California Environmental Protection Agency

Air Resources Board



ARB's DMS File and Workflow Naming Convention

Updated on 02-23-12

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:

S	ection has elements	s as listed in the following tal	ole:
	Section 1	Section 2	Section 3
	Confidentiality	Applicability	Information Type
	(3 characters_)	(12 characters _)	(7 characters _)
	• CBI_:	• (1)XXXXX_COMMON_:	Application for Certification
			, =;
			⁽⁴⁾ "#"0, 1, 2, 3, etc.

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:

	as listed in the following tab	
Section 1	Section 2	Section 3
Confidentiality	Applicability	Information Type
(3 characters +	(12 characters +	(7 characters + underscore)
underscore)	underscore)	(
• CBI :	• (1)XXXXX_CORRES_:	Application for Certification
a confidential file	Correspondence	APP_INI_: Initial Application
that will not be	• ⁽²⁾ XXXXXyyyyZZZ_:	Submittal
released to the	any related engine family	
public	information submittals	• APP_Cnn_: Running Change
pablic	• ⁽³⁾ XXXXX_COMMON_:	• APP_Fnn_: Field Fix
• FOI _:	any Common Information	(Where nn= 01 ~99 in numerical
a non-	submittals	order)
confidential file	(4)Evaporative Family	APP_EVP_: Evaporative Application
in which the	Name_:	
manufacturer	an individual evaporative	Other Standalone Documents
removes	family related file	(To be updated as needed)
confidential	lanning related file	Request for Approval (RFA*(5)):
information from		• RFA*LAB_: Label Content
a CBI file so it is	Note:	• RFA*DFP_: Durability Plan
readily	(1) "XXXXX" is the first five	_ ,
releasable to the	characters of a mfr's	• RFA*PHS_: Phase-in Plan
public after	engine family name, it	• RFA*STP_: Special Test Procedure
vehicles/engines	consists of "model year +	• RFA*NTE_: Not_to_Exceed Request
are introduced	EPA MFR code + vehicle	• RFA*WAR_: Warranty Statement
into commerce	category code"	• RFA*TRM_: Tamper Resistance
	(2) "XXXXX" is the first five	Method
	characters of a mfr's	• RFA*ABT_: Averaging, Banking,
	engine family name, it	Trading Plan
	consists of "model year +	RFA*ACD_Auxiliary Emission
	EPA MFR code + vehicle	Control Device
	category code"; "yyyy" is	• RFA*SNS_: Sensors Table
	the engine displacement	• RFA*CAC_: Carry Across table
	in liters; "ZZZ" is the	• RFA*SCR_: SCR Information
	manufacturer's own	
	engine family designator	RFA*DPF_: DPF Regeneration
	(3) "XXXXX" is the first five	Strategy
	characters of a mfr's	• RFA*EVP_: Evaporative Plan
	engine family name, it	• RFA*ATP_: Alternative Test
	consists of "model year +	Procedure
	EPA MFR code + vehicle	• RFA*DAP_: Delegated assembly
	category code"	plan
	(4) "XXXXE" to be used for	• RFA*WVR_: Waiver
	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"	

(Continued on Next Page)

Table A-2— File Naming Convention for <u>On-Road Heavy-Duty Vehicles/Engines</u> (Continued)

