California Environmental Protection Agency

Air Resources Board

USER'S GUIDE FOR ARB DMS

Version 1.0

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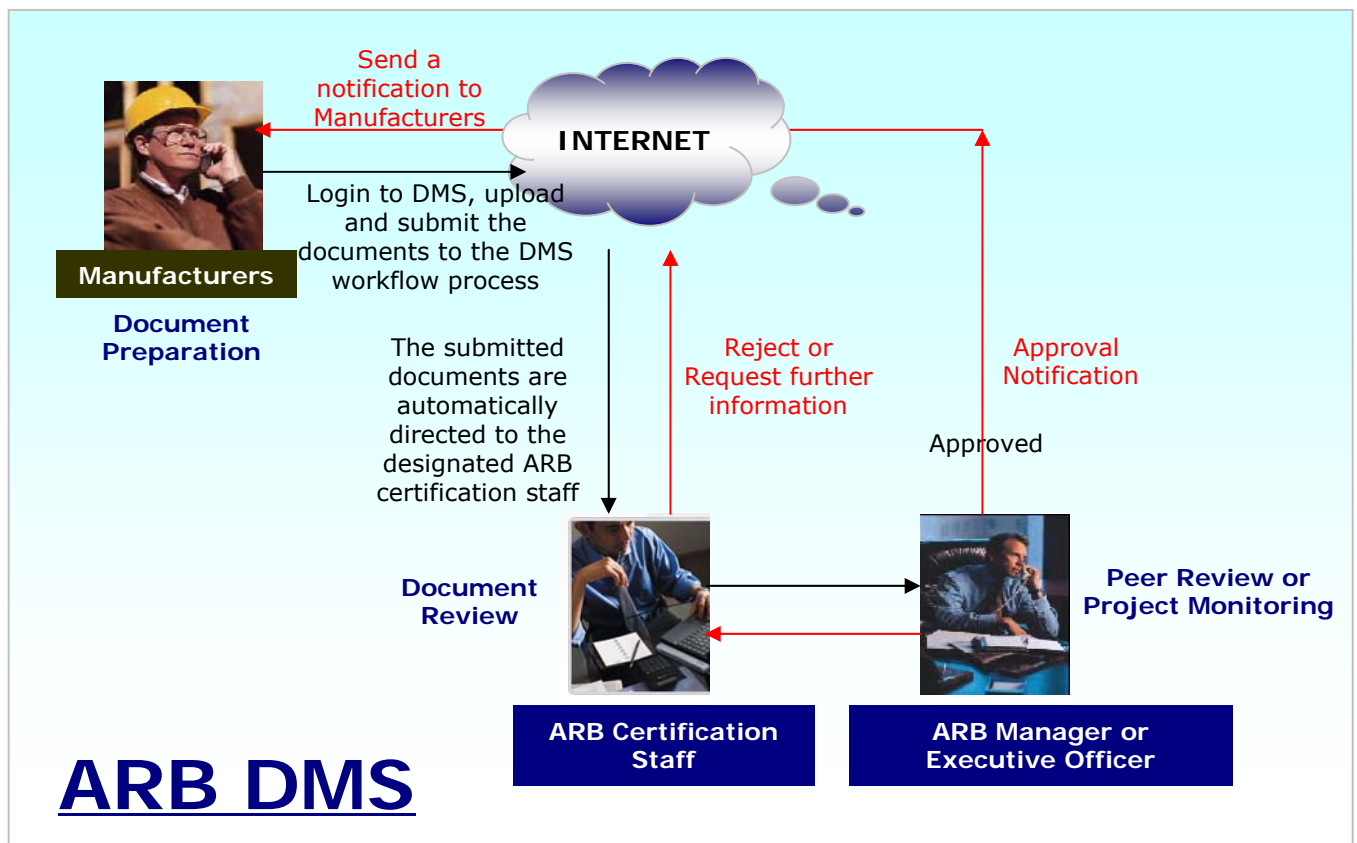
The contents of this User's Guide are organized and divided into the following sections based on the major steps manufacturers will follow to submit their documents to the ARB DMS via internet. Steps for DMS submissions and the corresponding sections detailing each step are illustrated in **Figure 1-2**.

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

Step	Corresponding Section
Naming the Documents	2. DOCUMENT PREPARATION
Choosing the Appropriate Folder in the Directory Tree	2. DOCUMENT PREPARATION
Uploading the Document	3. GETTING STARTED 4. FILE MANAGEMENT
Choosing Document Types	2. DOCUMENT PREPARATION 4. FILE MANAGEMENT
Saving the Document and Entering Metadata	4. FILE MANAGEMENT
Initiating Workflow	5. WORKFLOW PROCESSES

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

CBI_7AM4M_Common_RFA1ABT_.pdf

Confidentialty | Applicability | Information Type

(**3** Characters + Underscore) (**12** Characters + Underscore) (**7** Characters+ Underscore)
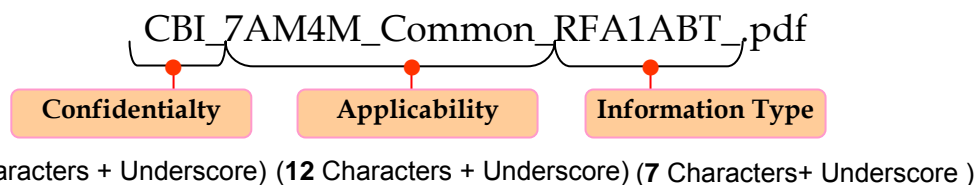
Figures 2-1 through **2-3** provide examples of each element of ARB's naming convention.

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

CBI_7AM4M_Common_RFA1ABT_.pdf

Confidentialty

(**3** Characters + Underscore)

> **"Confidentiality" type:**
>
> •**CBI_: Documents with Confidential Business Information with non-confidential information included**

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

CBI_7AM4M_Common_RFA1ABT_.pdf

Applicability   (**12** Characters + Underscore)
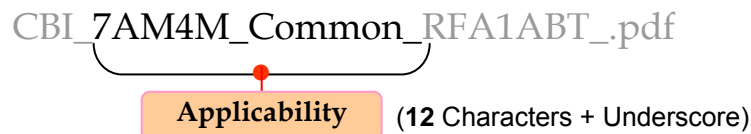
> ***"Applicability"* type associates the document with the engine family/test group or evaporative family by showing the family name as illustrated below:**
>
> **XXXXX_Common_: any documents common to more than one Engine Family/Test Group**
>
> **"7AM4M_Common_"**

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

CBI_7AM4M_Common_RFA1ABT_.pdf

Information Type   (**7** Characters + Underscore)
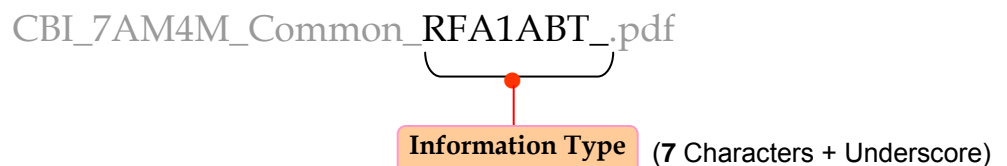
> ***"Information"* type includes the following naming options:**
>
> **Standalone Documents (To be updated as needed)**
>
> • **RFA*XXX_: Request For Approval,**
>   **Where "XXX_" may include:**
>   **ABT_: Averaging, Banking, and Trading Plan**

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. An example of the directory tree structure for on-road Passenger Car/Light Duty Truck (PC/LDT), Medium Duty Vehicle (MDV) and off-road Spark Ignition Marine Engine (SIME) categories are presented in **Figures 2-4** and **2-5**, respectively. The directory tree structure for all other categories will be provided as an appendix in the future.

