File Link dialog box** that is located in the link tab as seen in **Figure 6-2**.

Figure 6-2 How to Perform the File Linking— *File Link dialog box*



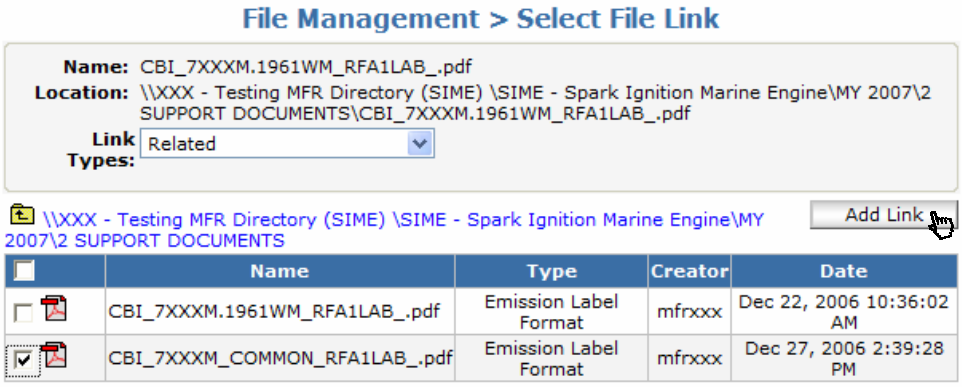
STEP 3 — Click on the "**Create**" button in **Figure 6-2** to open the "**Select File Link**" dialog box shown in **Figure 6-3**.

STEP 4 — Navigate to the target document and click on its checkbox to select it. Once the document is selected, if necessary, click on the drop-down **Link Type** list to specify the nature of the linked document's relationship to the source document.

STEP 5 — *Choose "Related" in the "Link" pull down menu. Related indicates that the files are related to each other. The other items listed are not applicable.*

STEP 6— Click on "**Add Link**" button to link the selected document(s) to the source document.

Figure 6-3 How to Perform the File Linking — *"Select File Link" dialog box*



Once the document is linked, it is added to the list, as it is shown in Figure 6-4-a. You can see the properties of a linked file by clicking on the view properties icon . The properties of the linked document will be displayed as shown in **Figure 6-4-b**.

STEP 7—Save the new link(s) by clicking on **"Update"** button**.**

Figure 6-4 How to Perform the File Linking — *View Properties*

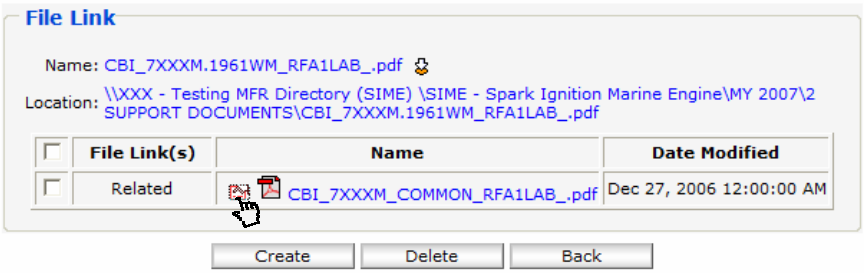
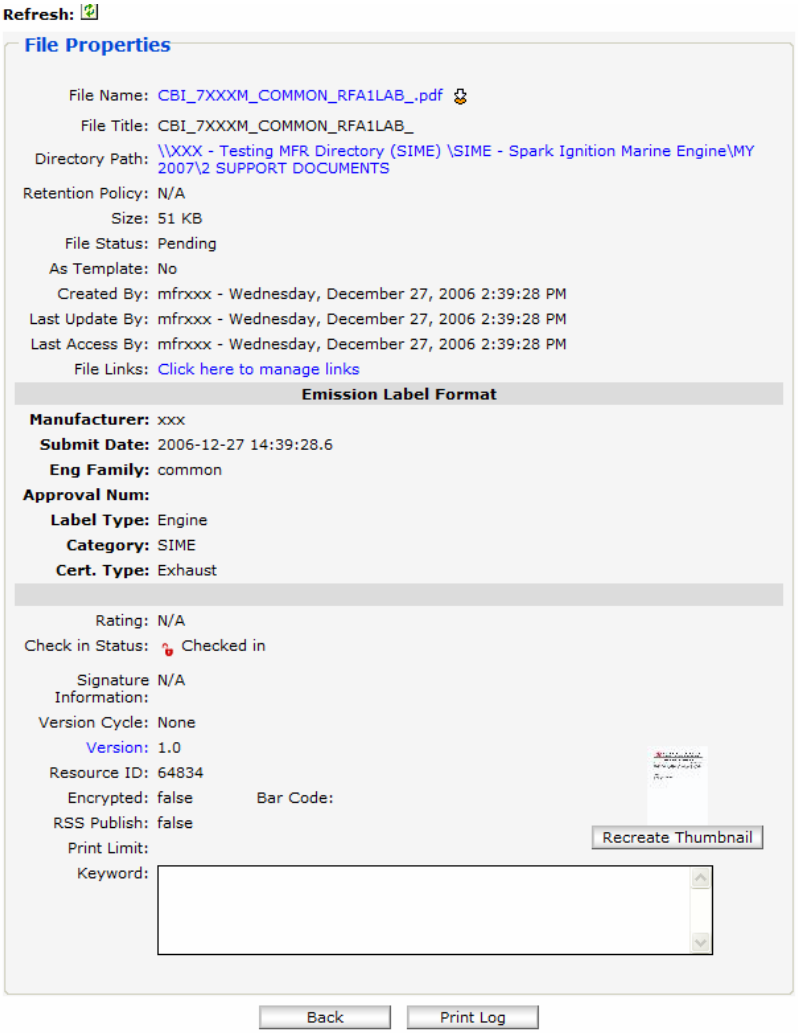


Figure 6-5 How to Perform the File Linking — *Display Properties of linked file*

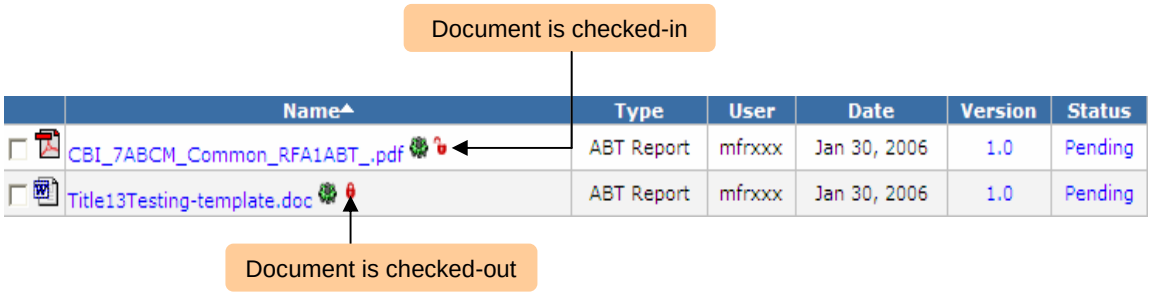


6.2 DOCUMENT CHECK-OUT/CHECK-IN

In the ARB DMS, the "**check-out/check-in**" mechanism protects document integrity by preventing users from making simultaneous changes, by forestalling inadvertent overwrites of important data, and by ensuring that the most current document version is always displayed in the **File Browser**.

In order to effect changes to a document stored in the repository, the file must first be checked out (i.e., downloaded to a local machine) before an updated version containing the saved changes is checked back in (i.e., uploaded back to the server). Below please see an example of check-out/check-in status of the two documents.

Figure 6-6 Check-out/Check-in Status of Documents



The small padlock icon indicates whether the file is currently checked-in ( ) or checked-out ( ). When a document is checked-out, its contents may still be viewed by other users but no further changes are permitted until the file has been checked back in.

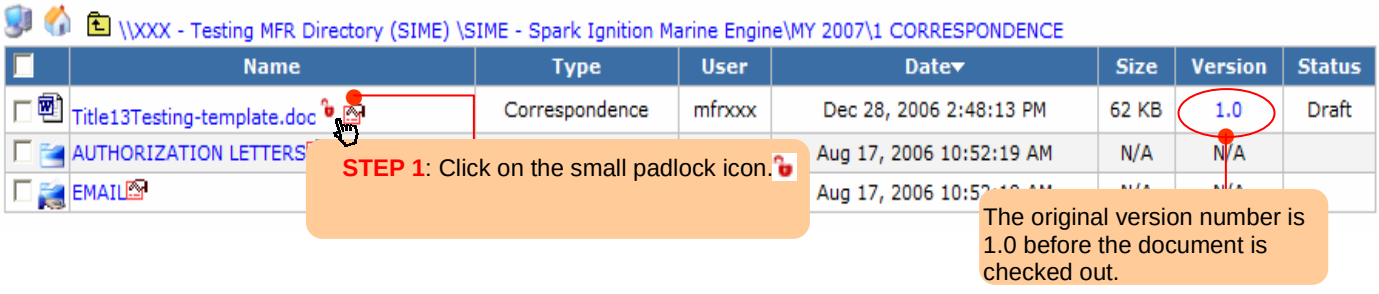
To check a file out of the repository, click on the small open padlock icon and install the Java plug-in if prompted (Note: this plug-in only needs to be installed once).

When checking out a file for the first time, the user will be asked to select a working folder in which the current file will be temporarily stored during modification; all checked-out documents will subsequently be saved to the same directory path.

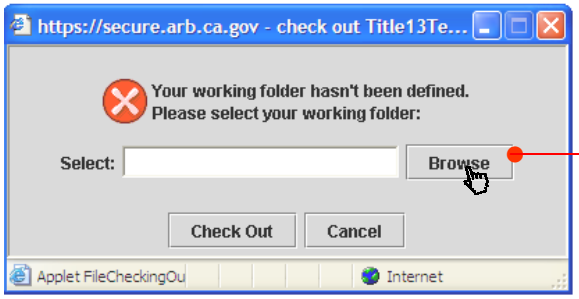
Once all desired changes have been saved, return to the **File Browser** and click on the closed padlock icon to check the updated version of the file back in to the repository.

Below please see a step-by-step example showing how to check out and check in documents in the ARB DMS.

STEP 1 — Click on the small open padlock icon next to the file that you want to check out.

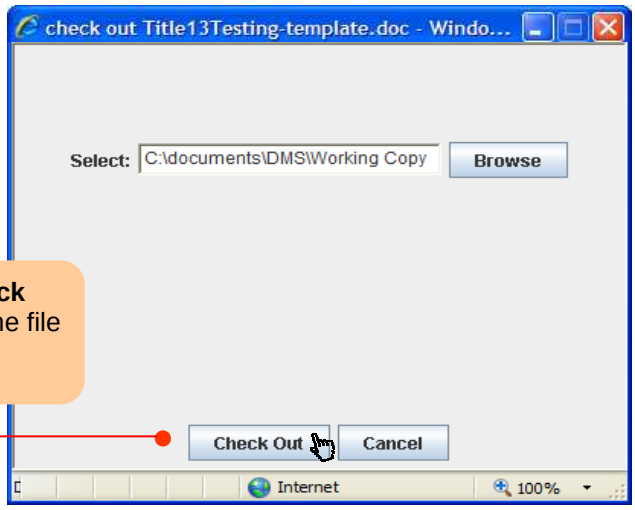


STEP 2 — When you are checking out a file for the first time, a dialog box for the selection of a working folder will be prompted.



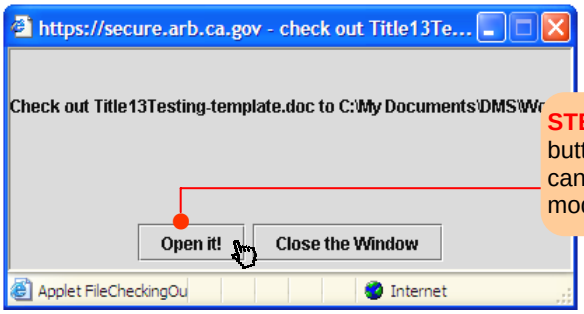
STEP 2: Click on the "**Browse**" button to define your working folder.

STEP 3 — After the working folder is selected, click on the "**Check Out**" button to check out the file.



STEP 3: Click on the "**Check Out"** button to check out the file for modification.

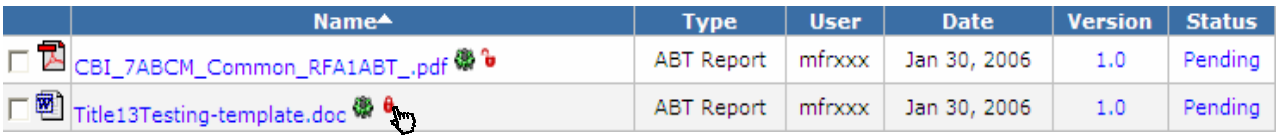
STEP 4 — After you click on the "**Check Out**" button, a message box will appear. Click on the "**Open It!** "button to initiate an application which can open and edit the document based on the associated document format. In this demonstration, **Microsoft Word** will automatically initiate and open the document for modification.



