California Environmental Protection Agency

Air Resources Board

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ARB's DMS File and Workflow Naming Convention

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

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

Section 1 **Confidentiality** (3 characters_)	Section 2 **Applicability** (12 characters _)	Section 3 **Information Type** (7 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	• [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*MTP_:** Modified Test Procedure • **RFA*NMG_:** NMOG Fleet Average Compliance Plan • **RFA*ACD_:** AECD document • **RFA*WAR_:** Warranty Statement • **RFA*SFP_:** Supplemental FTP • **RFA*TPF_:** Functional Test Plan • **RFA*EVP_:** Evaporative Plan **Correspondence (LTR*[3])** • **LTR*CPP_:** Cert Preview Plan • **LTR*GFT_:** Manuf size letter • **GHG*FLT_:** Excel file for manuf size • **LTR*GHG_:** GHG option letter • **LTR*EML_:** E-mail correspondance **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] *"*"(1,2,3… or A,B,C,..)* [4] *"#"0, 1, 2, 3,… etc.*

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

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) • **APP_EVP_:** Evaporative Application **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*TRM_:** Tamper Resistance Method • **RFA*ABT_:** Averaging, Banking, Trading Plan • **RFA*ACD_**Auxiliary Emission Control Device • **RFA*SNS_:** Sensors Table • **RFA*CAC_:** Carry Across table • **RFA*SCR_:** SCR Information • **RFA*DPF_:** DPF Regeneration Strategy • **RFA*EVP_:** Evaporative Plan • **RFA*ATP_:** Alternative Test Procedure • **RFA*DAP_:** Delegated assembly plan • **RFA*WVR_:** Waiver

<u>Section 1</u> **Confidentiality** (3 characters + underscore)	<u>Section 2</u> **Applicability** (12 characters + underscore)	<u>Section 3</u> **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"*	<mark>**Other Standalone Documents (To be updated as needed)**</mark> **Correspondence (LTR*[5])** • **LTR*CPP_:** Certification Preview Plan • **LTR*LOI_:** Letter of Intent • **LTR*SOC_:** Statement of Compliance • **LTR*OTH_:** Other Letters and Non-Approval Documents • **LTR*COV_:** Cover Letter **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 • **CR#*DRE_:** Defect Report *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*

• **OBD2_E_CY_XXX_MM_DD_YYYY.pdf:** OBD letter
• **CC_XXXXXXXXXXXX_CERT#_MM_DD_YYYY.pdf:** EPA Certificate of Conformity

Table A-3 — File Naming Convention for <u>On-Road Motorcycle and OHRVs</u>

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 1 **Confidentiality** (3 characters _)	Section 2 **Applicability** (12 characters _)	Section 3 **Information Type** (7 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*CAP_:** Corp. Ave. plan • **RFA*PLT_:** Production Line Testing Plan • **RFA*STP_**: Special Test Procedure • **RFA*WAR_:** Warranty Statement • **RFA*FTP_:** Functional Test Plan **Correspondence (LTR*(3)):** • **LTR*LOI_:** Letter of Intent • **LTR*CON_:** Confirmatory Test Document • **LTR*EML_:** E-mail Correspondance **Compliance Reports (CR#*(3)(4)):** • **CR#*PDR _:** Production report • **CR#*VIN_:** Vehicle VIN report • **CR#* CAR_:** Corporate Averaging report • **CR#*FEE_:** Certification Fee 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, …*

Table A-4 — File Naming Convention for Off-Road Compression Ignition (OFCI)

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 **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_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*[4]"):** • **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*WAR_:** Warranty Statement • **RFA*TRM_:** Tamper-resistance • **RFA*ACD_:** Auxiliary Emission Control Device • **RFA*SNS_:** Sensors 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*CPP_:** Certification Preview Plan • **LTR*COV_:** Cover Letter **Compliance Reports (CR#[5]):** • **CR#*DRE_:** Defect Report • **CR#*ABT_:** Averaging Banking Trading Summary • **CR#*PHS_:** Phase-in Compliance Report • **CR#*FLX_:** Flexibility Engine Production Report (OFCI) • **CR#*PDR _:** Production 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. 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.*

• **OBD2_E_CY_XXX_MM_DD_YYYY.pdf:** OBD letter
• **CC_XXXXXXXXXXXX_CERT#_MM_DD_YYYY.pdf:** EPA Certificate of Conformity

Table A-5 — File Naming Convention for <u>Off-Road Spark-Ignited Engines</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:

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 or evaporative family (< or equal to 80cc) information submittals • (2)**XXXXX_COMMON_:** any Common Information submittals • (3) **XXXXEyyZZZZZ_:** Individual evaporative family related file for California SORE (>80cc) or LSIE (< 1 Liter) **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_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 (PLT) Engine Sampling 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 • **RFA*NTE_**: Not-To-Exceed Report • **RFA*BND_**: EPA Bond Worksheet **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 **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 C.
DMS Workflow Process Naming Convention

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

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

C.2   <u>On-Road Heavy-Duty Vehicles/Engines</u> Certification Categories

For Applications: MY_CBI(or)FOI_Engine Family Name_Type of Submittal (follow rules from file naming convention)	
Examples of Types of Submittals	o **APP_INI_ – Initial Application** o **APP_Cnn_EO – Running Change with EO** o **APP_Cnn_ – Running Change without EO** o **APP_EVP_ – Evaporative application**

For Support Documents: MY_CBI(or)FOI _ MFR Code_ Type of Submittal_nn (where nn = 01 – 99)	

Examples of Types of Submittals	o **Request For Approval**
	  – Warranty
	  – Label
	  – Durability Plan
	  – Tamper Resistance Method
	  – SCR Information
	  – Alternative Test Procedure
	  – Delegated Assembly Plan
	o **Correspondence Type**
	  – Letter of Intent
	  – Statement of Compliance
	  – Cover Letter
	  – Certification Preview Plan
	o **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 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 **Table A-4, Section 3** on Page **6** for a list of document type codes.

C.4 <u>Off-Road Spark-Ignition</u> 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 Submittals	**12Q1_SIME_AMFR_PLT Reports** **(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.