Figure 2-4   **The Directory Tree of On-Road Medium-Duty Vehicles (MDV), Passenger Cars/Light-Duty Trucks (PC/LDT) Categories**
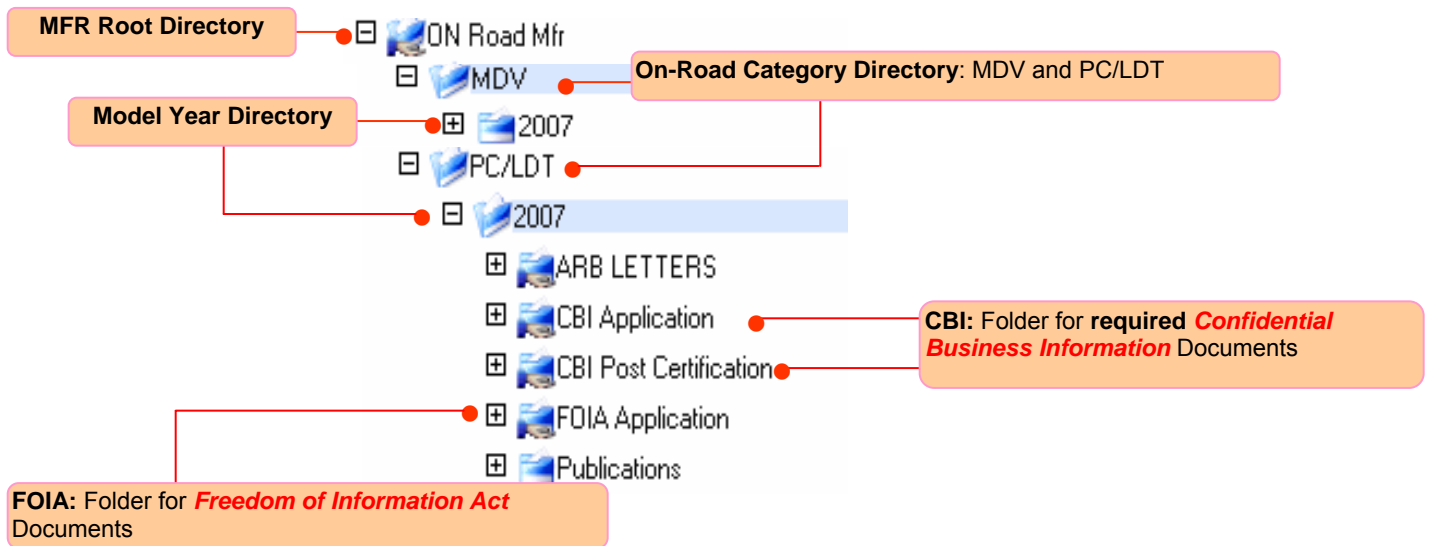
Figure 2-5   **The Directory Tree of Off-Road Spark-Ignition Marine Engine (SIME) Category**
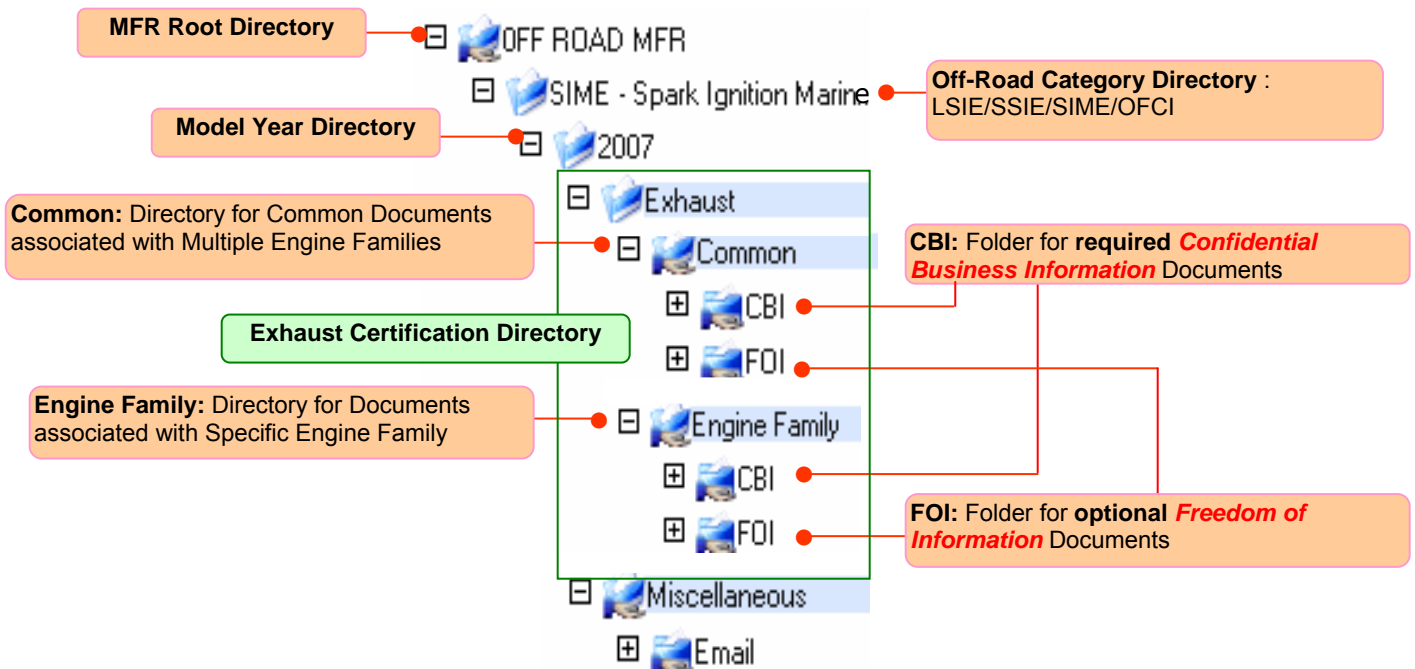
2.3   DOCUMENT TYPES AND METADATA

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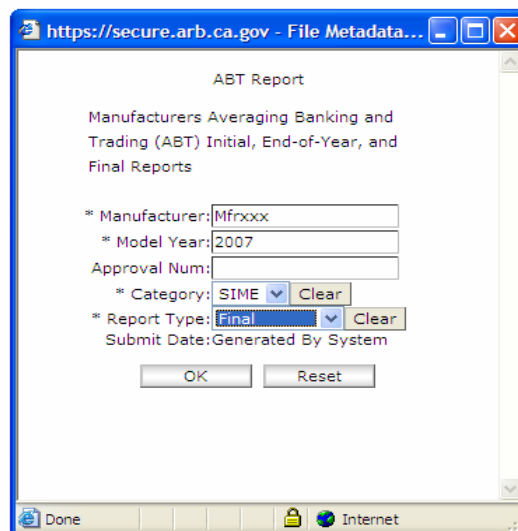
Additionally, after you select a document type in the DMS, you will have to complete the "metadata" attributes applicable to that specific document type. Metadata attributes are unique to each document type and allows the system to identify and locate a document by using specified attributes.

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 ABT Report* document type has metadata attributes: *Manufacturer*, *Model Year*, *Approval Number*, *Category*, *Report Type*, and *Submit Date*.

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 2-6 and 2-7** list available document types assigned to the folders in the directory tree of the on-road MDV, PC/LDT and off-road SIME categories, respectively.