	1	
Section 1	Section 2	Section 3
Confidentiality	Applicability	Information Type
(3 characters +	(12 characters +	(7 characters + underscore)
underscore)	underscore)	(* ************************************
	• (1)XXXXX_CORRES_:	Other Standalone Documents
• CBI_: a confidential file		
that will not be	Correspondence	(To be updated as needed)
	• ⁽²⁾ XXXXXyyyyZZZ_:	Correspondence (LTR*(5))
released to the	any related engine family	• LTR*CPP_: Certification Preview
public	information submittals	Plan
	• ⁽³⁾ XXXXX_COMMON_:	• LTR*LOI_: Letter of Intent
• FOI _: a non-	any Common Information	• LTR*SOC_: Statement of
confidential file	submittals	Compliance
in which the	• (4)Evaporative Family	•
manufacturer	Name_:	• LTR*OTH_: Other Letters and Non-
removes	an individual evaporative	Approval Documents
confidential	family related file	• LTR*COV_: Cover Letter
information from	,	
a CBI file so it is		Compliance Reports (CR#*(5)(6)):
readily	Note:	• CR#*PDR _: Production Report
releasable to the	(1) "XXXXX" is the first five	CR#*FLT_: Fleet Average Report
public after	characters of a mfr's	• CR#*PHS_: Phase-in Compliance
vehicles/engines	engine family name, it	report
are introduced	consists of "model year +	
into commerce	EPA MFR code + vehicle	• CR#*FEE_: Certification fee report
	category code"	• CR#*SER_: Service Manual
	(2) "XXXXX" is the first five	• CR#*ABT_: Averaging Banking
	characters of a mfr's	Trading Summary
	engine family name, it	• CR#*DRE_: Defect Report
	consists of "model year +	Note:
	EPA MFR code + vehicle	(5) "*" alphanumeric (1,2,3 or
	category code"; "yyyy" is	A,B,C,)
		(6) "#"should be 0, 1, 2, 3, etc.
	the engine displacement	
	in liters; "ZZZ" is the	represents Report No.1 or first
	manufacturer's own	quarter, Report No.2 or second
	engine family designator	quarter,; for end of year summary
	(3) "XXXXX" is the first five	report "#" should be 9
	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"	

- OBD2_E_CY_XXX_MM_DD_YYYY.pdf: OBD letter
- CC_XXXXXXXXXXXCERT#_MM_DD_YYYY.pdf: EPA Certificate of Conformity

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

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

Confidentiality_ Applicability_ Information Type_. EXT Each section has elements as listed in the following table:

section has elements as listed in the following table:					
Section 1	Section 2	Section 3			
Confidentiality	Applicability	Information Type (7 characters _)			
(3 characters _)	(12 characters _)	, =,			
CBI_: a confidential file	• Engine Family Name_: an individual engine family	Application for Certification • APP_INI_: Initial Application			
that will not be	related file	submittal			
released to the	• (1)XXXXX_COMMON_:	APP_FIN_: Final Application			
public	any Common Information	submittal			
	submittals	APP_Cnn_: application running			
• FOI _:	• ⁽²⁾ XXXXARB_RED_:	change			
a non-	California Red Sticker	APP_Fnn_: application field fix			
confidential file in which the	vehicles	(Where nn= 01 ~99 in numerical			
manufacturer	Evaporative Family	order)			
removes	Name_: an individual evaporative	Other Standalone Documents			
confidential	family related file	(To be updated as needed)			
information from	, . 2.2.2.2	Request for Approval (RFA*(3)):			
a CBI file so it is		• RFA* LAB_: label content			
readily		• RFA*CAP_: Corp. Ave. plan			
releasable to the public after		• RFA*PLT_: Production Line Testing			
vehicles/engines		Plan			
are introduced		RFA*STP_: Special Test Procedure			
into commerce		• RFA*WAR_: Warranty Statement			
		RFA*FTP_: Functional Test Plan			
		Correspondence (LTR*(3)):			
		• LTR*LOI_: Letter of Intent			
		• LTR*CON_: Confirmatory Test			
	Note: (1) "XXXXX" is the first five	Document			
	characters of a mfr's	• LTR*EML_: E-mail Correspondance			
	engine family name, it	Compliance Reports (CR#*(3)(4)):			
	consists of "model year +	• CR#*PDR _: Production report			
	EPA MFR code + vehicle	• CR#*VIN_: Vehicle VIN report			
	category code"	CR#* CAR_: Corporate Averaging report			
	(2) "XXXX" is the first four	• CR#*FEE_: Certification Fee Report			
	characters of an EF	• CR#*QTR_: Quarterly Production			
	name, e.g. "model year + EPA MFR code"	Report (ARB only)			
	+ LFA MI K Code	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-4 — File Naming Convention for <u>Off-Road Compression Ignition (OFCI)</u> 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:

	nts as listed in the following tab	ie.
Section 1 Confidentiality (3 characters + underscore)	Section 2 Applicability (12 characters + underscore)	Section 3 Information Type (7 characters + underscore)
CBI : a confidential	,	Application for Certification
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)XXXXXyyyZZZ: any related engine family information submittals • (2)XXXXX_COMMON_: any Common Information submittals • (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_PRM_:Primary Application 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*(*)"): RFA*LAB_: Label Content RFA*DFP_: Durability plan RFA*PHS_: Phase In Plan RFA*ATP_: Alternative Test Procedure RFA*ABT_: Averaging, Banking , Trading Plan RFA*TRM_: Tamper-resistance RFA*ACD_: Auxiliary Emission Control Device RFA*SNS_: Sensors Table RFA*CAC_: Carry Across table RFA*CAC_: Carry Across table RFA*SCR_: SCR Information RFA*DPF_: DPF Regeneration Strategy RFA*DAP_: Delegated Assembly Plan RFA*NTE_: Not_to_Exceed request Correspondence (LTR*(4)): LTR*LOI_: Letter of Intent LTR*SOC_: Statement of Compliance LTR*OTH_: Other Letters and Non-Approval Documents LTR*COP_: Certification Preview Plan LTR*COV_: Cover Letter Compliance Reports (CR#(5)): CR#*PBE_: Defect Report CR#*ABT_: Averaging Banking Trading Summary CR#*PBS_: Phase-in Compliance Report CR#*SER_: Service Manual Note: (4) "*" alphanumeric (A,B,C,etc or 1,2,3,etc) (5) "#"should be 1,2,3 etc. Represents Report No.
		; for mid-year flexibility report "#" should be 6; for end of year summary report "#" should be 9.
	DD VVVV ndf: OBD letter	ena or year summary report # should be 9.

- OBD2_E_CY_XXX_MM_DD_YYYY.pdf: OBD letter
- CC_XXXXXXXXXXXCERT#_MM_DD_YYYY.pdf: EPA Certificate of Conformity