STEP 4: Click on the "**Open It!"** button to initiate an application which can open the document for modification.

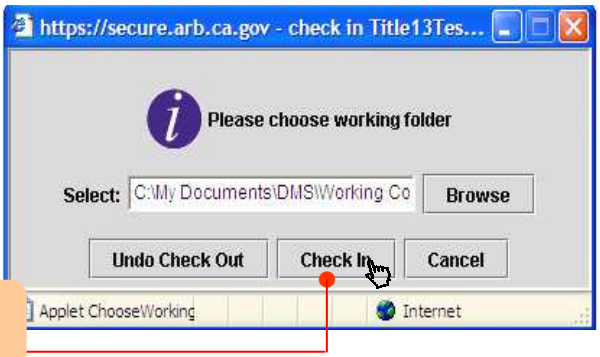
STEP 5 — Once all the desired changes have been made, save and close the application (Microsoft Word), and return to the **File Browser.**

Click on the closed padlock icon to open the following 1st message box. Click on the "**Check In**" button to check the updated document back into the repository. After clicking "**Check In**" button, the 2nd message box will appear. Click on the "**Close the Window**" to finish the "**check-out/check-in**" process.



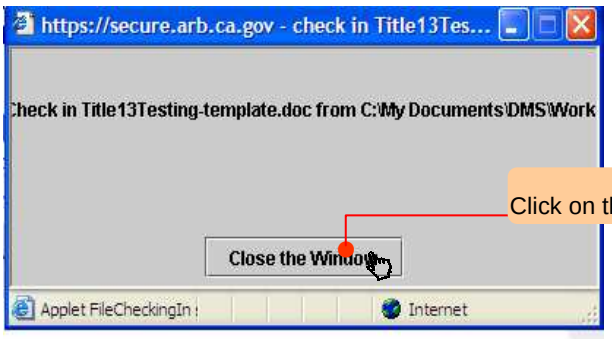
STEP 5: click on the closed padlock icon.

1st Message Box

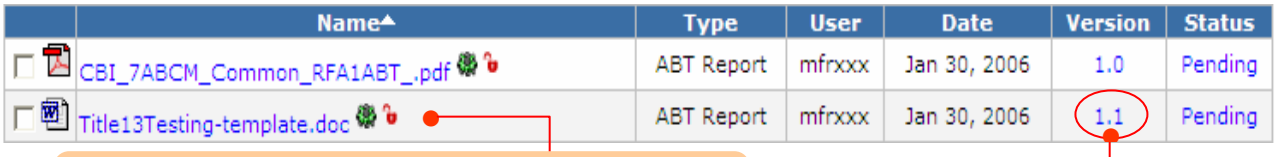


Click on the "**Check In**" button.

2nd Message Box



Click on the "**Close the Window**" button.



After the document is checked in, the closed padlock icon will change back to open padlock icon.

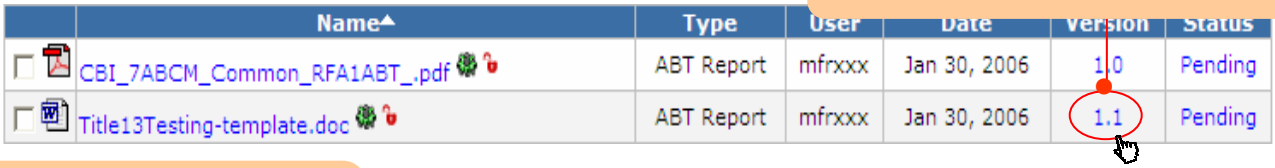
After the document is checked in, the version number changes from 1.0 to 1.1.

6.3 VERSION COMPARISON AND PROMOTION

6.3.1 Version Comparison

Each time a document is checked back into the repository after alterations on a local machine, the ARB DMS will automatically create and securely store a new version so that no previous version is ever overwritten. To perform a **Version Comparison** between the different versions of the document, please follow the step-by-step example described below. Only two versions can be compared at a time.

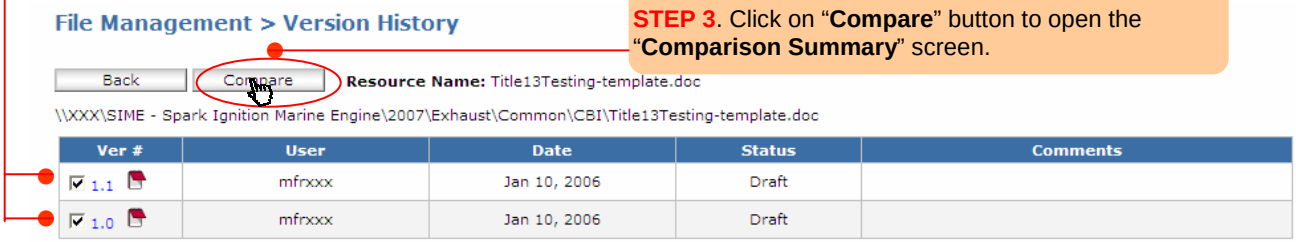
STEP 1. Click the version number "**1.1**" to open the **Version History** screen.



STEP 2. Click the check boxes next to two different versions of the document that you want to compare.

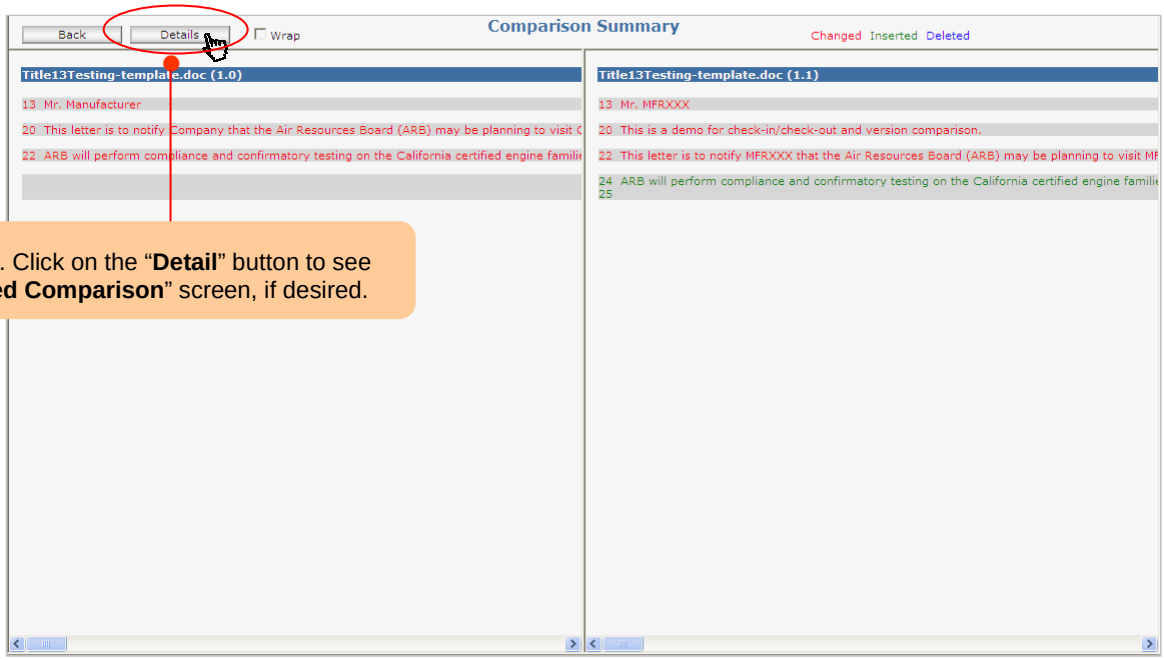
Version History Screen

STEP 3. Click on "**Compare**" button to open the "**Comparison Summary**" screen.

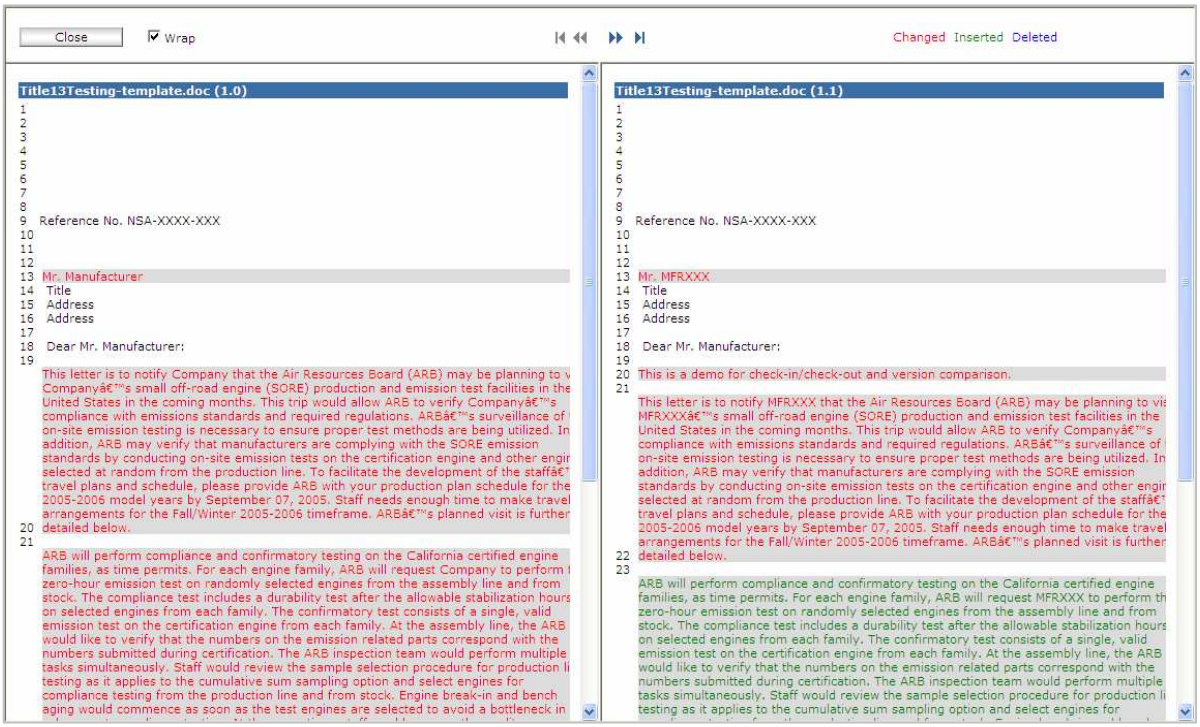


Comparison Summary Screen

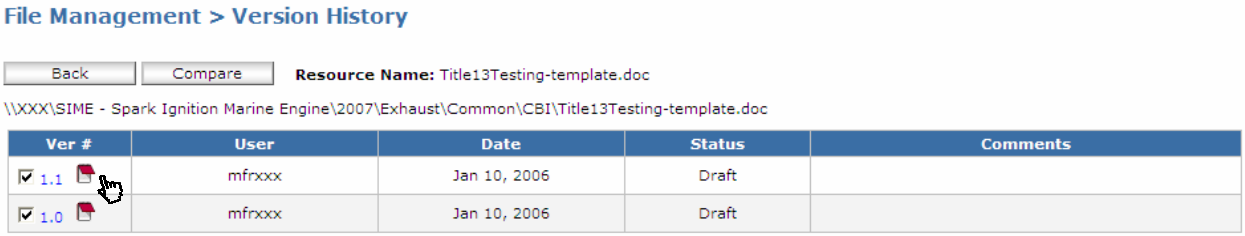
STEP 4. Click on the "**Detail**" button to see "**Detailed Comparison**" screen, if desired.