Figure 2-6   Assigned Document Types for the Folders in the Directory Tree — On-Road MDV and PC/LDT Categories
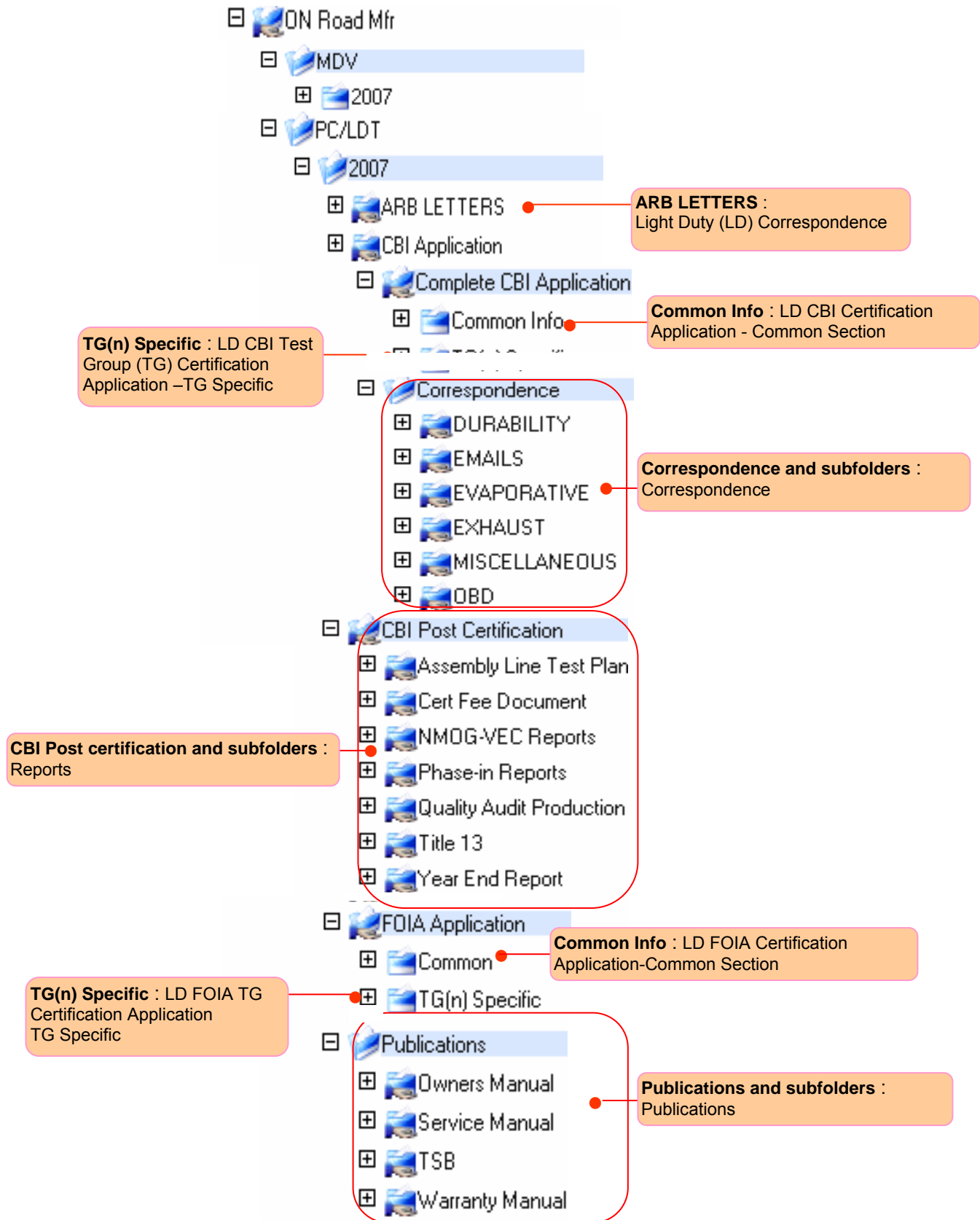
Figure 2-7   Assigned Document Types for the Folders in the Directory Tree — Off-Road Spark-Ignition Marine Engine (SIME) Category
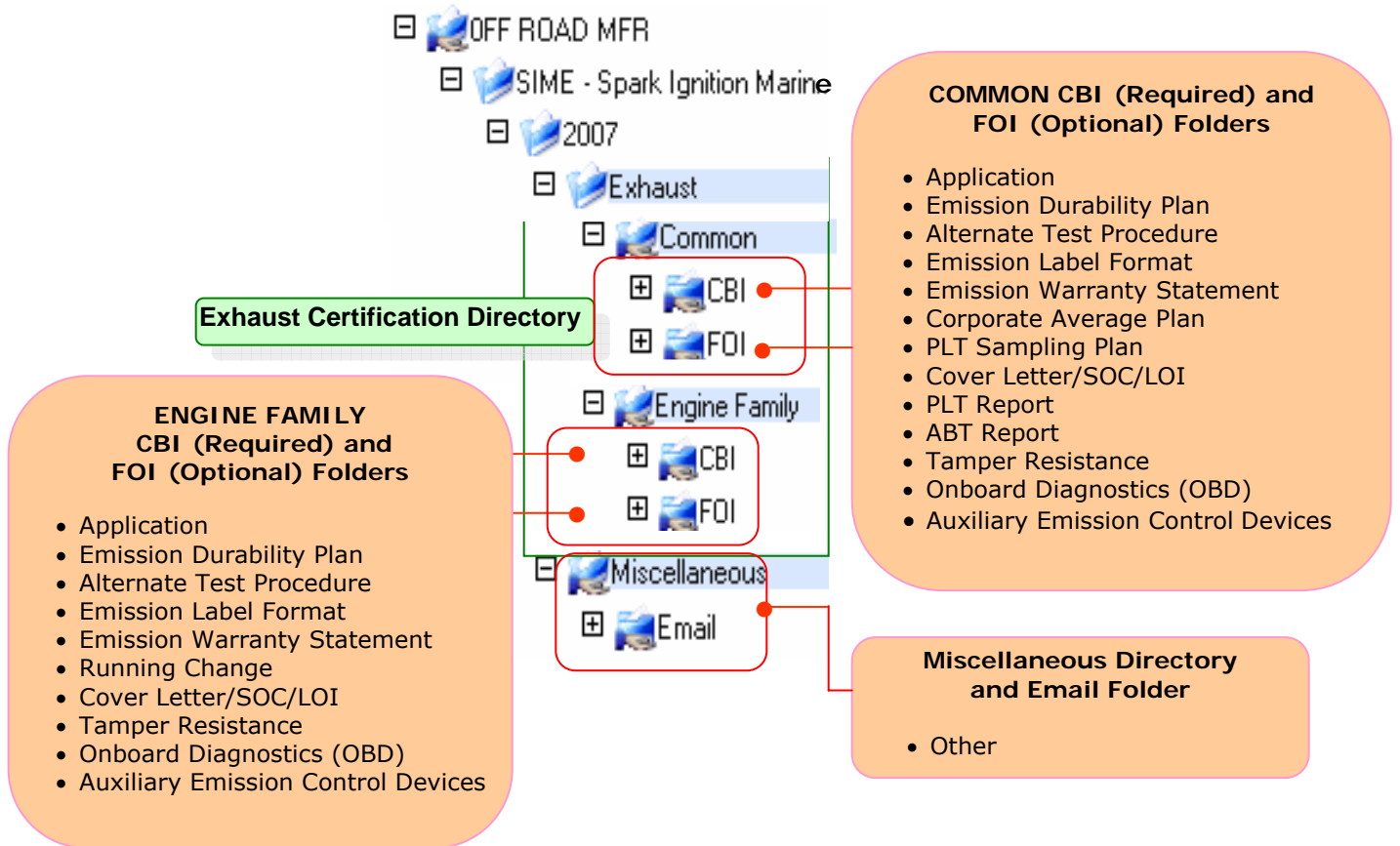
Please see Tables B-1 and B-2 in Appendix B for available document types with their associated metadata attributes for on-road PC/LDT, MDV and off-road SIME categories, respectively.

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_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

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 @ 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*
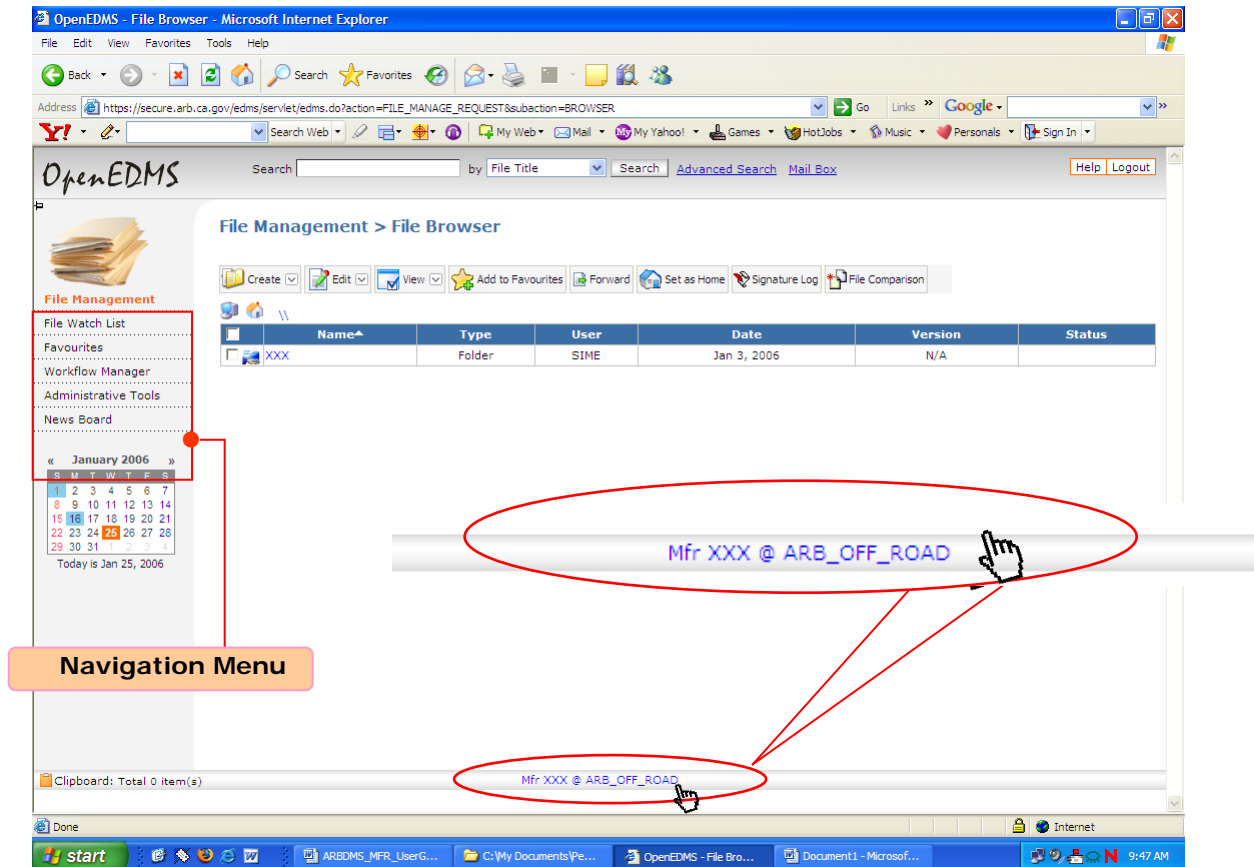
STEP 1 — From the **User Profile** screen (see **Figure 3-3**), type your new password in both input boxes: "**New Password**" and "**Confirmation**."

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

STEP 3 — Exit the **User Profile** screen by clicking **File Management** in the **Navigation Menu** to return to the **File Browser** screen. Do not click on the "**Back"** button otherwise you will get an error message.