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

	nts as listed in the following tab	
Section 1	Section 2	Section 3
Confidentiality	Applicability	Information Type
(3 characters +	(12 characters +	(7 characters + underscore)
`underscore)	underscore)	,
	,	
CBI_: a confidential file that will not be released to the public.	(1)XXXXXyyyyZZZ_: any related engine family or overprettive family (< or	• APP_CSS_: cert. summary sheet (Marine &
released to the public	evaporative family (< or	LSI Database Files Only)
FOT	equal to 80cc) information submittals	APP_PRM_: primary application
• FOI _: a non-		APP_SUP_: supplemental application
confidential file after	• (2)XXXXX_COMMON_:	• APP_EPA_: EPA Application (Marine)
removing confidential	any Common Information	• APP_Cnn_: application running change
information from a CBI	submittals	• APP_Fnn_: application field fix
file so that it is readily	• ⁽³⁾ XXXXEyyZZZZZ_:	(Where nn= 01 ~99 in numerical order)
releasable to the public	Individual evaporative family	·
after your	related file for California SORE	Other Standalone Documents
vehicles/engines are	(>80cc) or LSIE (< 1 Liter)	(To be updated as needed)
introduced into		Request for Approval ("RFA*(4)"):
commerce		• RFA*LAB_: Label Content
		• RFA*DFP_: Durability Plan
		• RFA*PHS_: Phase- in Plan
		• RFA*CAP_: Corp. Ave. plan
	Notes	• RFA*PLT_: Production Line Testing (PLT)
	Note: (1) XXXXX is the first five	Engine Sampling Plan
	characters of a mfr's engine	RFA*ATP_: Alternative Test Procedure
	family name, it consists of	• RFA*ABT_: Averaging, Banking , Trading
	"model year + EPA MFR code +	Plan
	vehicle/engine category code";	• RFA*WAR_: Warranty Statement
	"yyyy" is the engine	• RFA*OBD_: On-Board Diagnostics
	displacement in liters; "ZZZ" is	• RFA*TRM_: Tamper-resistance
	the manufacturer's own engine family designator (for SSIE, the	RFA*ACD_: Auxiliary Emission Control
	first "Z" is the class code and	Device
	the remaining "ZZ" is the	RFA*ECA_: Engine Cooling (Auxiliary)
	manufacturer's own engine	• RFA*EVP_: Evaporative Plan
	family designator).	• RFA*OTH_: Other document
	(2) "XXXXX" is the first five	
	characters of an EF name, e.g.	• RFA*NTE_: Not-To-Exceed Report
	"model year + EPA MFR code + vehicle/engine category code"	• RFA*BND_: EPA Bond Worksheet
	(3) "XXXXE" are the first five	Correspondence (LTR*(4)):
	characters of the mfr's	• LTR*LOI_: Letter of Intent
	evaporative family name, it	• LTR*SOC_: Statement of Compliance
	consists of "model year + EPA	• LTR*OTH_: Other letters and non-approval
	MFR code + Evaporative	documents Compliance Reports (CR# ⁽⁵⁾):
	category code"; "yy" is the ARB evap/permeation code;	• CR#*DRE_: Defect Report
	"ZZZZZ" is the manufacturer's	• CR#*ABT_: Averaging Banking Trading
	own evaporative family	Summary
	designator (this is meant to be	• CR#*QTR_: Quarterly Production Report
	a easy way of recognizing SSIE	(ARB Only)
	evap and is not meant to	CR#*PLT_: Production Line Test report
	replace the 2 letter evap family	• CR#*PHS_: Phase-in Compliance Report
	code specified in TP-902, nor is it considered an EPA Family	The state of the s
	Name).	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.
	<u> </u>	and an year dammary report in allouid be at

APPENDIX C. DMS Workflow Process Naming Convention

C.1 On-Road Light Duty/Motorcycle and OHRV Certification Categories

For TG/EF Specific Documents: MY_CBI(or)FOI_TG/EF Name_Type of Submittal (follow rules from file naming convention)

(Tollow Tales from the naming convention)		
Examples of Types of	 APPIPT1 – Initial Application 	
Submittals	 APPRCnn_EO (Running Change with EO) 	
	 APPRCnn (Running Change without EO) 	
	 RFA*MTP (Modified Test Plan RFA) 	

For Common Supporting Documents:

MY_CBI(or)FOI _ MFR Code_ Type of Submittal_nn (where nn = 01 - 99)

Examples of Types of
Submittals

- Common CBI/FOI Section
- Certification Preview Plan (CPP)
- Request For Approval
 - Warranty
 - Label
 - Special Test Procedure
- **Correspondence Type**
 - Durability
 - Emails
 - Misc
- Publication Type
 - Owners Manual
 - Service Manual
 - TSB
 - Warranty Manual
- Compliance Report Type
 - Assembly Line Test Plan
 - Cert Fee Document
 - NMOG-VEC Reports
 - Quality Audit Production
 - Year End Report

On-Road Heavy-Duty Vehicles/Engines Certification Categories **C.2**

For Applications:

MY_CBI(or)FOI_Engine Family Name_Type of Submittal (follow rules from file naming convention)

Examples of Types of	0	APP_INI Initial Application
Submittals	0	APP_Cnn_EO - Running Change with EO
	0	APP_Cnn Running Change without EO
	0	APP_EVP Evaporative application