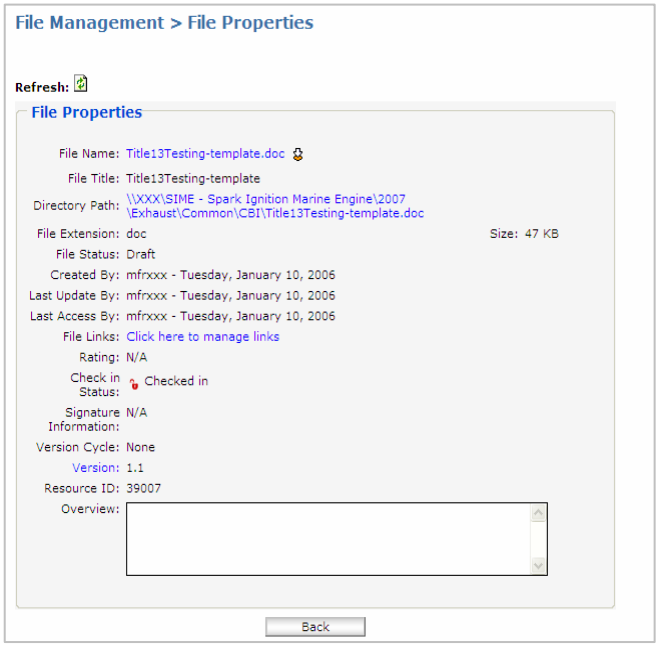


Detailed Comparison Screen



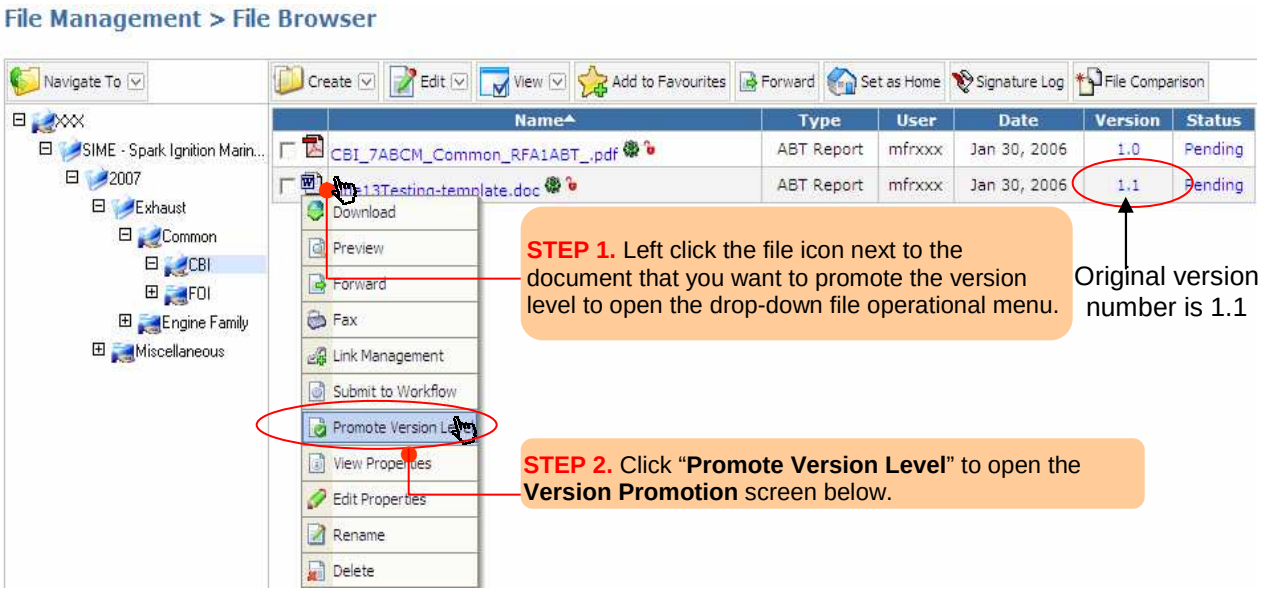
To view the properties of a particular version, simply click the desired version number in the **Version History** dialog to open the **File Properties** screen. Click on the red notebook icon to add version comments.





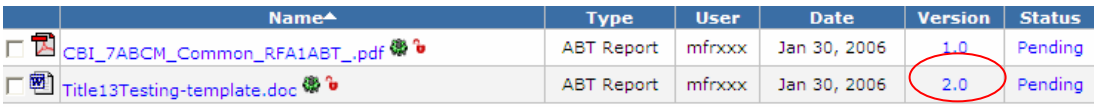
6.3.2 Version Promotion

In the ARB DMS, you can also manually promote the version level of a document by following the steps in the example described below.



Version Promotion Screen

After clicking on the "**Promote**" button, you will notice that the version number has been changed from 1.1 to 2.0. Use the version promotion option if you submit a new version of a document that already has been approved.

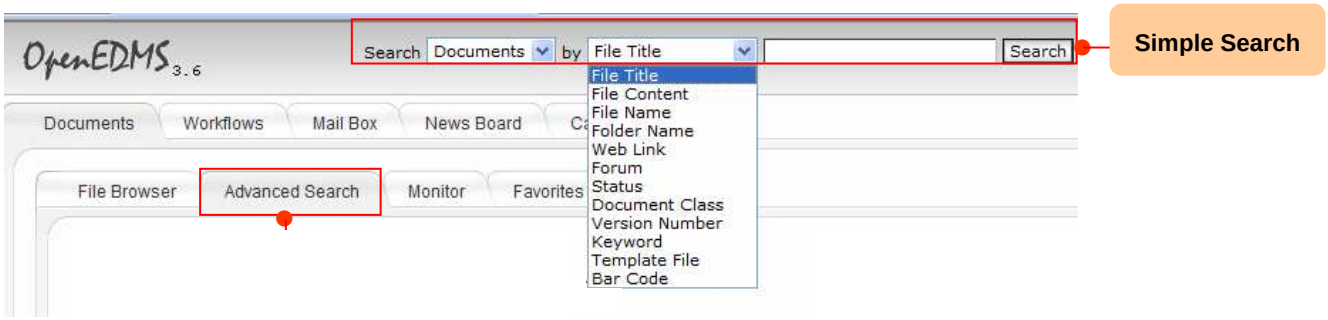


6.4 SIMPLE SEARCH AND ADVANCED SEARCH

The ARB DMS is using the **OpenEDMS** search engine to ensure that any information resource contained anywhere within the repository can be instantly accessed and retrieved.

With minimum input, users can recover the information needed using a variety of flexible search parameters to pinpoint the precise location of specific files and folders. Two search tools (**Simple Search** and **Advanced Search)** provided by the ARB DMS are briefly described below.

ARB DMS Search Tool Menu



6.4.1 Simple Search

A **Simple Search** may be conducted using any one of the following parameters:

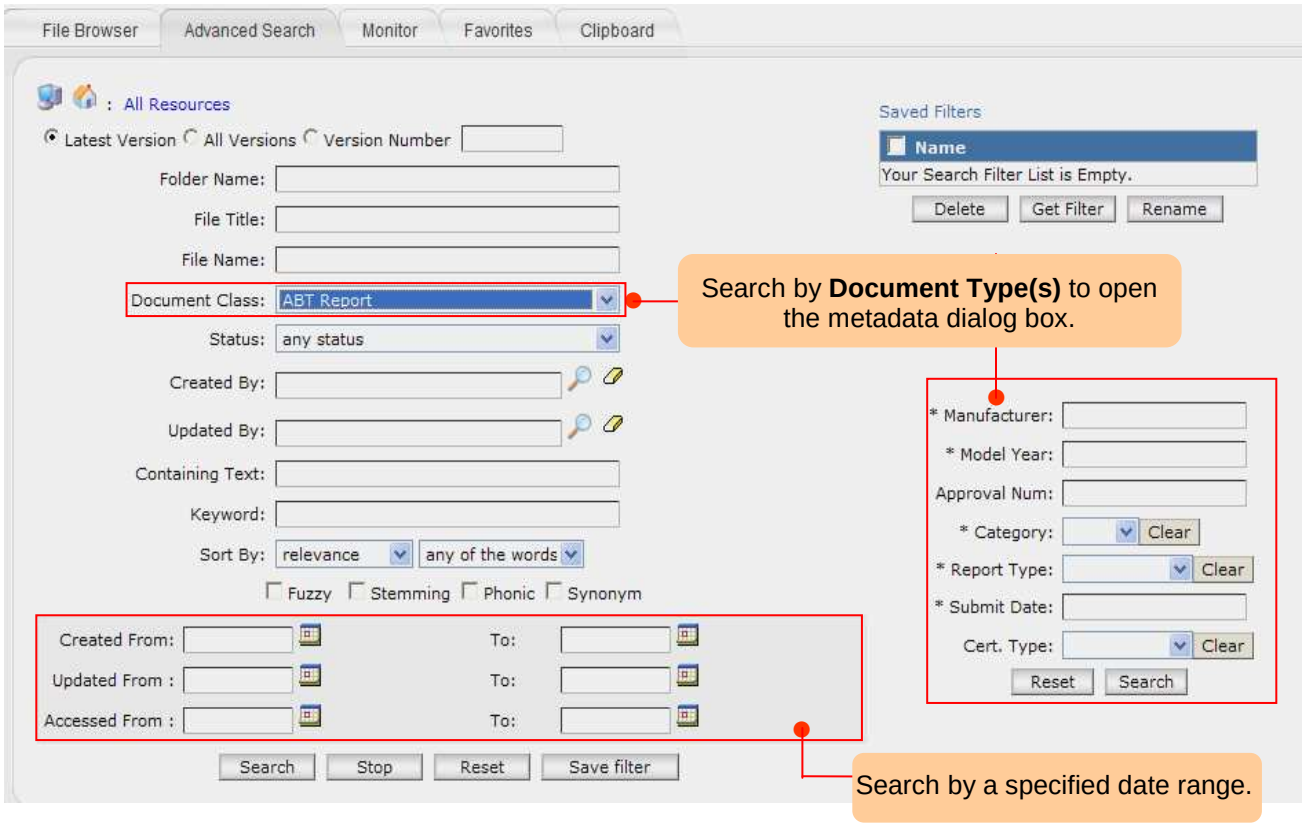
- **File Title**: This search will retrieve documents with a corresponding file title. File titles may optionally be provided when creating a new document (the system automatically adopts the default file source name unless otherwise specified).
- **File Content**: This is a free-text search that will locate any file by the phrase or keywords provided. By default, the results will be sorted in descending order according to the number of hits. To view each instance of the keyword within the displayed document(s), click on the green hit number beside the file name.
- **File Name**: This search will locate documents based on their file name. A file name is defined by the system as any text string that could be contained within the file name (e.g., if "pdf" is entered into the search field, all files with the extension pdf – in upper, lower or mixed case – will occur in the search results). Any file with the characters pdf in the file name will also be included (e.g., "my*pdf*test.txt").
- **Folder Name**: This search will identify the location of a particular folder based on its assigned name.
- **Web Link**: This search will retrieve any URL hyperlink created within the repository on the basis of its name.
- **Forum**: This search will find any forum created within the repository based on its name.

Search results will be listed alphabetically in the **File Browser**.

6.4.2 Advanced Search

In addition to the basic search parameters enumerated above, an **Advanced Search** may be conducted according to user-defined search filters containing any combination of the parameters listed below.

Advanced Search dialog box



- **Document Type(s)**: Document type(s) are preconfigured by the ARB DMS administrator and may consist of any number of customized **metadata attributes**. Please refer to **Section 2.3 Document Type and Metadata** for further information.

  As described in Section 2.3, every document type is distinguished by an associated series of identifying characteristics, or **Metadata**. Once a document type has been selected, its assigned metadata attributes may be used as search criteria. For example, an "ABT Report" document type with metadata fields *Manufacturer, Model, Year, Approval Number, Category, and Report Type, etc.* could be searched by one or more of these metadata attributes.

  Depending upon the configuration of the metadata, multiple selections may often be available for any given field. Users may click on the drop-down list to view the various options.

Note: *Users are not required to complete all the metadata fields to perform an advanced search based on the document type.*

- **Search From**: By default, the search range is confined to the current directory path so that only those files or folders contained within the present folder and its subfolders will be included. Alternatively, the search range may be extended to the entire repository so that all domain content will be included. To extend the search range to the entire repository, click the root directory icon .

  Note: *only those files and folders to which the user has been granted read permission will be accessible to the user in the search results.*

- **Created By**: To search for a document on the basis of the user ID of the original author/up loader.

- **Updated By**: To search for a document using the name of the individual who last modified the document.

- **Creation Date Range**: To search for a document created within a particular timeframe.

- **Update Date Range**: To search for a document updated within a particular timeframe.

- **Access Date Range**: To search for a document based on its last access date.

- **Search Type:** When searching for specific content, a user may stipulate whether the file(s) must contain all of the words, any of the words, or the exact phrase.

  - Any of the Words: This parameter will retrieve all documents containing any of the specified words. Words may be grouped into phrases by quotation marks, in which case the entire phrase must appear in the document for it to be considered a match.

    Inserting a plus sign (+) in front of any word or phrase will add it to the search criteria; inserting a minus sign (-) in front of any word or phrase will exclude from the search any document in which the denoted word or phrase occurs.

  - All of the words: This parameter requires that all of the provided words and phrases are present in a document for it to be considered a match.

  - Exact phrase: This parameter treats the search text as a single phrase and only retrieves documents containing an exact match.

  - Boolean: This parameter retrieves a structured group of words or phrases linked by *and*, *or*, *not*, *w/.*

7. NEW DMS FEATURES

7. NEW DMS FEATURES

This section provides an overview of the new features included in OpenEDMS version 3.7, available to manufacturers in the ARB DMS system.

7.1 NEW FEATURE OF CLIP BOARD WINDOW

The Clip Board window (see Figure 7-1) used to copy and paste documents now can be resized to see the complete path and entire file name. This should facilite the selection of the document or folder to be copied as illustrated in figure 7-1 and 7-2.