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

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 **File Management> File Browser** screen. 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** screen layout for off-road SIME 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
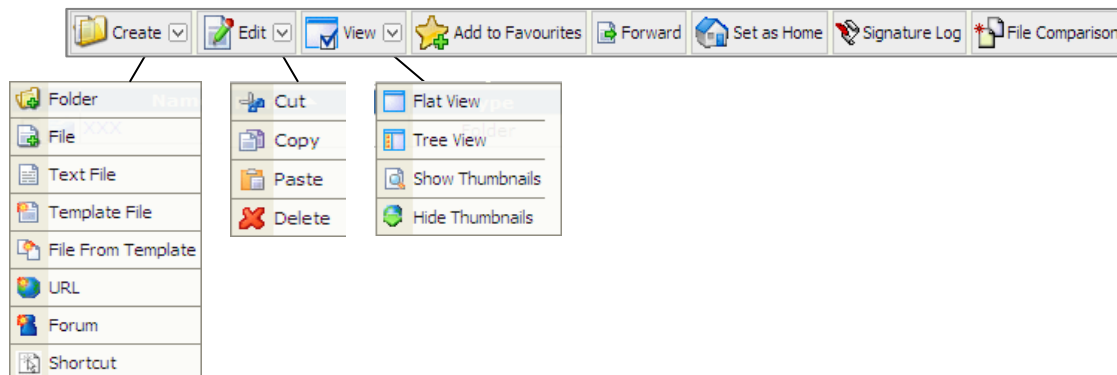
<u>Create</u>:

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.

<u>Edit</u>:

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.

<u>View</u>:

By using the **View** function, manufacturers can change the display setting by switching between two view options: *Flat View* and *Tree View*. The default view of DMS is "*Flat 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 "*Flat View*" and "*Tree View*" are provided in **Figures 4-3** and **4-4**, respectively.

Figure 4-3   File Browser — *Flat View*
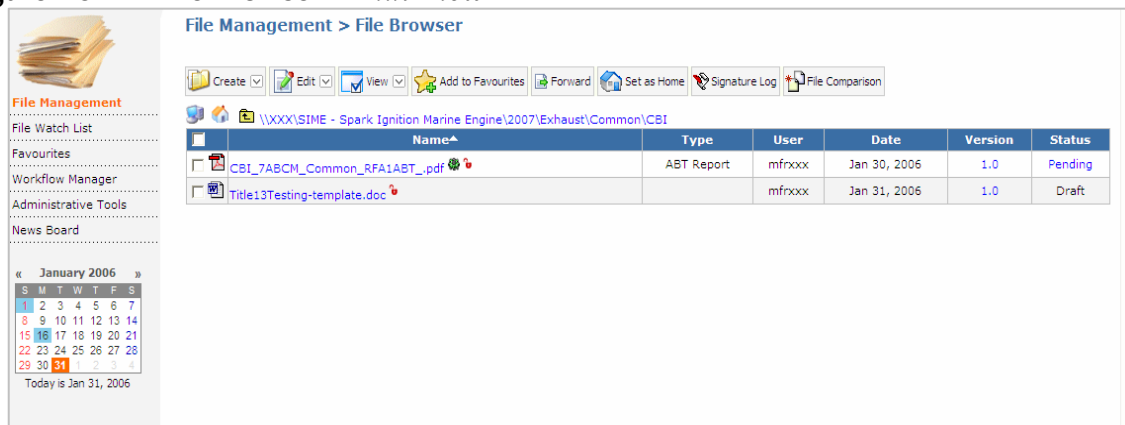
Figure 4-4   File Browser Screen — *Tree View*

4.2　DIRECTORY NAVIGATION

Depending on the view setting, *"Flat 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 *"Flat View"* or *"Tree View,"* directly click the name of the directory or folder.

- **Option 2**— In *"Flat View,"* left click the directory or folder icon ![icon] to open the drop-down file operational menu and select "*Open*."

- **Option 3**— In *"Tree View,"* click the ⊞ to expand the directory.

Flat View

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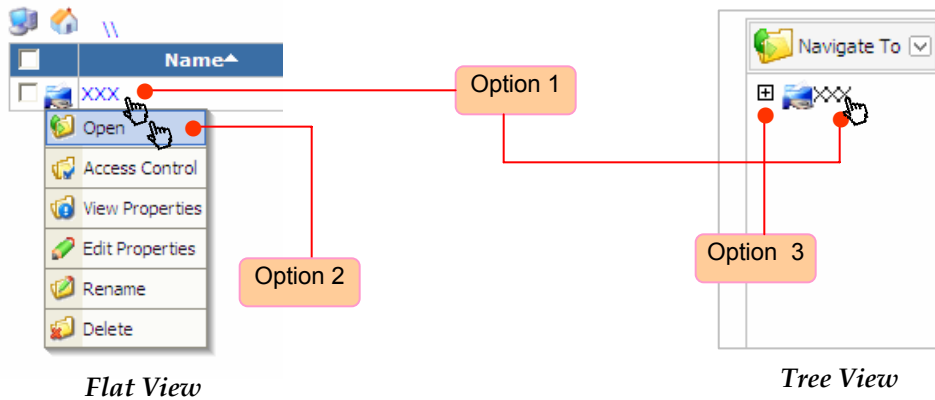
In the **File Browser** screen, manufacturers may find the directory tree structure similar to those commonly seen in the Microsoft Windows Operating System. You can navigate to the desired directory or folder using the above options.

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

Flat View:

Previous folder level.

Back to the previous folder level.

The path of the previous folder level to the current folder level.

Quickly navigate to the System Root Directory.

Quickly navigate to the directory that was set up as the **Home** directory using ![Set as Home] in the embedded toolbar.

Tree View:

Quickly navigate to the System Root Directory.

Quickly navigate to the directory that was set up as the **Home** directory using ![Set as Home] in the embedded toolbar.

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_7ABCM_Common_RFA1ABT_.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 **CBI** folder under the **Common** directory of 2007 Model Year Exhaust directory.

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

STEP 1 — Navigate to the desired folder (e.g., **CBI** folder under the **Common** directory). 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*
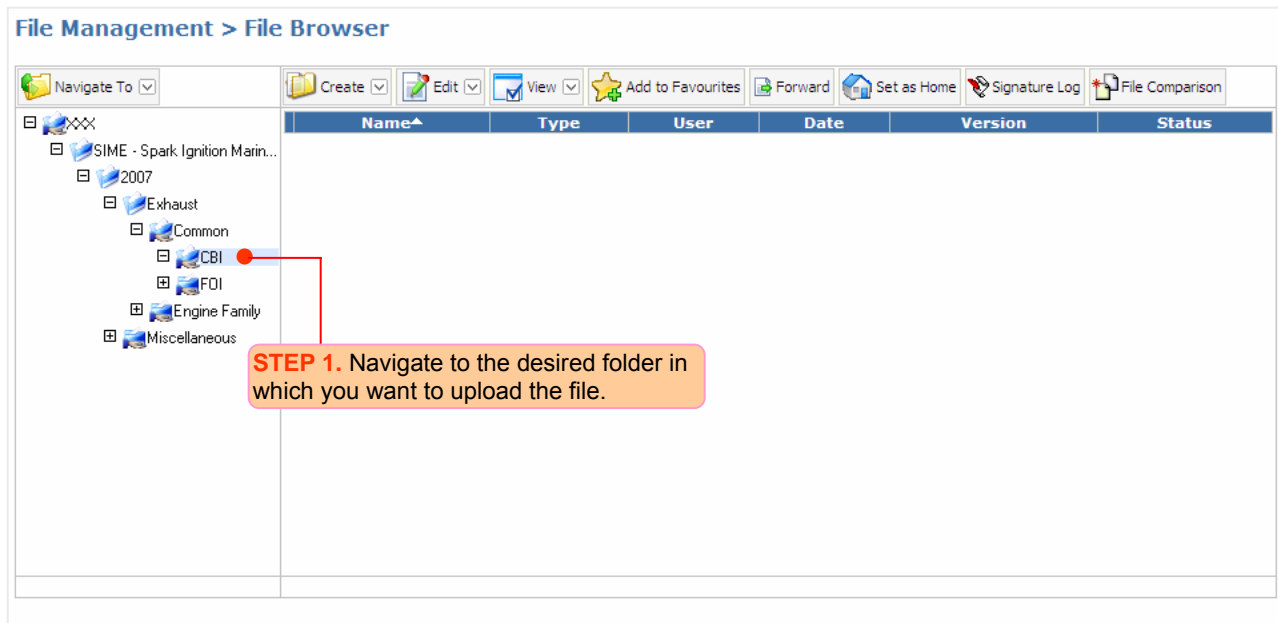
STEPS 2 & 3 — Once in the desired **CBI** folder, click the "**Create"** menu on the embedded toolbar and select the "**File"** function to open the **Upload File** screen as shown in **Figure 4-6**.