For Support Documents: MY CRI(or)FOI MED Code

MY_CBI(or)FOI _ MFR Code_ Type of Submittal_nn (where nn = 01 - 99)		
Examples of Types of Submittals	 Request For Approval Warranty Label Durability Plan Tamper Resistance Method SCR Information Alternative Test Procedure Delegated Assembly Plan Correspondence Type Letter of Intent Statement of Compliance Cover Letter Certification Preview Plan Compliance Report Type Certification Fee Report Production Report Fleet average Report Service Manual Averaging, Banking, and Trading Summary Report Defect Report 	

C.3 <u>Off-Road Compression-Ignition</u> Certification Categories

Single Applications:	
Engine Family Name_Sub Category ¹ _Sumbission Type ² _App	
Examples of Types of Submittals	CMFRL.123ABC_Pwr 8-19_New_App

Support Documents:	
OFCI_Model Year_ARB Mfr Code_Document Type ³	
Examples of Types of Submittals	OFCI_2012_MFR_RFA*LAB

(1)Sub-Categories:

```
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 >900 = Power of Generators >560 kW and \leq 900 kW
```

(2)Submission Type:

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

(3)Document Type:

See Table A-4, Section 3 on Page 6 for a list of document type codes.

C.4 Off-Road Spark-Ignition Certification Categories

Single Applications:

i. Exhaust Application or ≤ 80cc Evap. Application

XXXXXyyyyZZZ*_Sub Category⁽¹⁾_Submission Type⁽²⁾_App

ii. >80cc Evap. Application

XXXXEyyZZZZZ*_Sub Category⁽¹⁾_Submission Type⁽²⁾_App

* Please refer to **Table A-5, Section 2** footnotes (1) & (3) on Page **7**

Examples of Types of Submittals

CMFRM.123ABC_OUTBD_New_App

Support Documents/Correspondences:

Category⁽¹⁾ Model Year ARB Mfr Code Document Type⁽³⁾

Examples of Types of Submittals

SIME_2012_AMFR_LAB

PLT/ABT Reports:

Calender Quarter_Category⁽¹⁾_ARB Mfr. Code_PLT/ABT Reports

Examples of Types of

12Q1_SIME_AMFR_PLT Reports

Submittals (e.g.,12Q1: the 1st quarter of year 2012)

(1)Categories and Sub-Categories:

SSIE CATEGORY

SSIE Subcategories:

Exh < 50 = Exhaust less than 50cc

Exh 50-80 = Exhaust 50cc to 80cc inclusive

Exh 80-225 = Exhaust 80cc to 225cc

Exh > 225 = Exhaust greater than or equal to 225cc

Evp < 80 = Evaporative less than or equal to 80cc

EvpWB 80-225 = Evaporative Walk-Behind Mowers 80cc to 225cc

Evp 80-225 = Evaporative Non Walk-Behind Mowers 80cc to 225cc

Evp >225 = Evaporative Greater than or equal to 225cc

SIME CATEGORY

SIME Subcategories:

INBD = Inboard

STRN = Sterndrive

INBST = Inboard Sterndrive

OUTBD = Outboard

PWC = Personal Watercraft

JTBT = Jet boat

LSIE CATEGORY

LSIE Subcategories:

GT1L = Greater than 1 Liter

Exh LT825 = Exhaust Less than or equal to 825cc

Exh 825-1L= Exhaust Greater than 825cc and less than or equal to 1 Liter

Exh LT1L=Exhaust Less than 1 Liter (applicable for 2002-2010)

Evp LT825 = Evaporative Less than or equal to 825cc

Evp 825-1L= Evaporative Greater than 825cc and less than or equal to 1 Liter

Evp LT1L= Evaporative Less than 1 Liter

(2)Submission Type:

New = New Submission

R/C = Running Change

F/F = Field Fix

FEL = FEL Change

(3)Document Type:

See **Table A-5**, **Section 3** on Page **7** for a list of document type codes.