Figure 7- 1 Original Clip Board Window

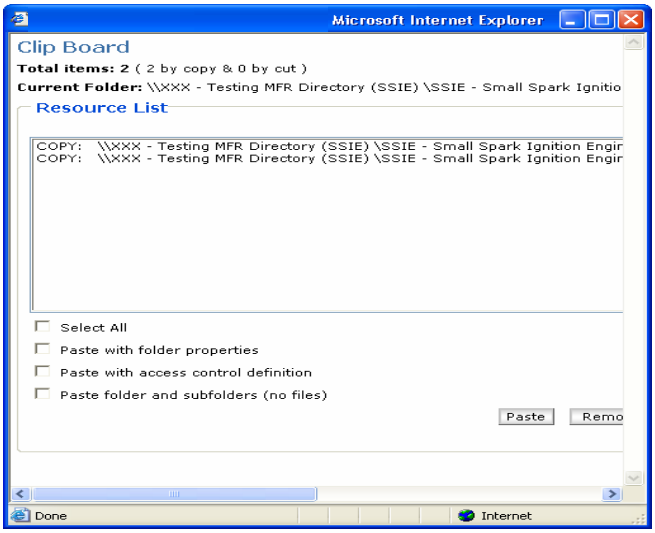
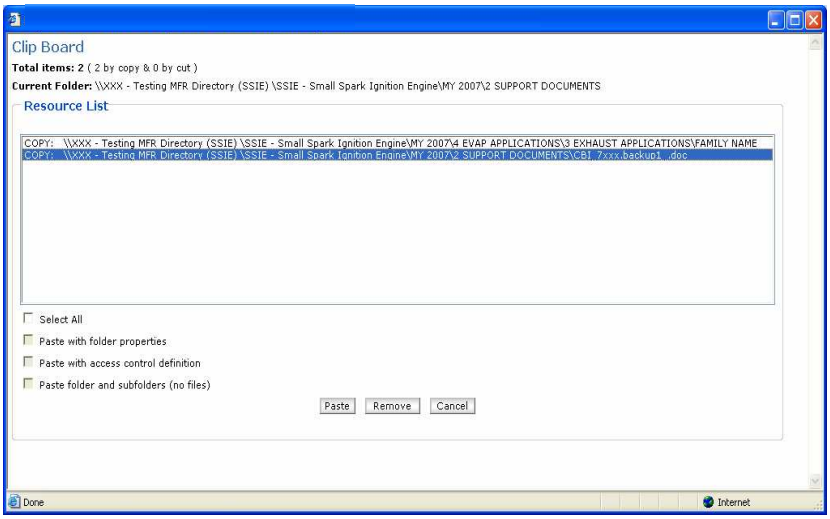


Figure 7-2 Expanded Clipboard



Additionally, the content of the clipboard can be accessed directly. Just click on the clipboard tab.

7.2 IMPROVED FEATURE OF LINKING DOCUMENTS

The linking documents feature has been improved in the new version, the process to link documents is slightly different. To link one or more document(s) to an existing one "Q1", please left click on the icon of the document "Q1". Then select "**Edit Properties**". The system will bring-up the Edit properties tab screen used to upload document "Q1"which is shown in **Figure 7-3**. Notice that a new "**Link**" tab is available. Click on the "**Link**" tab to add or remove links as shown in **Figure 7-4**

Figure 7-3 Tabs to Edit the Properties of a Document

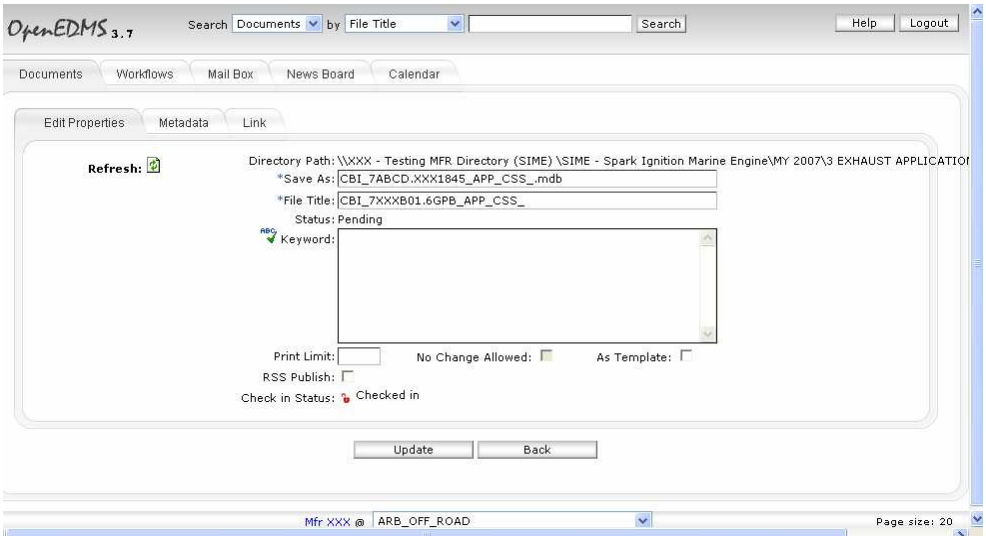
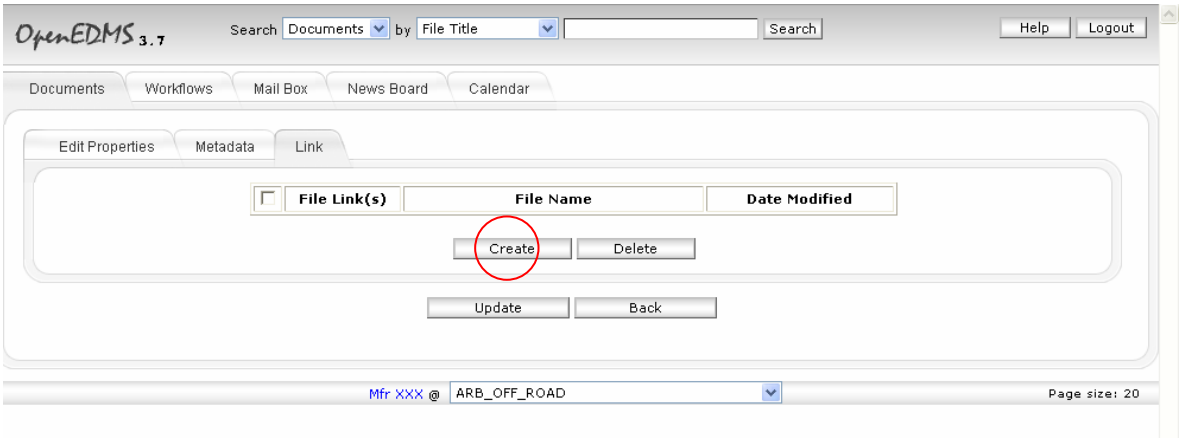


Figure 7- 4 File "**Link**" Tab



Once you are on the "**Link**" tab, click on the "**Create**" button, and then browse for the document "E1"that you want to link to ("Q1"). If you want to navigate, click on the folder icons to expand them and move further inside of the directory structure.

Select the document(s) "E1" that you want to link, next click on the "**Add Link"** button as illustrated on **Figure 7-5**.

Figure 7- 5 "Select File Link" Window

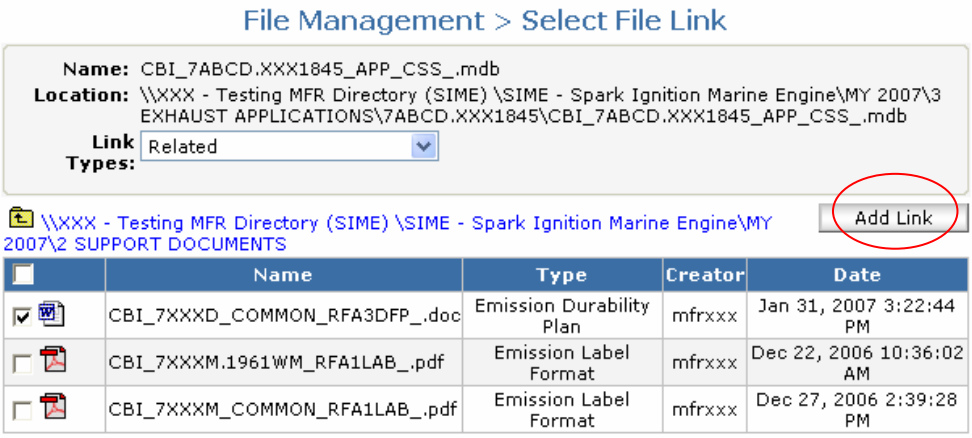
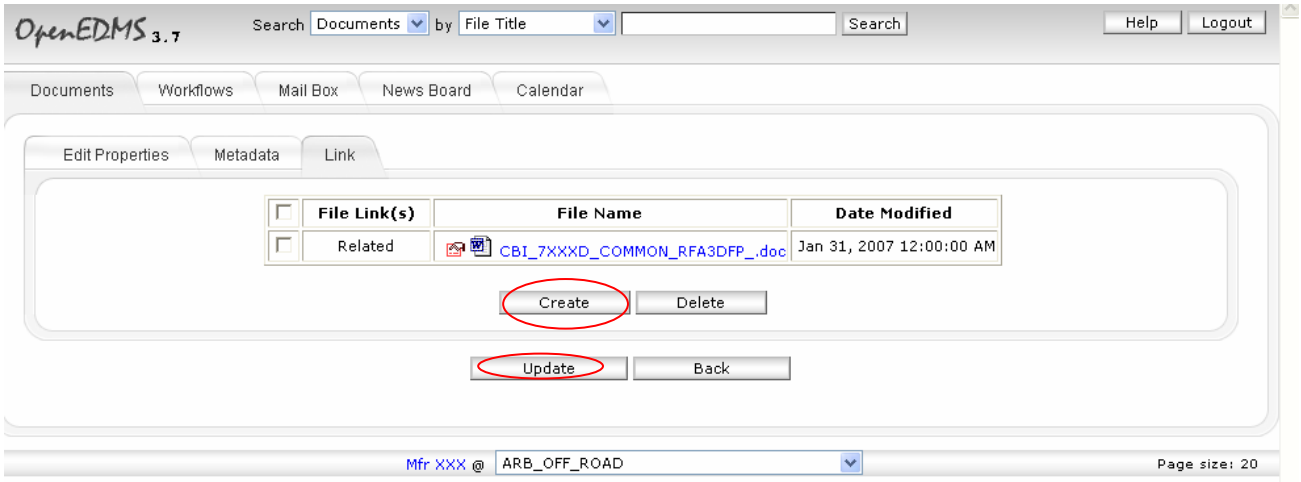


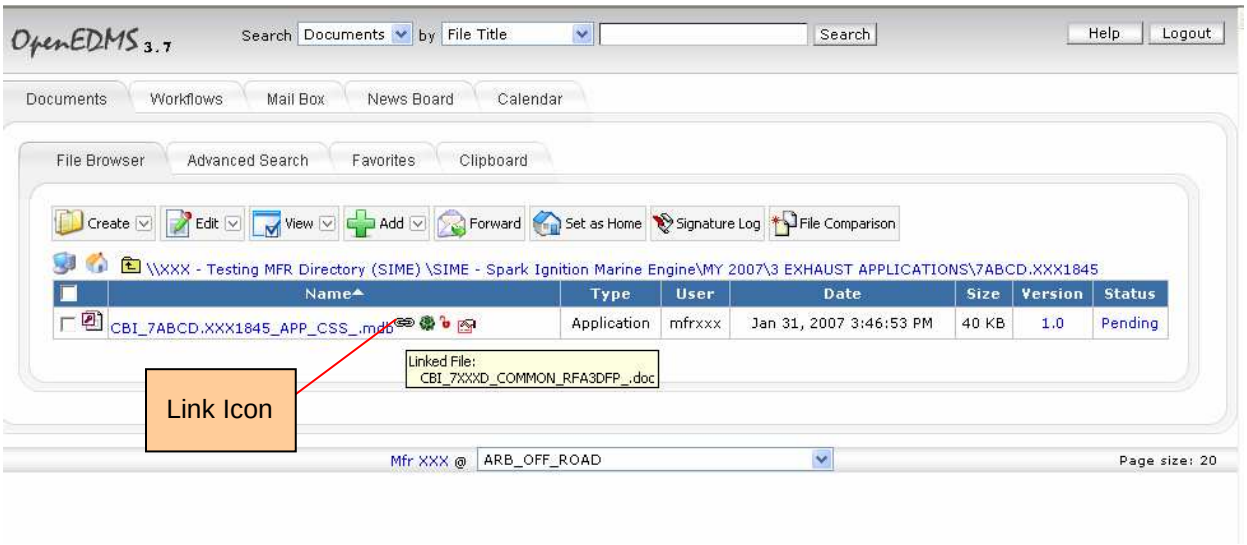
Figure 7.6 shows that the selected file was added to the list of linked files. You can link as many files as you need. To link more documents click again the "**Create**" button, to exit and save your changes click the "**Update"** button.

Figure 7- 6 List of Linked Files



Once you link a file, a "**Link**" icon is displayed after the file name inside the file browser tab as illustrated on **Figure 7-7** . If you move the mouse pointer on top of the "**Link"** icon, it will display the name of the file(s) that are linked to it. With this new feature, you can know when a document has linked files without having to view the properties of the document.

Figure 7- 7 File Browser – File Link Icon



7.3 CHECKING IN A NEW VERSION OF AN EXISTING DOCUMENT

When a new version of a document is uploaded, it must be saved with the same document name and in the same location. If this rule is followed, the system automatically adds the metadata based on what you entered before. It also checks in the document, increases the document version number, and if the document was already in the workflow, the system sends a notification to the assigned ARB certification representative. (Please be aware that the file name is case sensitive including the file extension.)