Figure 4-6   How to Upload the Documents to the ARB DMS — *Create (Upload) File*
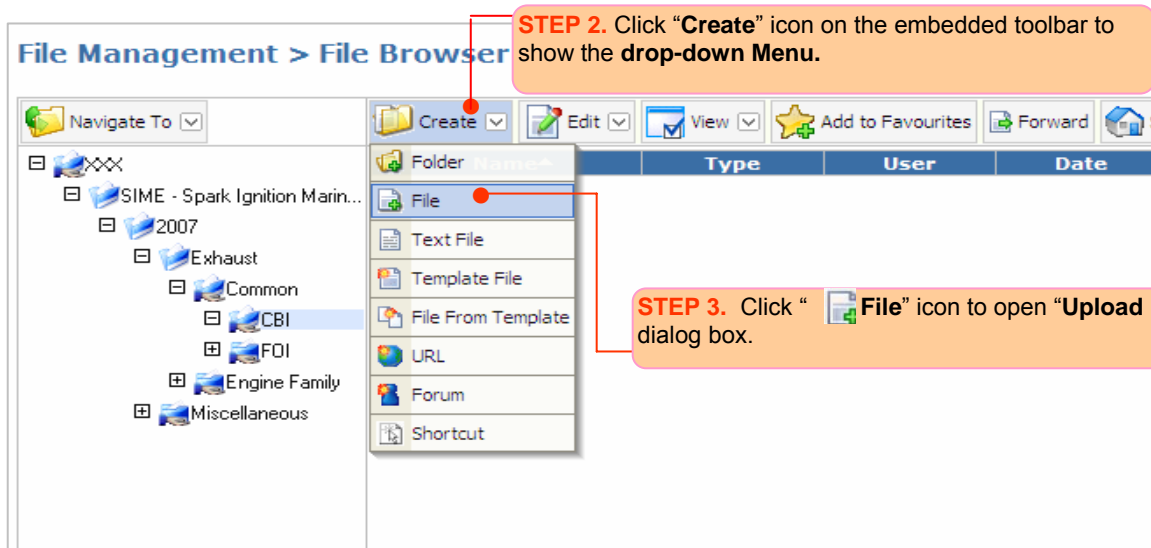
STEP 4 — When the **Upload File** screen opens, click the "**Browse**" button to browse and select the local files to be uploaded to the DMS server. See **Figure 4-7**.

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_7ABCM_COMMON_RFA1ABT_.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.

STEP 6 — Next, 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 "**ABT Report**" document type.

STEP 7 — Double click on the selected document type (e.g., ABT Report) to open the "**File Metadata Dialog box**." 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. Once the metadata attributes are completed, click on the "**OK**" button to close the metadata dialog box.

STEP 8 (Optional) — In the **Upload File** dialog box, you can also provide a brief abstract 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 9 (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 10 — To complete the process, click on the "**Upload**" button to upload the file to the folder where you executed the **Create** function. In this example, the example document was uploaded to the Common\CBI folder.

Figure 4-7   **How to Upload the Documents to the ARB DMS —** *Upload File Dialog Box*

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 Process. Please note that if the file has been named incorrectly, ARB staff will delete the file and ask the manufacturer to resubmit the file with the proper file name. Additionally, the file must be submitted to the Workflow in order for documents to be reviewed by ARB staff. If it is not submitted, staff will not receive notification that new documents have 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 Manager — *Process Manager*
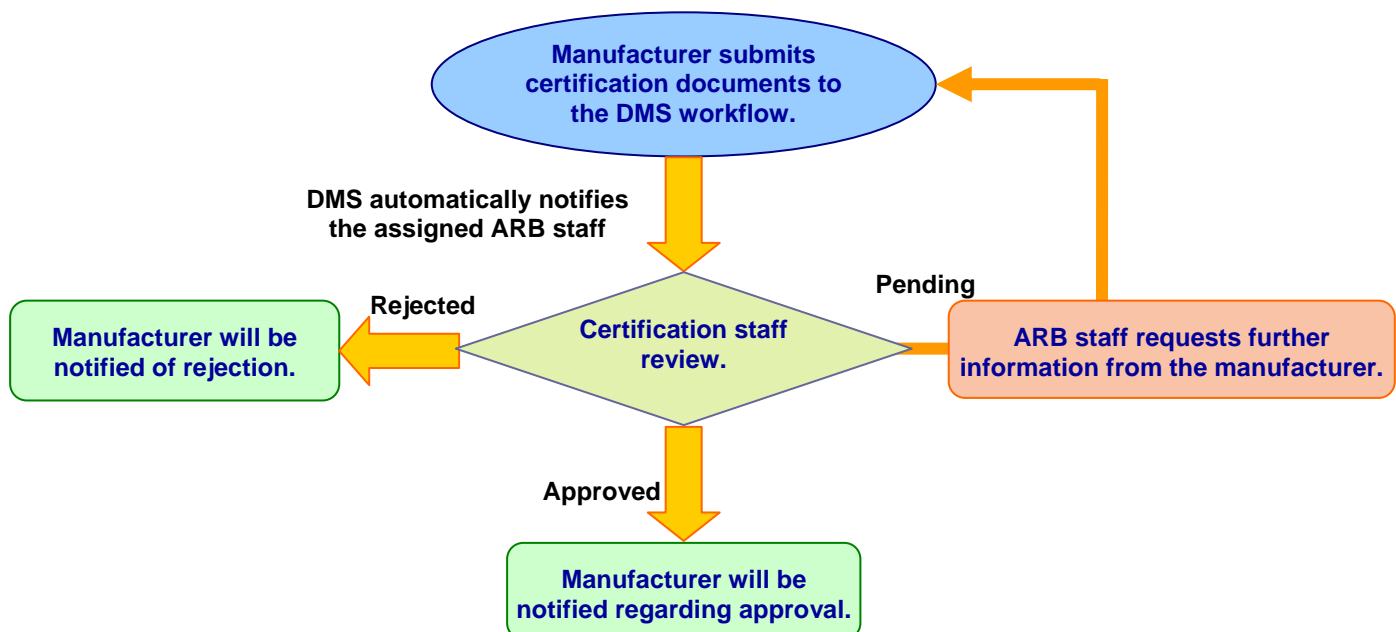
5.2 LIST OF WORKFLOW TEMPLATES FOR ON-ROAD AND OFF-ROAD MANUFACTURERS

In the ARB DMS, the workflow templates are defined based on specified document types and their review and approval processes. **Tables 5-1** and **5-2** list available workflow templates for the on-road LD and the off-road SIME categories, respectively. The workflow templates for other certification categories will be defined and added before their phase-in into the ARB DMS.

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

No.	Workflow Template Name	Document Types
1	FOIA LD Application Submission	• LD FOIA Certification Application –Common Section • LD FOIA Certification Application - TG Specific
2	CBI LD Application Submission	• LD CBI Certification Application –Common Section • LD CBI Certification Application - TG Specific
3	LD Correspondence Submission	• LD Correspondence
4	LD Post Certification Submission	• Reports
5	LD Publication Submission	• Publications

Table 5-2 Workflow Templates for the Off-Road SIME Category

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

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*
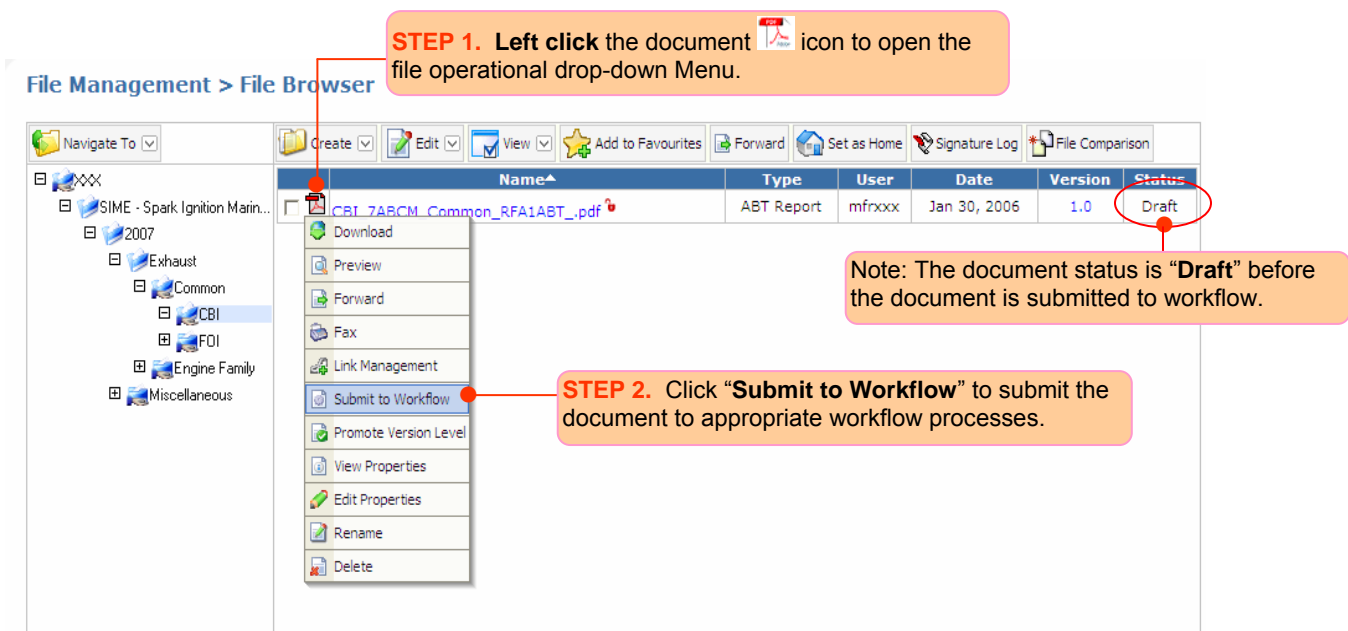
Based on the document type of the file (e.g., ABT report), you will see the available active workflow template(s). The workflow template only accepts documents submitted from the repository if a document type has been previously associated to the workflow. In this example, you will see "Approval of Mfr ABT or PLT Report" is the only available active workflow template since Mfr XXX is submitting the document with the **ABT Report** document type. Please refer to **Tables 5-1** and **5-2** 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 — Provide a "**Process Name**" which is meaningful to you for future reference or search index. The process name that you provide will be used as the process name of your submission. If additional information is needed, you will receive an e-mail notification making reference to this name. You can use your ARB manufacturer code, followed by the document type underscore followed by a number. You may also use the filename of the document.