Figures 7-8 to 7-11 illustrate the main changes in the process of uploading a new version of an existing document.

Figure 7- 8 Uploading A New Version Of An Existing Document– "Create File" Tab

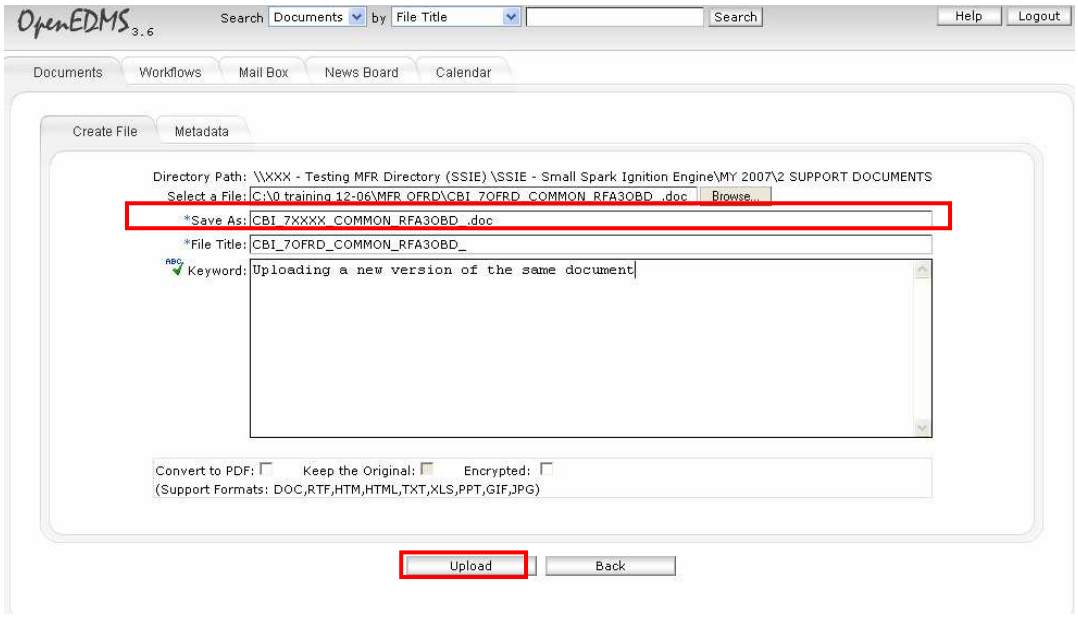
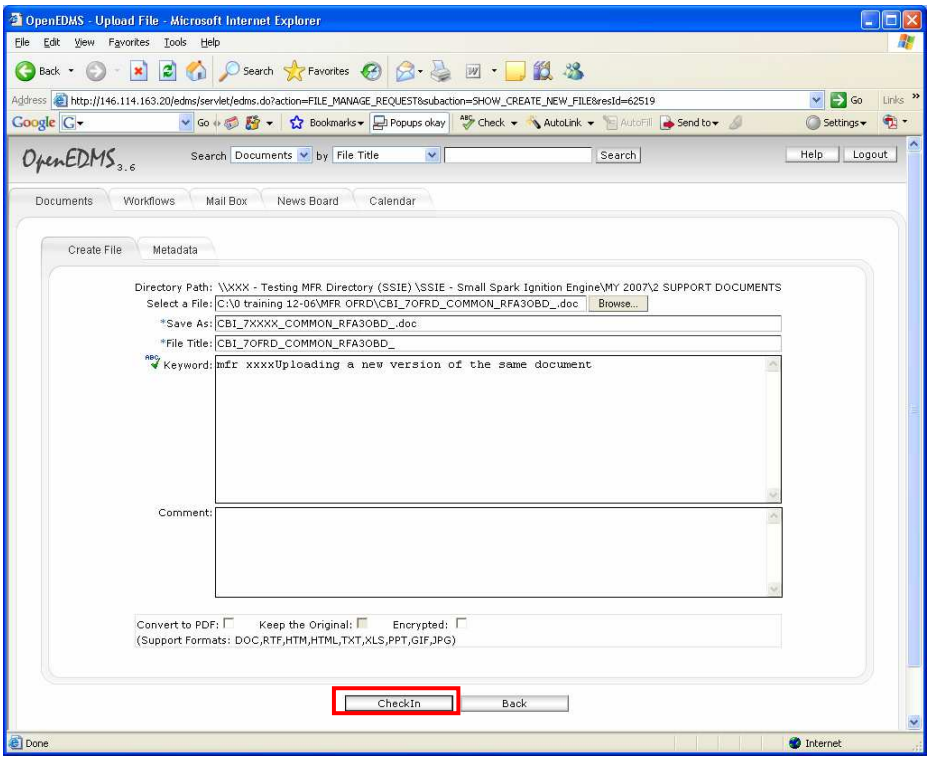


Figure 7-8 shows that the metadata information is in a separate tab. If you are uploading a new version of an existing document, please use exactly the same name for the version control to work properly. The system recognizes that the file exist and will ask you if you want to check in the document as shown in **Figure 7-9**. Please click the "**OK**" button, the screen on **Figure 7-10** will show up.

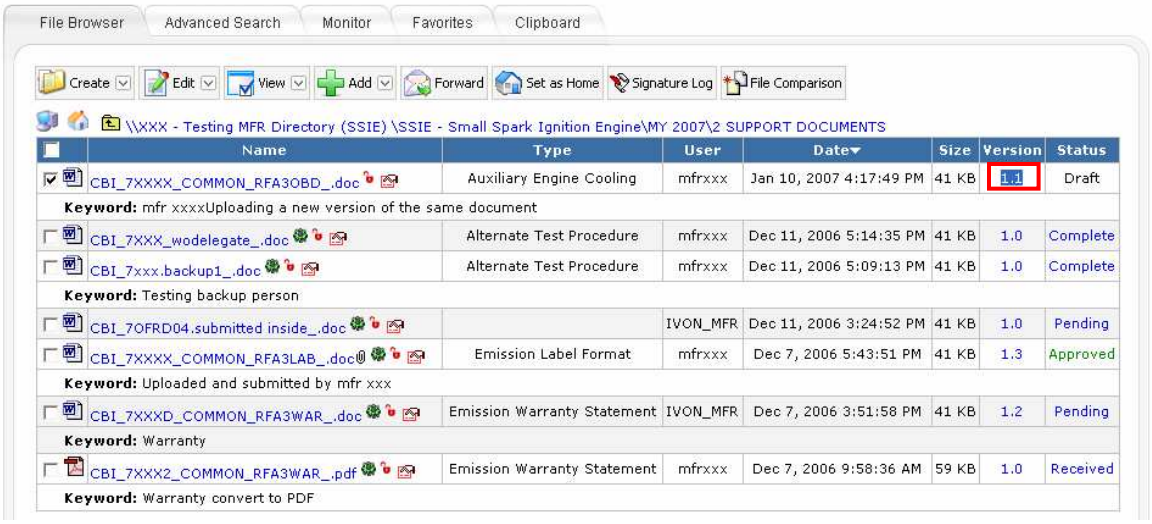
Figure 7- 9 Uploading A New Version Of An Existing Document– Pop-up Message Box

Figure 7- 10 Uploading A New Version Of An Existing Document– "Checking In "the Document"



Comparing **Figure 7-8** and **7-10**, we can see that the left lower button changed from "**Upload"** to "**Check In**". Please click on the "**Check In"** button. The system will upload the new version and increase the version number as illustrated on **Figure 7-11**.

Figure 7- 11 Uploading A New Version of An Existing Document– Automatic Version Control



7.4 IMPROVED CHECK-IN/CHECK-OUT MECHANISM

The check in/ check out mechanism is easier to use. Please follow the procedures described in Section 6.2

7.5 NEW FEATURES TO MANAGE WORKFLOW PROCESS LISTS

In the new version, the list of pending or finished processes can be sorted by any column. Just click on the header of the desired column to be sorted. This is illustrated in **Figures 7-12** and **7-13.**

Figure 7- 12 Workflow Processes Sorted by "Start Date"

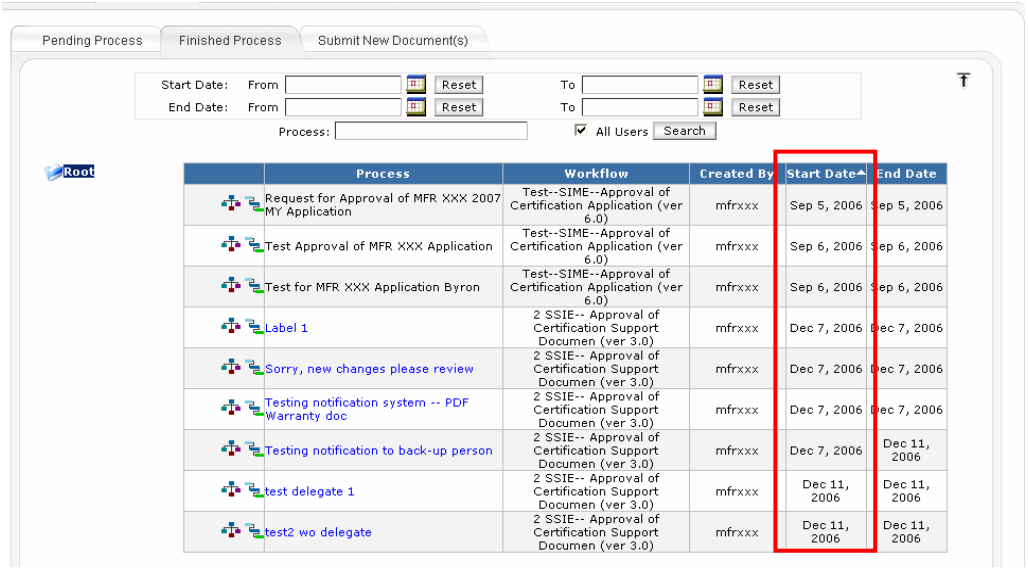
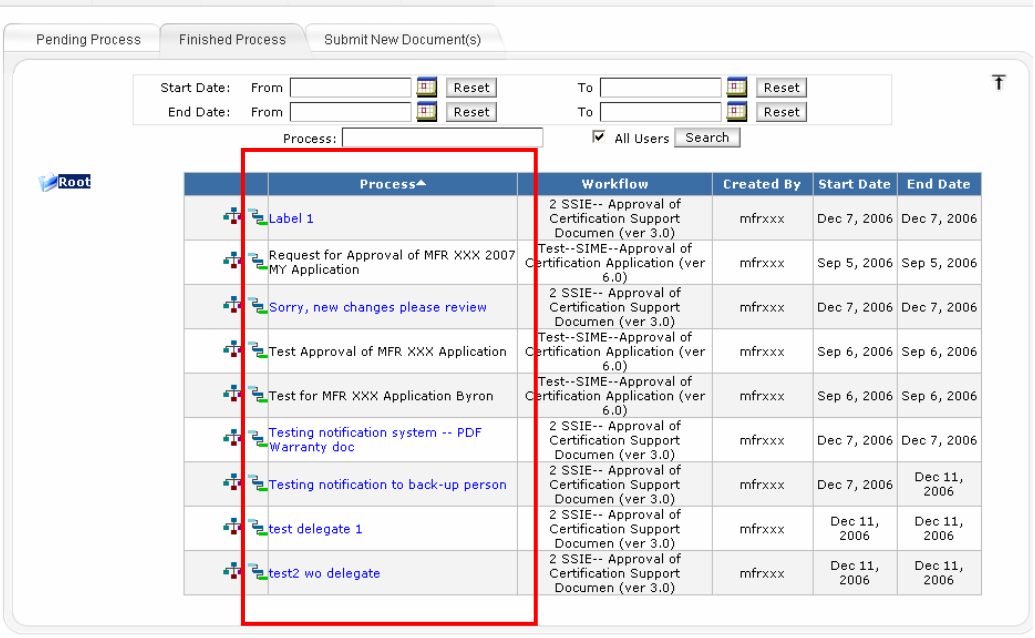
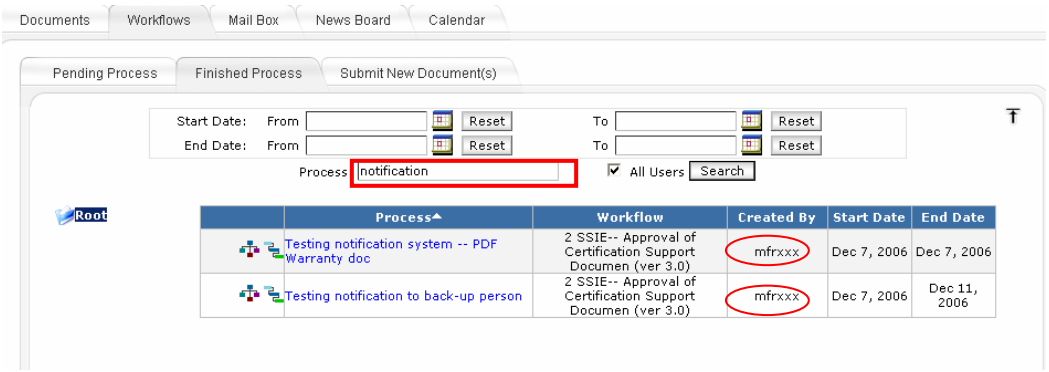


Figure 7- 13 Workflow Processes Sorted by "Process Name"



You also can narrow down the list of processes through searching a process by "**Start Date**" or "**End Date**", or by typing the entire or partial process name. **Figure 7-14** illustrates how the system can search and filter out the processes with their name including the word "notification". Also, notice that the user-id is now displayed instead of the user name

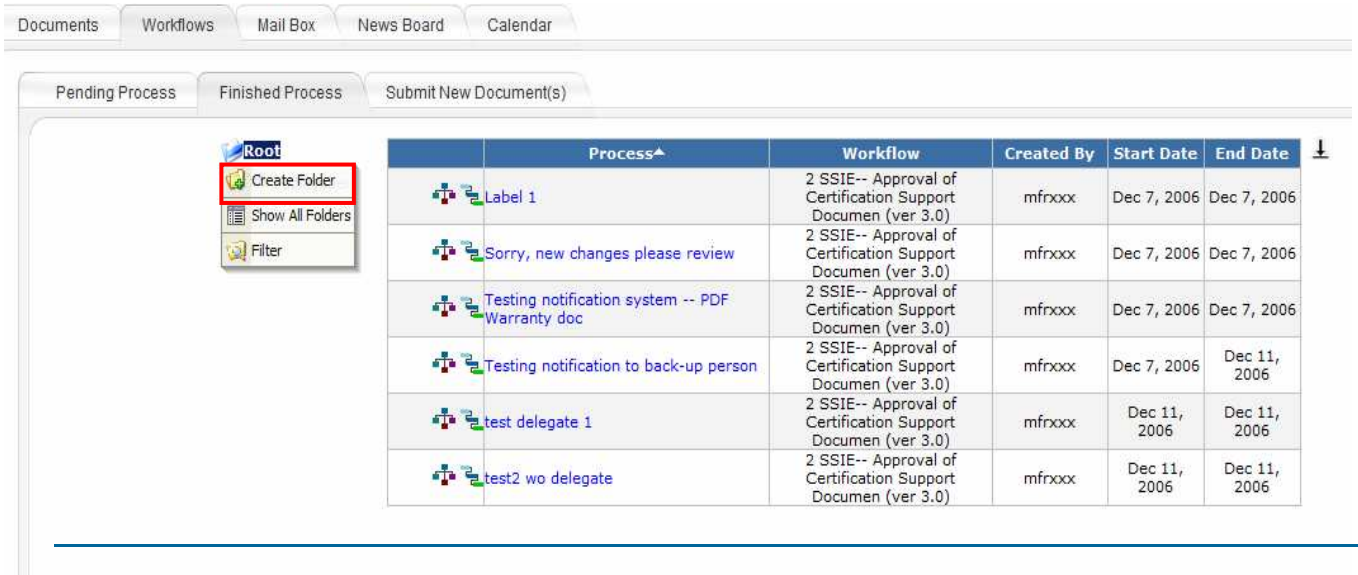
Figure 7- 14 Use of Workflow Process Search Filters to Narrow Down the List

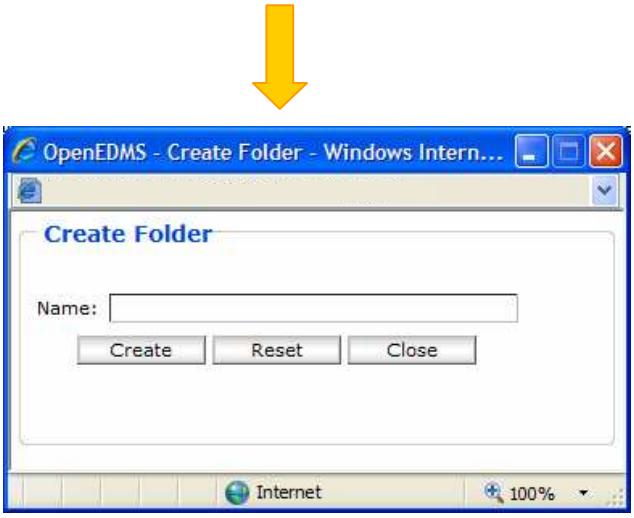


7.6 FINISHED PROCESSES CAN BE ORGANIZED IN FOLDERS

The new version allows you to create folders to organize the "**Finished Processes**". To create a folder, left click on the root icon, then select "**Create Folder**" and type a folder name as illustrated on **Figure 7-15**. Please be aware that *the work flow folders are only visible on the screen of the user who created them*. They become part of the user profile.

Figure 7- 15 Creating a Folder to Organize "Finished" Processes





To organize the finished processes, highlight the processes name that you want to move and drag it to the folder where you want to store it. **Figures 7-16** and **7-17** illustrate the result of organizing the processes by the month when they were completed.

Figure 7- 16 The Root Directory Containing the Workflow Processes Finished in December

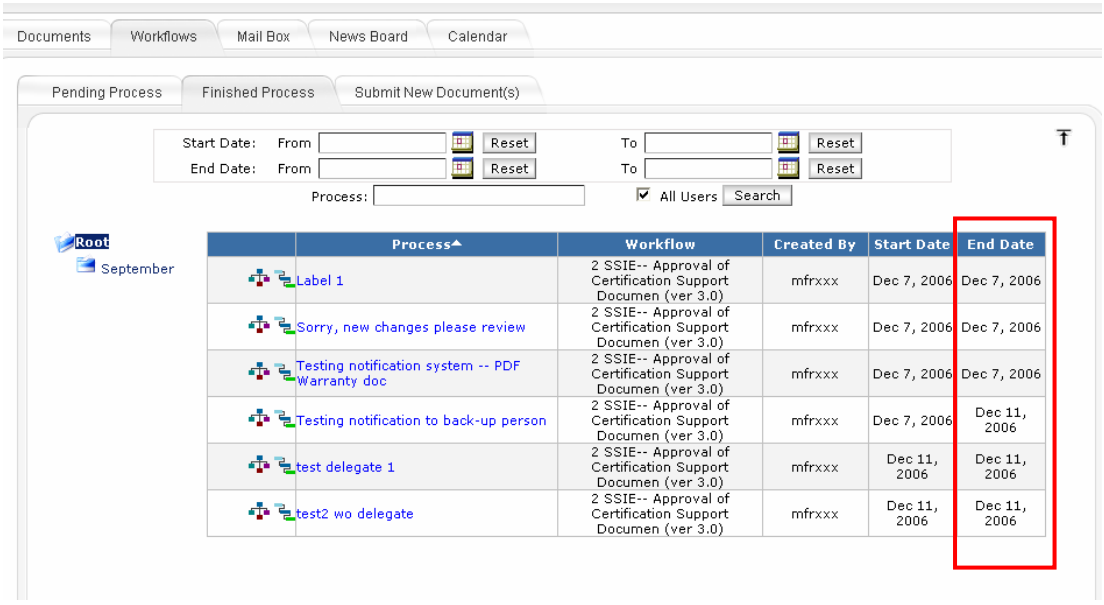
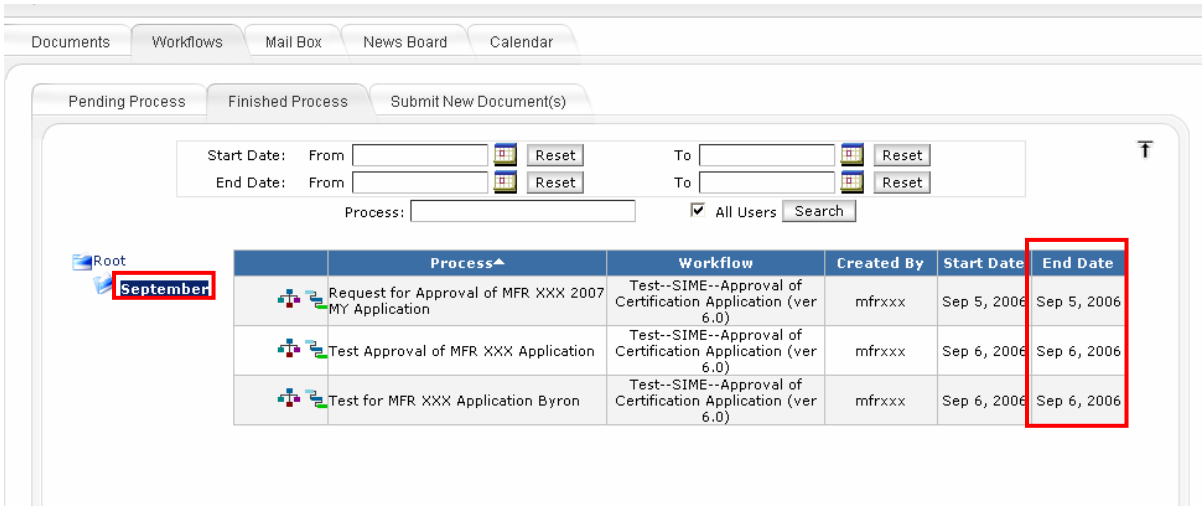


Figure 7- 17 The September Folder Containing the Workflow Processes Finished in September



8. DISCLAIMER

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9. REFERENCES

9. REFERENCES

- **Altimate Systems Staff, *OpenEDMS User Guide, Version 2.7,* Altimate Systems Inc., 2005.**
- ***OpenEDMS User Guide, Version 4,* Altimate Systems Inc., 2006.**

APPENDIX A.
ARB's Guidance On Electronic File Naming Convention for ARB DMS

Table A-1 — File Naming Convention for On-Road Light/Medium-Duty Vehicles/Trucks

An ARB document file name consists of three sections as shown below:

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

Section 1 **Confidentiality** (3 characters + underscore)	Section 2 **Applicability** (12 characters + underscore)	Section 3 **Information Type** (7 characters + underscore)
• **CBI_:** a confidential file that will not be released to the public • **FOI _:** a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce	• [(1)]**XXXXX_COMMON_:** any Common Information submittals • [(2)]**XXXX_CORRESP_:** Correspondence • **Test Group Name_:** an individual Test Group related file • **Evaporative Family Name_:** an individual evaporative family related file *Note:* *(1) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"* *(2) "XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR code"*	**Application for Certification** • **APPIPT1_:** Initial Part 1 Application submittal • **APPIPT2_:** Initial Part 2 Application submittal • **APPFPT1_:** Final Part 1 Application submittal • **APPFPT2_:** Final Part 2 Application submittal • **APPUPT1_:** Update Part 1 Application submittal • **APPRCnn_:** Running change • **APPFFnn_:** Field fix (Where nn= 01 ~99 in numerical order) **Other Stand Alone Documents (To be updated as needed)** **Request for Approval (RFA*[(3)]):** • **RFA*LAB_:** label content • **RFA*DFP_:** durability plan • **RFA*PL2_:** LEV2 phase-in plan • **RFA*MTP_**: Modified Test Procedure • **RFA*NMG_:** NMOG Fleet Average Compliance Plan • **RFA*WAR_:** Warranty Statement • **RFA*SFP_:** Supplemental FTP • **RFA*TPF_:** Functional Test Plan • **RFA*EVP_:** Evaporative Plan **Correspondence (LTR*[(3)])** • **LTR*CPP_:** Certification Preview Plan **Compliance Reports (CR#*[(3)(4)]):** • **CR#*PDR _:** Quarterly Production report • **CR#*NMG_ :** NMOG report • **CR#*VEC_ :** Vehicle Equivalent report • **CR#* FEE_:** Certification fee report • **CR#*SER_:** Service Manual • **CR#*WAR_:** Warranty Statement *Note:* *(3) "*" alphanumeric (1,2,3… or A,B,C,..)* *(4) "#"should be 0, 1, 2, 3,… etc. represents Report No.1 or first quarter, Report No.2 or second quarter,….*

Table A-2 — File Naming Convention for On-Road Heavy-Duty Vehicles/Engines

An ARB document file name consists of three sections as shown below:

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

Section 1 **Confidentiality** (3 characters + underscore)	Section 2 **Applicability** (12 characters + underscore)	Section 3 **Information Type** (7 characters + underscore)
• **CBI_:** a confidential file that will not be released to the public • **FOI _:** a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce	• [(1)]**XXXXX_CORRES_:** Correspondence • [(2)]**XXXXXyyyyZZZ_:** any related engine family information submittals • [(3)]**XXXXX_COMMON_:** any Common Information submittals • [(4)]**Evaporative Family Name_:** an individual evaporative family related file *Note:* *(1) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"* *(2) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"; "yyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator* *(3) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"* *(4) "XXXXE" to be used for evaporative family and are the first five characters of the mfr's evaporative family name, it consists of "model year + EPA MFR code + Evaporative category code"*	**Application for Certification** • **APP_INI_:** Initial Application submittal • **APP_Cnn_:** Running change • **APP_Fnn_:** Field fix (Where nn= 01 ~99 in numerical order) • **CPPXXXX_:** Certification Preview Plan (Where XXXX= model year) **Other Standalone Documents (To be updated as needed)** **Request for Approval (RFA*[(5)]):** • **RFA*LAB_:** label content • **RFA*DFP_:** durability plan • **RFA*PHS_:** phase-in plan • **RFA*STP_**: Special Test Procedure • **RFA*NTE_:** Not_to_Exceed request • **RFA*WAR_:** Warranty Statement • **RFA*OBD_:** On-Board Diagnostics • **RFA*TRM_:** Tamper Resistance method • **RFA*ABT_:** Averaging, Banking, Trading Plan • **RFA*ACD_**Auxiliary Emission Control Device document **Correspondence (LTR*[(5)])** • **LTR*CPP_:** Certification Preview Plan **Compliance Reports (CR#*[(5)(6)]):** • **CR#*PDR _:** Production report • **CR#*FLT_:** Fleet Average report • **CR#*PHS_:** Phase-in Compliance report • **CR#* FEE_:** Certification fee report • **CR#*SER_:** Service Manual • **CR#*ABT_:** Averaging Banking Trading Summary *Note:* *(5) "*" alphanumeric (1,2,3… or A,B,C,..)* *(6) "#"should be 0, 1, 2, 3,… etc. represents Report No.1 or first quarter, Report No.2 or second quarter, …; for end of year summary report "#" should be 9*

Table A-3 — File Naming Convention for On-Road and Off-Road Motorcycle and ATVs

A document file name consists of four sections as shown below:

Confidentiality_ Applicability_ Information Type_ Version Indicator. EXT

Each section has elements as listed in the following table:

Section 1 **Confidentiality** (3 characters + underscore)	Section 2 **Applicability** (12 characters + underscore)	Section 3 **Information Type** (7 characters + underscore)	Section 4 **Version Indicator** [5] (3 characters)
• **CBI_:** a confidential file that will not be released to the public • **FOI _:** a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce	• **Engine Family Name_:** an individual engine family related file • [1]**XXXXX_COMMON_:** any Common Information submittals • [2]**XXXXARB_RED_:** California Red Sticker vehicles • **Evaporative Family Name_:** an individual evaporative family related file *Note:* *[1] "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"* *[2] "XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR code"*	**Application for Certification** • **APP_INI_:** Initial Application submittal • **APP_FIN_:** Final Application submittal • **APP_Cnn_:** application running change • **APP_Fnn_:** application field fix (Where nn= 01 ~99 in numerical order) **Other Standalone Documents (To be updated as needed)** **Request for Approval (RFA*[3]):** • **RFA* LAB_:** label content • **RFA*DFP_:** durability plan • **RFA*CAP_:** Corp. Ave. plan • **RFA*PLT_:** Production Line Testing Plan • **RFA*STP_**: Special Test Procedure • **RFA*ABT_:** Averaging, Banking , Trading Plan • **RFA*WAR_:** Warranty Statement • **RFA*FTP_:** Functional Test Plan • **RFE*PHS_:** Phase In Plan **Correspondence (LTR*[3]):** • **LTR*LOI_:** Letter of Intent **Compliance Reports (CR#*[3][4]):** • **CR#*DRE_:** Defect report • **CR#*PDR _:** Production report • **CR#*ABT_ :** ABT report • **CR#*PLT_ :** Production Line Test report • **CR#*VIN_:** Vehicle VIN report • **CR#* CAR_:** Corporate Averaging report • **CR#*VER_ :** Voluntary emission recall report • **CR#*QTR_:** Quarterly Production Report *(ARB only)* *Note:* *[3] "*" alphanumeric (1,2,3… or A,B,C,..)* *[4] "#"should be 0, 1, 2, 3,… etc. represents Report No.1 or first quarter, Report No.2 or second quarter, …*	• **R00:** original • **R01:** 1st revision • **R02:** 2nd revision • **R03 ….**.. etc. *Note:* *[5]* **EPA ONLY** *Do not include version indicator for ARB*

Table A-4 — File Naming Convention for Off-Road Documents (Revised on 3/15/07)

An ARB document file name consists of three sections as shown below:

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

Section 1 **Confidentiality** (3 characters + underscore)	Section 2 **Applicability** (12 characters + underscore)	Section 3 **Information Type** (7 characters + underscore)
• **CBI_:** a confidential file that will not be released to the public • **FOI _:** a non-confidential file after removing confidential information from a CBI file so that it is readily releasable to the public after your vehicles/engines are introduced into commerce	• [(1)]**XXXXXyyyyZZZ_:** any related engine family information submittals • [(2)]**XXXXX_COMMON_:** any Common Information submittals • [(3)]**XXXXEyyZZZZZ_:** Individual evaporative family related file for California **SORE**. **Note:** *(1) XXXXX is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle/engine category code"; "yyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator (for SSIE, the first "Z" is the class code and the remaining "ZZ" is the manufacturer's own engine family designator).* *(2) "XXXXX" is the first five characters of an EF name, e.g. "model year + EPA MFR code + vehicle/engine category code"* *(3) "XXXXE" are the first five characters of the mfr's evaporative family name, it consists of "model year + EPA MFR code + Evaporative category code"; "yy" is the ARB evap/permeation code; "ZZZZZ" is the manufacturer's own evaporative family designator (this is meant to be a easy way of recognizing SSIE evap and is not meant to replace the 2 letter evap family code specified in TP-902, nor is it considered an EPA Family Name).*	**Application for Certification** • **APP_CSS_:** cert. summary Sheet (Marine & LSI Database Files Only) • **APP_PRM_:** primary application • **APP_SUP_:** supplemental application • **APP_EPA_:** EPA Application (Marine) • **APP_FLX_:** flexibility application (OFCI) • **APP_Cnn_:** application running change • **APP_Fnn_:** application field fix (Where nn= 01 ~99 in numerical order) **Other Standalone Documents (To be updated as needed)** **Request for Approval ("RFA*[(4)]"):** • **RFA*LAB_:** label content • **RFA*DFP_:** durability plan • **RFA*PHS_:** Phase In Plan • **RFA*CAP_:** Corp. Ave. plan • **RFA*PLT_:** Production Line Testing Plan • **RFA*ATP_**: Alternative Test Procedure • **RFA*ABT_:** Averaging, Banking , Trading Plan • **RFA*WAR_:** Warranty Statement • **RFA*OBD_:** On-Board Diagnostics • **RFA*TRM_:** Tamper-resistance • **RFA*ACD_:** Auxiliary Emission Control Device • **RFA*ECA_:** Engine Cooling (Auxiliary) • **RFA*EVP_:** Evaporative Plan • **RFA*OTH_:** Other document **Correspondence (LTR*[(4)]):** • **LTR*LOI_:** Letter of Intent • **LTR*SOC_:** statement of compliance • **LTR*OTH_:** Other letters and non-approval documents **Compliance Reports (CR#[(5)]):** • **CR#*DRE_:** Defect Report • **CR#*ABT_:** Averaging Banking Trading Summary • **CR#*QTR_:** Quarterly Production Report *(ARB Only)* • **CR#*PLT_:** Production Line Test report • **CR#*PHS_:** Phase-in Compliance Report • **CR#*FLX_:** Flexibility Engine Production Report (OFCI) **Note:** *(4) "*" alphanumeric (A,B,C,etc… or 1,2,3,etc…)* *(5) "#"should be 1,2,3… etc. Represents Report No. 1 for first quarter, Report No. 2 for second quarter, …; for mid-year flexibility report "#" should be 6; for end of year summary report "#" should be 9.*

APPENDIX B.
Document Types and Metadata for ARB DMS

Table B-1 — Document Types and Associated Metadata for On-Road Light Duty Category

Document Type	Description	Metadata Name	Valid Values
LD FOIA Certification Application-Common Section	Common Section of Certification Application FOIA Version	Manufacturer	
		Model Year	
		Application Type	Part 1
			Part 2
		Vehicle Class	PC
			PC/LDT
			LDT
			MDV
		Upload Date	
LD FOIA TG Certification Application-TG Specific	Specific Test Group Application for Certification FOIA Version	Manufacturer	
		Model Year	
		Test Group	
		Application Type	Part 1
			Part 2
			Field Fix
			Running Change
		Vehicle Class	PC
			PC/LDT
			LDT
			MDV
		Upload Date	
LD CBI Certification Application-Common Section	Common Section of Certification Application CBI Version	Manufacturer	
		Model Year	
		Application Type	Initial Part 1
			Update Part 1
			Final Part 1
			Initial Part 2
			Update Part 2
			Final Part 2
		Vehicle Class	PC
			PC/LDT
			LDT
			MDV
		Upload Date	
LD CBI TG Certification Application-TG Specific	Specific Test Group Application for Certification CBI Version	Manufacturer	
		Model Year	
		Test Group	
		Application Type	Initial Part 1
			Update Part 1
			Final Part 1
			Initial Part 2
			Final Part 2
			Running Change
			Field Fix
			Cert. of Conformity
		Vehicle Class	PC
			PC/LDT
			LDT
			MDV
		Upload Date	

Table B-1 — Document Types and Associated Metadata for On-Road Light Duty Category (Cont.)

Document Type	Description	Metadata Name	Valid Values
Letters/Submitals	Letters Submitted by ARB/MFR	Manufacturer	
		Model Year	
		Document Type	ARB Authored Letters
			MFR Authored Letters
			OBD2 Approval
			Signed EO
		Upload Date	
Certification Preview Plan (CPP)	Certification Preview Plan	Manufacturer	
		Model Year	
		Document Type	CPP
		Upload Date	
LD Correspondence	Manufacturer Correspondence	Manufacturer	
		Model Year	
		Upload Date	
		Correspondence Type	Evap
			Exhaust
			Durability
			SFTP
			OBD
			Misc
			Emails
Reports (Post Cert)	Periodic Reports Submitted by Manufacturer	Manufacturer	
		Report Type	Quarterly Prod. Report
			NMOG/VEC Report
			Cert Fee Document
			Year End Production Report
			Assembly Line Procedure/Functional Test Plan
			Title 13
			Phase-in Plans
		Upload Date	
		Model Year	
Publications (Post Cert)	Publications (i.e. service manuals, owners manuals, warranty books, etc.)	Manufacturer	
		Publication Type	Warranty Manual
			Owners Manual
			Service Manual
			TSB
		Publication Date	
		Model Year	
		Model(s)	

Table B-2 — Document Types and Associated Metadata for On-Road Motorcycle Category

Document Type	Description	Metadata Name	Valid Values
Complete CBI -Common Section	Common Section of Certification Application CBI Version	Manufacturer	
		Model Year	
		Common Info Type	CAP
			Common Section
			Letter of Intent
			Warranty
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Compliant ATV
			Non-Compliant OFMC
			eGC
		Submission Date	
Complete CBI –Application Engine Family Specific	Initial/Update application for Certification for a Specific Eninge Family	Manufacturer	
		Model Year	
		Application Type	Field Fix
			Running Change
			Initial/Update Application
		Engine Family	
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Compliant ATV
			Non-Compliant OFMC
			eGC
		Submission Date	
Correspondence	General manufacturer correspondence not related to a particular engine family	Manufacturer	
		Model Year	
		Vehicle Calss	Compliant ATV
			Compliant OFMC
			HMC
			Non-Compliant ATV
			Non-Compliant OFMC
			eGC
		Submission Date	
FOIA Common Section	Common Section Information submitted with non-confidential information	Manufacturer	
		Model Year	
		Info Type	Common Section
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Complaint ATV
			Non- Compliant OFMC
			eGC
		Submission Date	

Table B-2 — Document Types and Associated Metadata for On-Road Motorcycle Category (Cont.)

Document Type	Description	Metadata Name	Valid Values
FOIA Application	Engine Family specific applications submitted with non-confidential items	Manufacturer	
		Model Year	
		Engine Family	
		Application Type	Field Fix
			Running Change
			Initial/Update Application
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Complaint ATV
			Non- Compliant OFMC
			eGC
		Submission Date	
Reports (Post Cert)	Periodic Reports Submitted by Manufacturer	Manufacturer	
		Model Year	
		Report Type	Cert Fee Document
			Quarterly Prod. Report
			Vin Report
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Complaint ATV
			Non- Compliant OFMC
			eGC
		Submission Date	
Publications (Post Cert)	Publications (i.e. service manuals, owners manuals, warranty books, etc.)	Manufacturer	
		Model Year	
		Publication Type	Warranty Manual
			Owners Manual
			Service Manual
			TSB
			Set-up Assembly (MC) Procedure
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Complaint ATV
			Non- Compliant OFMC
			eGC
		Submission Date	

Table B-3 — Document Types and Associated Metadata for Heavy-Duty Category

Document Type	Description	Metadata Name	Valid Values
CBI – Certification Application	CBI – Application for Certification – HD Engine Family Specific	Manufacturer	
		Model Year	
		Engine or Evaporative	
		Vehicle Class	CA_MDE
			CA_MDEV
			HDE
			HDH
			HDV
		Submittal Type	AECD-Auxillary Emission Control Devices
			After Treatment Devices Tech Description
			Application
			Compliance Statement
			Cover Letter
			DF Test Plan
			EPA CofC
			Field Fix
			Idling Compliance
			Label
			NTE Declaration
			OBD/EMD
			Running Change
			Tamper Resistance
			UAF/DAF
		Upload Date	
Certification Preview Plan (CPP)	Certification Preview Plan (CPP) Material	Manufacturer	
		Submittal Type	CPP Material
			Phase In
			Summary ABT Plan
			Summary Phase-In Plan
		Plan Date	
		Upload Date	
Common Material	Application Common Information	Manufacturer	
		Model Year	
		Submittal Type	ABT Plan
			After treatment Devices Tech Description
			Compliance Statement
			DF Test Plan
			Delegated Assembly Document
			Evaporative
			General Technical Description

Table B-3 — Document Types and Associated Metadata for Heavy-Duty Category (Cont.)