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 Workflow Manager — *Process Manager Screen*

Once you click the "**Submit**" button as seen in **Figure 5-4**, the **Process Manager** screen under the **Workflow Manager** Section 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 ABT report has been submitted successfully since the process name called "**Request for Approval of Mfr XXX's Final ABT Report**" is listed in the pending process.
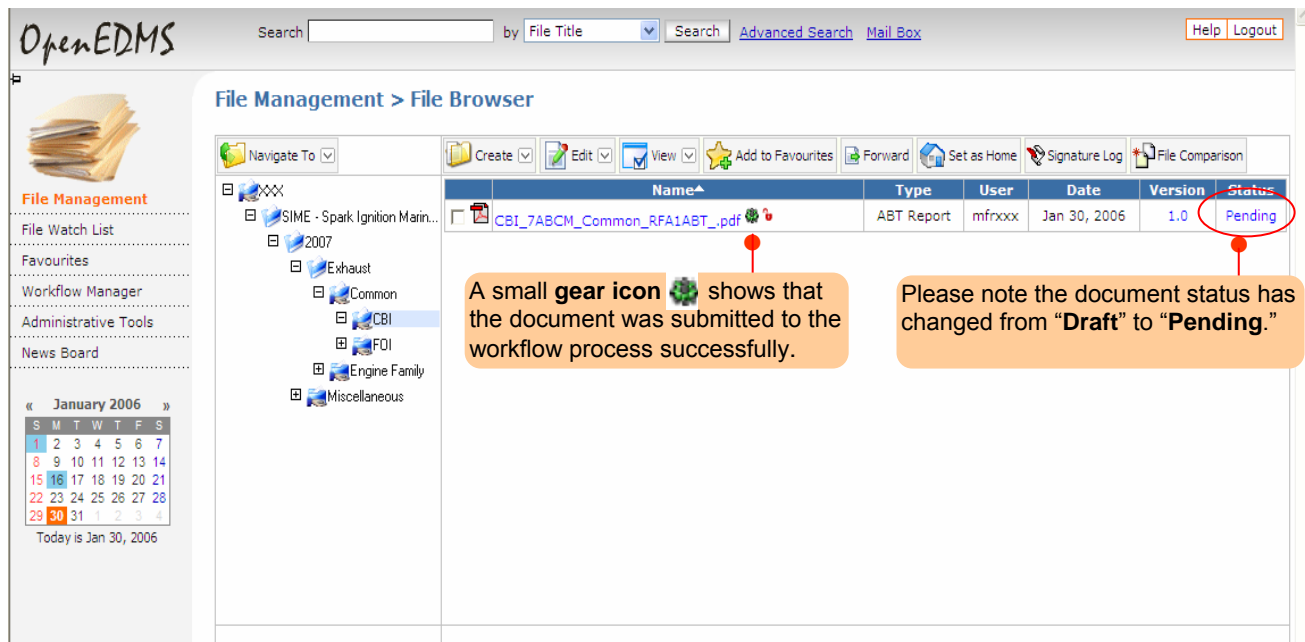
Figure 5-5   **Checking the Status of Documents Submitted to the Workflow Process** — *Workflow Manager >Process Manager Screen*

(2)   From File Manager—*File Browser Screen*

Another method to check the status of documents submitted to the workflow is shown in **Figure 5-6**. From the **File Browser** screen under the **File Manager**, 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).

Figure 5-6   Checking the Status of Documents Submitted to the Workflow Process *— File Manager>File Browser Screen*

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 "**Workflow Manager**" in the **Navigation Menu** to go to **Workflow Manager>Process Manager** Screen. 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 Manager>Process Manager Screen*

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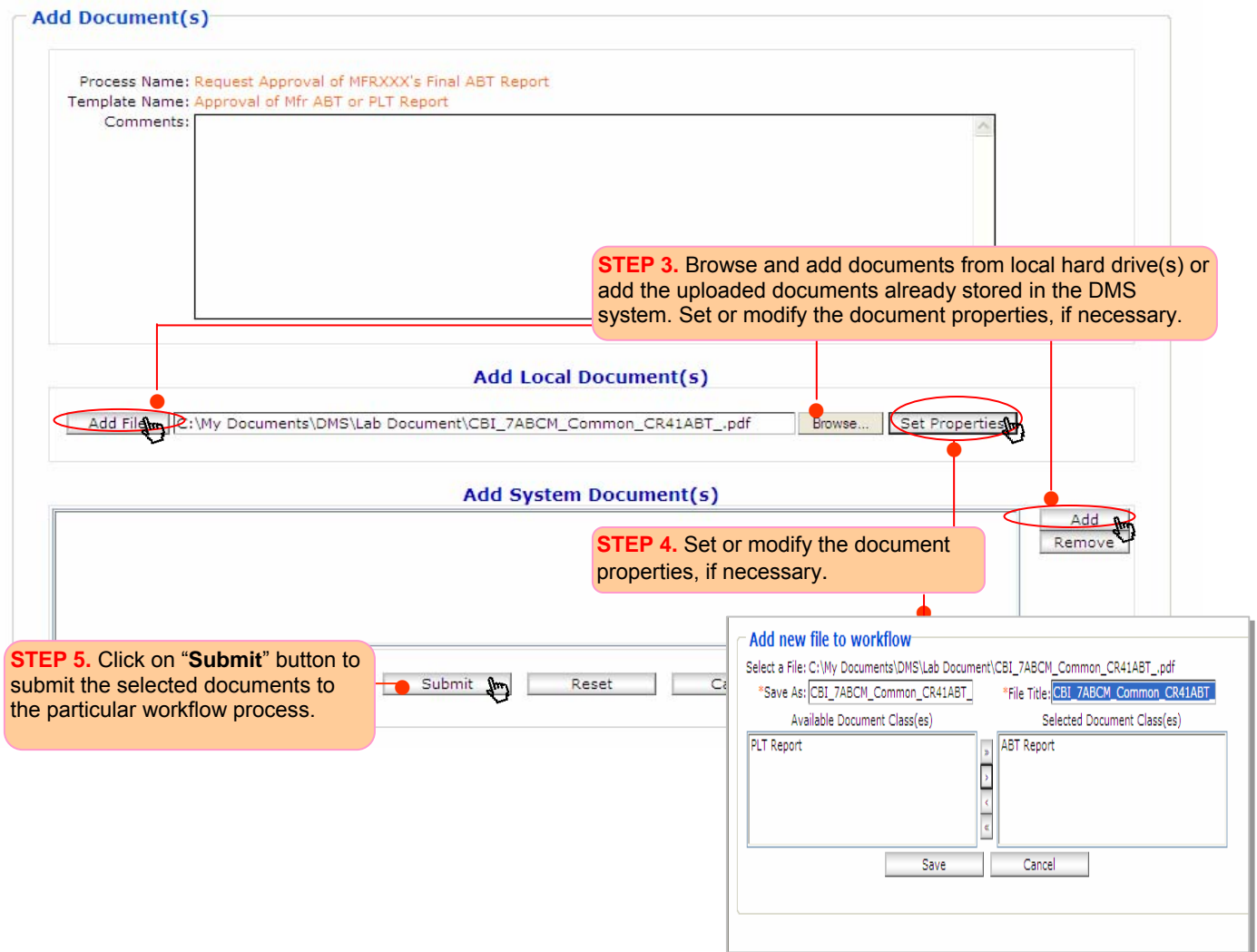
STEP 6 — To check the status of your additional submission, go to **File Management> File Browser** and navigate to the folder where the original document submitted to workflow is being stored (e.g., CBI folder). You will find here the display of the additional document that you just submitted to the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