Document Type	Description	Metadata Name	Valid Values
			Idling Compliance
			Label
			OBD/EMD
			Phase-In Plan
			Tamper Resistance
			UAF/DAF
			Warranty
		Vehicle Class	CA_MDE
			CA_MDEV
			HDE
			HDH
			HDV
		Upload Date	
Correspondence	Manufacturer general correspondence	Manufacturer	
		Subject	Approval Date
			OBD/EMD
			Request for Approval
			Signed Letter of Authorization
		Correspondence Date	
		Submission Date	
FOIA-Certification Application	FOIA – Application for Certification –(public accessible/non-confidential)	Manufacturer	
		Model Year	
		Engine or Evaporative	
		Vehicle Class	CA_MDE
			CA_MDEV
			HDE
			HDH
			HDV
		Submittal Type	AECD-Auxillary Emission Control Devices
			After Treatment Devices Tech Description
			Application
			Compliance Statement
			Cover Letter
			DF Test Plan
			Field Fix
			Idling Compliance
			Label
			NTE Declaration
			OBD/EMD
			Running Change

Table B-3 — Document Types and Associated Metadata for Heavy-Duty Category (Cont.)

Document Type	Description	Metadata Name	Valid Values
		Submittal Type (Cont.)	Tamper Resistance
			UAF/DAF
		Upload Date	
Publications	Publications (i.e. service manuals, owners manual, etc.)	Manufacturer	Body Builder's Guide
		Publication Type	Owner Manual
			Service Manual
			TSB
			Warranty Manual
		Publication Date	
		Model Year	
		Model(s)	
Reports	Periodic reports submitted by manufacturers	Manufacturer	
		Report Type	ABT Annual Report
			ABT Quarterly Report
			Cert Fee Production Report
			Phase-In Compliance Report
		Upload Date	
		Model Year	

Table B-4 — Off-Road Document Types and Associated Metadata (Revised on 3/16/07)

Document Type	Description	Metadata Name	Valid Value
ABT Report	Manufacturers Averaging, Banking, and Trading (ABT) Initial, End-of-Year, and Final Reports	Manufacturer	Text
		Model Year	Number
		Approval Num	Text
		Category	SSIE/LSIE/OFCI/SIME
		Report Type	Initial/End-of-year/Final
		Upload Date	File ID
		Cert. Type	Selection (Exhaust/Evap)
Alternate Test Procedure	Special Test Procedures used by the engine manufacturer ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Cert. Type	Selection (Exhaust/Evap)
Application	The Manufacturer's application for Certification. ***SSIE & OFCI: Engine Family SIME & LSIE: Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Model Year	Number
		Family Name	Text
		EO Number	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Status	Selection (New/Correction)
		Cert. Type	Selection (Exhaust/Evap/OFCI-Flex)
Authorization Letters	Letters Submitted to ARB designating the official manufacturer certification representative, who will be the accountable party, and letters indicating that all electronic signatures are legally binding.	Manufacturer	Text
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Subject	Selection (Cert Rep/e-signature/accountability)
		Model Year	Number
Auxiliary Emission Control Devices (AECD)	Manufacturers Documents related to Emission Control Devices ***Engine Family or Common***	Manufacturer	Text
		Model Year	Number
		Family Name	Text
		Approval Num	Text
		Device Type	Selection (Mechanical/ECM/PCM)
		Control Type	Selection (Idle/Full Throttle/ Intermediate/all/Other)
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Upload Date	File ID
Auxiliary Engine Cooling (SORE)	Information relating to Engines' Auxiliary Cooling method ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Cool method	Selection (AC/Blower/Fan/NA/Other)
		Approval Num	Text
Corporate Average Plan	Plans used by manufacturers who participate in the Averaging, Banking, and Trading (ABT) program. ***Common***	Manufacturer	Text
		Model Year	Number
		Credit Type	Selection (Credit/Debit)
		Trading	Selection (Yes/No)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Approval Num	Text
		Cert Type	Selection (Exhaust/Evap)
Correspondence	Letters sent to ARB from the Manufacturer and letters sent to the Manufacturer from ARB. ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Model Year	Number
		Subject	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Correspondence Type	Selection (ARB Letter/Mfr Letter/Email/LOI/SOC)

Table B-4 — Off-Road Document Types and Associated Metadata (Cont.) (Revised on 3/16/07)

Document Type	Description	Metadata Name	Valid Value
EPA Certificate of Conformity	The U.S. EPA's Certificate of conformity which authorizes the manufacturers to sell in the other 49 states. ***Engine Family***	Manufacturer	Text
		Model Year	Number
		Cert Number	Text
		Effective Date	Date
		Issue Date	Date
		FEL	Selection (Yes/No)
		Family Name	Text
Emission Durability Plan	Emission Durability Test Plans ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		DF Hours	Number
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Emission Type	Selection (Exhaust/Evap)
Emission Label Format	Format that the manufacturer intends to use for its emission labels ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Family Name	Text
		Approval Num	Text
		Label Type	Selection (Engine/Equipment/Air Index/Other)
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Cert Type	Selection (Exhaust/Evap/Combined)
Emission Warranty Statement	The warranty statement that the manufacturer submits ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Family Name	Text
		Approval Num	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Warranty Type	Selection (Exhaust/Evap/Combined)
Flexibility Engine Reports (OFCI)	Mid-Year and End-Year Production Reports of Off-Road Compression Ignition (OFCI) Flexibility Engines.	Manufacturer	Text
		Upload Date	File ID
		Executive Order	Text
		Model Year	Number
		Report Type	Selection (Mid-Year (6 month)/End of Year
Internal Document	Documents used and distributed by ARB staff and strictly for ARB internal use.	Upload Date	File ID
		Type	Selection (Letter/Email/MailoutMAC/Other)
		Subject	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
NECT/SEA Documents	Documentation sent and received from ARBs New Engine Compliance Testing (NECT) activities or EPAs Select Enforcement Auditing (SEA) activities.	Manufacturer	Text
		Model Year	Number
		Upload Date	File ID
		Test Cycle	Selection (Steady-State/Transient)
		Test Pollutant 1	Selection (HC/NOx/HC+NOx/CO/PM/All)
		Test Pollutant 2	Selection (HC/NOx/HC+NOx/CO/PM/All)
		Test Pollutant 3	Selection (HC/NOx/HC+NOx/CO/PM/All)
		Test Result	Selection (Pass/Fail)
Onboard Diagnostics (OBD) (Marine)	Onboard Diagnostics information ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		Cert Type	Selection (Exhaust/Evap)
Other	Any Additional Documents that Manufacturers need to submit ***Engine Family or Common***	Manufacturer	Text
		Upload Date	File ID
		Applicable	Selection (Engine Family/Evap Family/Combined)
		Family Name	Text

Table B-4 — Off-Road Document Types and Associated Metadata (Cont.) (Revised on 3/16/07)

PLT Report	Manufacturers Production Line Testing (PLT) Quarterly and End-of-year reports ***Common*** ***Note: Does not apply to Evap or OFCI***	Manufacturer	Text
		Model Year	Number
		Approval Num	Text
		Plan Type	Selection (1%/CumSum)
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Report Type	Selection (Quarterly/End-of-year)
		Upload Date	File ID
		Family Name	Text

Table B-4 — Off-Road Document Types and Associated Metadata (Cont.) (Revised on 2/13/06)

Document Type	Description	Metadata Name	Valid Value
PLT Sampling Plan	Production Line Testing sample plan submitted by manufacturers prior to production. ***Common*** ***Note: Does not apply to Evap of OFCI***	Manufacturer	Text
		Model Year	Number
		Approval Num	Text
		Plan Type	Selection(1%/CumSum)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
Phase-In Plan	Plans used by manufacturers to outline their intentions to meet new regulations or production requirements. ***Common***	Manufacturer	Text
		Model Year	Number
		Credit Type	Selection(Credit/Debit)
		Trading	Selection (Yes/No)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Approval Num	Text
		Phsin Months	Number
Running Change	Supporting documents related to changes made to engine family after the engine has been certified. ***Engine Family***	Manufacturer	Text
		Model Year	Number
		Family Name	Text
		EO Number	Text
		Change Made	Selection (ECS, Model, Part, Corrections, Other)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		New EO Num	Text
		Cert Type	Selection (Exhaust/Evap)
Tamper Resistance	Manufacturers documents related to their meeting tamper resistance requirements ***Engine Family or Common*** ***Note: Does not apply to evap***	Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		Parts Mfr	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)

APPENDIX C.
DMS Workflow Process Naming Convention

C.1 On-Road Certification Categories

For Applications: MY_CBI(or)FOI_TG Name_Type of Submittal (follow rules from file naming convention)	
Examples of Types of Submittals	o **APPIPT1 – Initial Application** o **APPRCnn_EO (Running Change with EO)** o **APPRCnn (Running Change without EO)**

For Supporting Documents: MY_CBI(or)FOI _ MFR Code_ Type of Submittal_nn (where nn = 01 – 99)	
Examples of Types of Submittals	o **Common Section** o **Certification Preview Plan (CPP)** o **Correspondence Type** - Durability - Emails - Evaporative - Exhaust - Misc - SFTP o **Publication Type** - Owners Manual - Service Manual - TSB - Warranty Manual o **Report Type** - Assembly Line Test Plan - Cert Fee Document - NMOG-VEC Reports - Phase-In Reports - Quality Audit Production - Title 13 - Year End Report

C.2 Off-Road Certification Categories

Single Applications: Engine Family (EF) Name_Sub Category[1]_Sumbission Type[2]_App	
Examples of Types of Submittals	**7MFRM.123ABC_OUTBD_New_App**

Applications Grouped in one workflow process or Grouped Families (GF): First 5 EF Chars.GF_Sub Category[1]_Sumbission Type[2]_App	
Examples of Types of Submittals	**7MFRM.GF_OUTBD_R/C_App**

Support Documents: Category[1]_Model Year_ARB Mfr Code_Document Type[3]	
Examples of Types of Submittals	**SIME_2007_AMFR_CAP**

PLT/ABT Reports: Calender Quarter_Category_ARB Mfr. Code_PLT/ABT Reports	
Examples of Types of Submittals	**07Q1_SIME_AMFR_PLT Reports**

(1)Categories and Sub-Categories:

SSIE

Exh <50 = Exhaust less than 50cc
Exh 50-80 = Exhaust 50cc to 80cc inclusive
Exh 80-225 = Exhaust 80cc to 225 cc
Exh >225 = Exhaust greater than or equal to 225cc
Evp <80 = Evaporative less than 80cc
EvpWB 80-225 = Evaporative Walk-Behind Mowers 80cc to 225cc
Evp 80-225 = Evaporative Non Walk-Behind Mowers 80cc to 225cc
Evp >225cc = Evaporative Greater than or equal to 225cc
Cmbd = Combined Exhaust and Evaporative applications (typically less than 80cc)

SIME

INBD = Inboard
STRN = Sterndrive
INBST = Inboard Sterndrive
OUTBD = Outboard
PWC = Personal Watercraft

LSIE

GT1L = Greater than 1 Liter
LT1L = Less than 1 Liter

OFCI

Pwr <8 = Power less than 8 kW
Pwr 8-19 = Power $\geq$8 kW and <19 kW
Pwr 19-37 = Power $\geq$19 kW and <37 kW
Pwr 37-56 = Power $\geq$37 kW and <56 kW
Pwr 56-75 = Power $\geq$56 kW and <75 kW
Pwr 75-130 = Power $\geq$75 kW and <130 kW
Pwr 130-225 = Power $\geq$130 kW and <225 kW
Pwr 225-450 = Power $\geq$225 kW and <450 kW
Pwr 450-560 = Power $\geq$450 kW and $\leq$560 kW
PwrMM >560 = Power of Mobile Machines greater than 560 kW
PwrGEN 560-900 = Power of Generators >560 kW and $\leq$900 kW
PwrGEN >900 = Power of Generators greater than 900 kW

(2)Submission Type:

New = New Submission
R/C = Running Change
F/F = Field Fix
FEL = FEL Change

(3)Document Type:

See the file naming convention document for a list of document type codes.