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

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 comment 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*
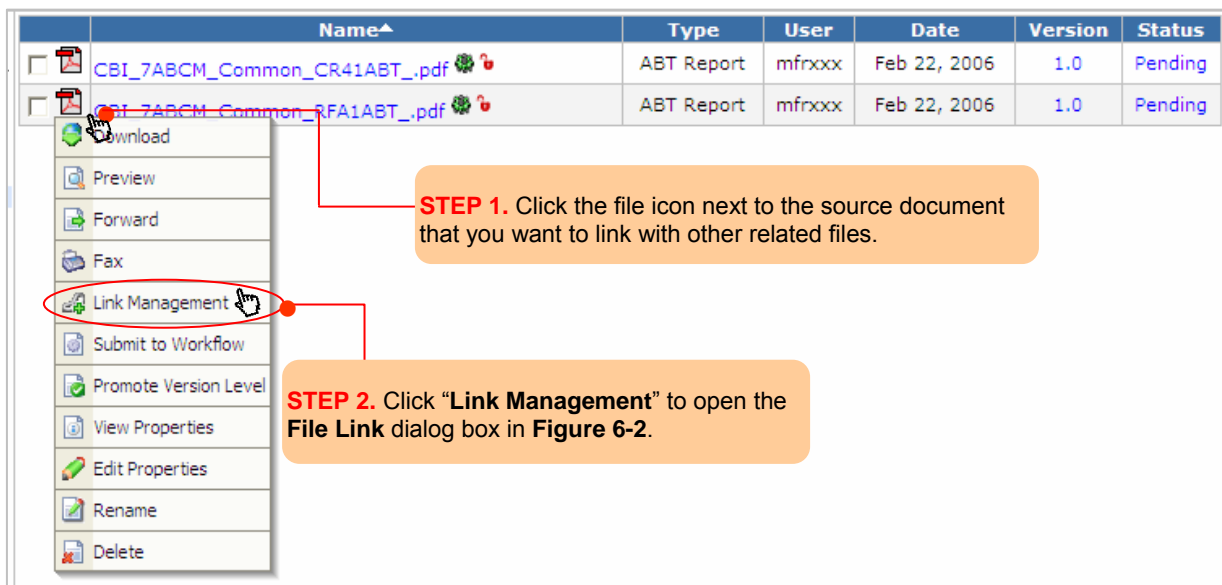
STEP 2 — Click on the **Link Management** menu item as shown in **Figure 6-1** to open the **File Link dialog box** as seen in **Figure 6-2**.

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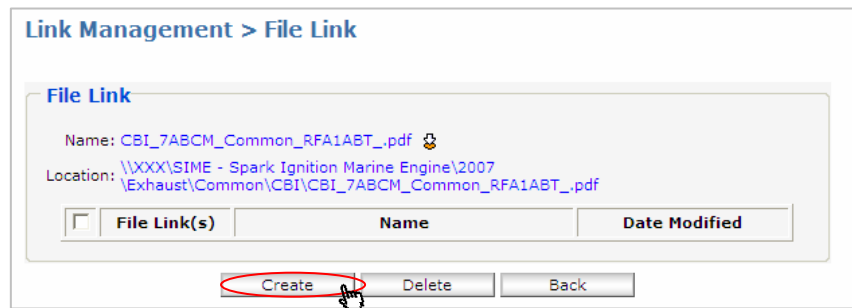
STEP 3 — Click on the "**Create**" button in **Figure 6-2** to open the "**Select File Link**" dialog box in **Figure 6-3**.

Figure 6-3　　**How to Perform the File Linking —** *"Select File Link" dialog box*
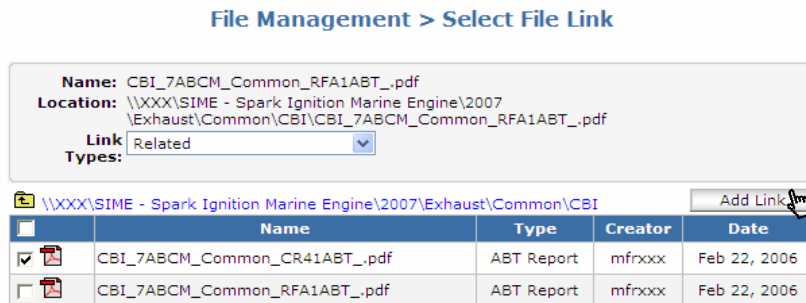
Note: Choose "Related" in the "Link" pull down menu. Related indicates that the files are related to each other. The other items listed are not applicable.

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

STEP 6 — Click on the view properties icon ⊠ to display the properties of the linked document as shown in **Figure 6-4**.

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

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 6-5   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.
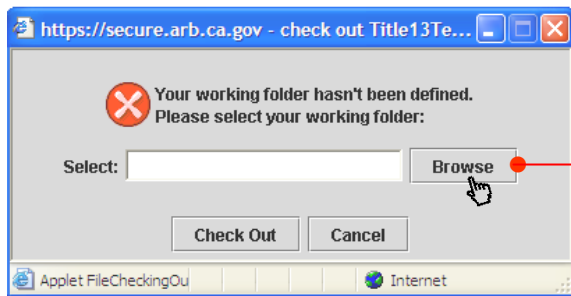
STEP 2: Click on the "**Browse**" button to define your working folder.

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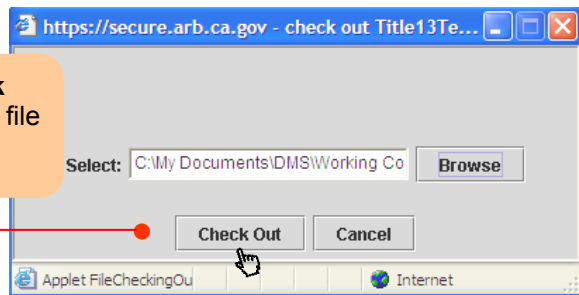
STEP 3: Click on the "**Check Out**" button to check out the file for modification.

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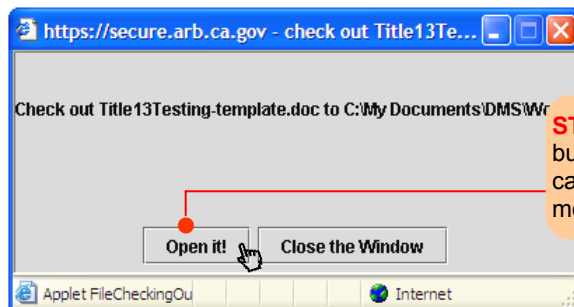
STEP 4: Click on the "**Open It!**" button to initiate an application which can open the document for modification.

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.

Name▲	Type	User	Date	Version	Status
☐ 📄 CBI_7ABCM_Common_RFA1ABT_.pdf ✲ 🔒	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
☐ 📄 Title13Testing-template.doc ✲ 🔒	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending

STEP 5: click on the closed padlock icon 🔒.

1st Message Box

https://secure.arb.ca.gov - check in Title13Tes...

ⓘ Please choose working folder

Select: C:\My Documents\DMS\Working Co   Browse

Undo Check Out   Check In   Cancel

Applet ChooseWorking   🌐 Internet
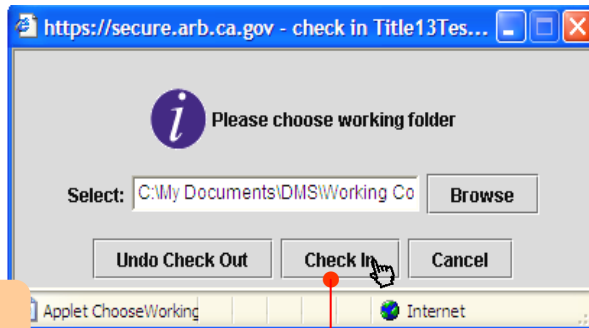
Click on the "**Check In**" button.

2nd Message Box

https://secure.arb.ca.gov - check in Title13Tes...

Check in Title13Testing-template.doc from C:\My Documents\DMS\Work

Close the Window

Applet FileCheckingIn   🌐 Internet
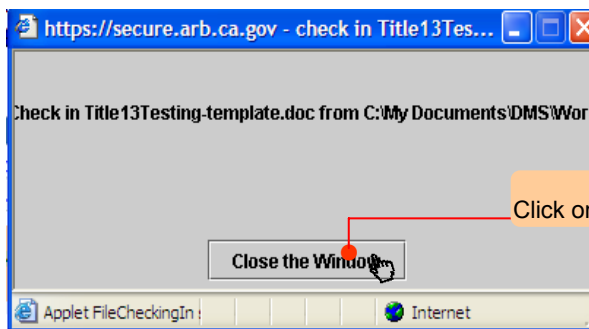
Click on the "**Close the Window**" button.

Name▲	Type	User	Date	Version	Status
☐ 📄 CBI_7ABCM_Common_RFA1ABT_.pdf ✲ 🔒	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
☐ 📄 Title13Testing-template.doc ✲ 🔓	ABT Report	mfrxxx	Jan 30, 2006	1.1	Pending

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.

Name▲	Type	User	Date	Version	Status
CBI_7ABCM_Common_RFA1ABT_.pdf	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
Title13Testing-template.doc	ABT Report	mfrxxx	Jan 30, 2006	1.1	Pending

> **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.

File Management > Version History

Back   Compare   **Resource Name:** Title13Testing-template.doc
\\XXX\SIME - Spark Ignition Marine Engine\2007\Exhaust\Common\CBI\Title13Testing-template.doc

Ver #	User	Date	Status	Comments
☑ 1.1	mfrxxx	Jan 10, 2006	Draft	
☑ 1.0	mfrxxx	Jan 10, 2006	Draft	

Comparison Summary Screen

Back   Details   ☐ Wrap   **Comparison Summary**   Changed Inserted Deleted

Title13Testing-template.doc (1.0)	Title13Testing-template.doc (1.1)
13 Mr. Manufacturer	13 Mr. MFRXXX
20 This letter is to notify Company that the Air Resources Board (ARB) may be planning to visit C	20 This is a demo for check-in/check-out and version comparison.
22 ARB will perform compliance and confirmatory testing on the California certified engine famili	22 This letter is to notify MFRXXX that the Air Resources Board (ARB) may be planning to visit MF
	24 ARB will perform compliance and confirmatory testing on the California certified engine famili 25

> **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
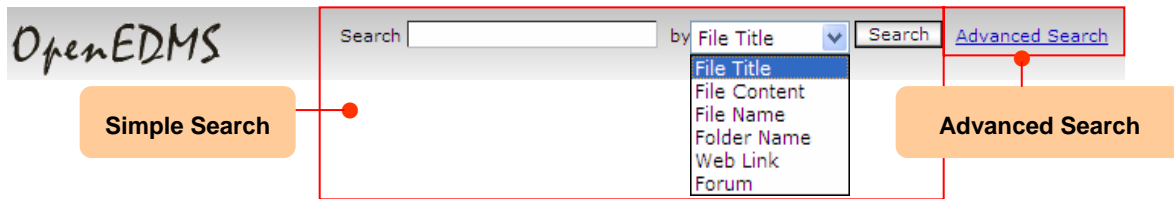
6.4.1 Simple Search

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/uploader.

- **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. DISCLAIMER

7. DISCLAIMER

The ARB shall not be responsible for any errors or omissions in the information provided, and reserves the right to make changes without notice. The contents of the CERTDMS do not necessarily reflect the views and policies of the ARB, nor does any mention of trade names or commercial products constitute endorsement or recommendation of use. The user assumes full responsibility for the files he/she uploads and/or downloads and/or views including data destroyed by viruses or other computer initiated problems. Neither the ARB nor any of its respective employees warrant that the service will be uninterrupted or error free.

The ARB and State of California will not be liable for special, indirect, consequential, or incidental damages, or damages for lost profits, loss of revenue, or loss of use, arising out of or related to the CERTDMS or the information contained in it, whether such damages arise in contract, negligence, tort, under statute, in equity, at law or otherwise. Portions of CERTDMS manual have been reprinted with the permission of Altimate Systems Inc. from their OpenEDMS User Guide, Version 2.7, 2005.

8. REFERENCES

8. REFERENCES

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

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

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)
• **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 Content • **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

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)
• **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"*	<mark>**Application for Certification**</mark> • **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) <mark>**Other Standalone Documents (To be updated as needed)**</mark> **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 Content • **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

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)
• **CBI_**: a confidential file that will not be released to the public • **FOI _**: a non-confidential file in which a manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce	• [1]**XXXXXyyyyZZZ_**: any related engine family information submittals • [2]**XXXXX_COMMON_**: any Common Information submittals • [3][4]**XXXXE*yyZZZZ_**: Individual evaporative family related file for California *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* [2] *"XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR 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; "ZZZZ" is the manufacturer's own evaporative family designator* [4] *"*" alphanumeric(1,2,3… or A,B,C,..)*	**Application for Certification** • **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 Content • **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 **Compliance Reports (CR#*[4][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 *Note:* [4] *"*" alphanumeric(1,2,3… or A,B,C,..)* [5] *"#"should be 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*

APPENDIX B.
Document Types and Metadata
for ARB DMS

Table B-1 — On-Road Document Types and Associated Metadata

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	Final Part 1
			Final 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	Final Part 1
			Final Part 2
		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	CPP
			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
		Vehicle Class	PC
			PC/LDT
			LDT
			MDV
		Upload Date	

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

Document Type	Description	Metadata Name	Valid Values
LD Correspondence	Manufacturer Correspondence	Manufacturer	
		Model Year	
		Upload Date	
		Correspondence Type	Evap
			Exhaust
			Durability
			SFTP
			OBD
			Misc
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 — Off-Road Document Types and Associated Metadata

Document Type	Description	Metadata Name	Valid Value
ABT Report	Manufacturers Averaging, Banking, and Trading (ABT) Initial, End-of-Year, and Final Reports ***Common***	Manufacturer	
		Model Year	
		Approval Num	
		Category	SSIE/LSIE/OFCI/SIME
		Report Type	Initial/End-of-year/Final
		Submit Date	
Alternate Test Procedure	Special Test Procedures used by the engine manufacturer ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Approval Num	
		Category	SSIE/LSIE/OFCI/SIME
		Applicability	Engine Family/Evap Family/ Common
Application	The Manufacturer's application for certification. ***SSIE & OFCI: Engine Family*** ***SIME & LSIE: Engine Family or Common***	Manufacturer	
		Submit Date	
		Model Year	
		Engine Family	
		EO Number	
		Category	SSIE/LSIE/OFCI/SIME
Auxiliary Emission Control Devices (AECD)	Manufacturers Documents related to Emission Control Devices ***Engine Family or Common***	Manufacturer	
		Model Year	
		Eng Families	
		Approval Num	
		Device Type	Mechanical/ECM/PCM
		Control Type	Idle/Full Throttle/ Intermediate/Other
		Applicable	Engine Family/Evap Family/ Common
		Category	SSIE/LSIE/OFCI/SIME
		Submit Date	
Auxiliary Engine Cooling (SORE)	Information relating to Engines' Auxiliary Cooling method ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Cool method	AC/Blower/Fan/NA/Other
		Approval Num	
		Applicable	Engine Family/Evap Family/Common
Corporate Average Plan	Plans used by manufacturers who participate in the Averaging, Banking, and Trading (ABT) program. ***Common***	Manufacturer	
		Model Year	
		Credit Type	credit/debit
		Trading	Yes/No
		Submit Date	
		Category	SSIE/LSIE/OFCI/SIME
		Approval Num	
Cover Letter or Statement of Compliance Letter /Letter of Intent (will make allowances for additional information)	Outlines the Engine Family being certified, the statement of compliance and any additional information the manufacturer wishes to convey to the cert. engineer LOI: Outlines Manufacturer's intent to certify engines for sale in California ***Engine Family or Common***	Manufacturer	
		Model Year	
		Category	SSIE/LSIE/OFCI/SIME
		Submission Date	
		Applicable	Engine Family/Evap Family/ Common
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	
		Model Year	
		Cert Number	
		Effective Date	
		Issue Date	
		FEL	Yes/No
		Engine Family	

Table B-2 — Off-Road Document Types and Associated Metadata (Cont.)

Document Type	Description	Metadata Name	Valid Value
Emission Durability Plan	Emission Durability Test Plans ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Approval Num	
		DF Hours	
		Category	SSIE/LSIE/OFCI/SIME
		Emssn Type	Evaporative/Exhaust
		Applicable	Engine Family/Evap Family/ Common
Emission Label Format	Format that the manufacturer intends to use for its emission labels ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Eng Family	
		Approval Num	
		Label Type	Engine/Air Index/Other
		Category	SSIE/LSIE/OFCI/SIME
		Applicable	Engine Family/Evap Family/Common
Emission Warranty Statement	The warranty statement that the manufacturer submits ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Eng Family	
		Approval Num	
		Category	SSIE/LSIE/OFCI/SIME
		Applicable	Engine Family/Evap Family/ Common
Internal Document	Documents used and distributed by ARB Staff and strictly for ARB internal use	Submit Date	
		Type	Letter/Email/Mailout MAC/Other
		Subject	
		Category	SSIE/LSIE/OFCI/SIME
Onboard Diagnostics (OBD) (Marine)	Onboard Diagnostics information ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Approval Num	
		Applicable	Engine Family/Evap Family/ Common
Other	Any Additional Documents that Manufacturers wish to submit ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Applicable	Engine Family/Evap Family/ Common
		Eng Family	
PLT Sampling Plan	Production Line Testing sample plan submitted by manufacturers prior to production ***Common***	Manufacturer	
		Model Year	
		Approval Num	
		Plan Type	1%/CumSum
		Submit Date	
		Category	SSIE/LSIE/OFCI/SIME
Phase-In Plan	Plans used by manufacturers to outline their intentions to meet new regulations or production requirements ***Common***	Manufacturer	
		Model Year	
		Credit Type	credit/debit
		Trading	Yes/No
		Submit Date	
		Category	SSIE/LSIE/OFCI/SIME
		Approval Num	
		Phsin Months	
Running Change Document	Supporting documents related to changes made to engine family after the engine has been certified ***Engine Family***	Manufacturer	
		Model Year	
		Eng Family	
		EO Number	
		Change Made	ECS, Model, Part, Corrections, Other
		Submit Date	
		Category	SSIE/LSIE/OFCI/SIME
		New EO Num	
Tamper Resistance	Manufacturers documents related to their meeting tamper resistance requirements ***Engine Family or Common***	Manufacturer	
		Submit Date	
		Approval Num	
		Parts Mfr	
		Category	SSIE/LSIE/OFCI/SIME
		Applicable	Engine Family/Evap Family/Common