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

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

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

**Confidentiality\_ Applicability\_ Information Type. EXT**

Each section has elements as listed in the following table:

Section 1 <b>Confidentiality</b> (3 characters _)	Section 2 <b>Applicability</b> (12 characters _)	Section 3 <b>Information Type</b> (7 characters _)
<ul style="list-style-type: none"> <li>• <b>CBI_:</b> a confidential file that will not be released to the public</li>   <li>• <b>FOI_:</b> 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</li> </ul>	<ul style="list-style-type: none"> <li>• <sup>(1)</sup><b>XXXXX_COMMON_:</b> any Common Information submittals</li> <li>• <sup>(2)</sup><b>XXXX_CORRESP_:</b> Correspondence</li> <li>• <b>Test Group Name_:</b> an individual Test Group related file</li> <li>• <b>Evaporative Family Name_:</b> an individual evaporative family related file</li> </ul> <p><i>Note:</i>  <sup>(1)</sup> "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"  <sup>(2)</sup> "XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR code"</p>	<div style="background-color: yellow; padding: 2px;"><b>Other Stand Alone Documents (To be updated as needed)</b></div> <p><b>Request for Approval (RFA*<sup>(3)</sup>):</b></p> <ul style="list-style-type: none"> <li>• <b>RFA*LAB_:</b> label content</li> <li>• <b>RFA*DFP_:</b> durability plan</li> <li>• <b>RFA*MTP_:</b> Modified Test Procedure</li> <li>• <b>RFA*NMG_:</b> NMOG Fleet Average Compliance Plan</li> <li>• <b>RFA*ACD_:</b> AECD document</li> <li>• <b>RFA*WAR_:</b> Warranty Statement</li> <li>• <b>RFA*SFP_:</b> Supplemental FTP</li> <li>• <b>RFA*TPF_:</b> Functional Test Plan</li> <li>• <b>RFA*EVP_:</b> Evaporative Plan</li> </ul> <p><b>Correspondence (LTR*<sup>(3)</sup>):</b></p> <ul style="list-style-type: none"> <li>• <b>LTR*CPP_:</b> Cert Preview Plan</li> <li>• <b>LTR*GFT_:</b> Manuf size letter</li> <li>• <b>GHG*FLT_:</b> Excel file for manuf size</li> <li>• <b>LTR*GHG_:</b> GHG option letter</li> <li>• <b>LTR*EML_:</b> E-mail correspondence</li> </ul> <p><b>Compliance Reports (CR#*<sup>(3)(4)</sup>):</b></p> <ul style="list-style-type: none"> <li>• <b>CR#*PDR_:</b> Quarterly Production report</li> <li>• <b>CR#*NMG_:</b> NMOG report</li> <li>• <b>CR#*VEC_:</b> Vehicle Equivalent report</li> <li>• <b>CR#*FEE_:</b> Certification fee report</li> <li>• <b>CR#*SER_:</b> Service Manual</li> <li>• <b>CR#*WAR_:</b> Warranty Statement</li> </ul> <p><i>Note:</i>  <sup>(3)</sup> "*" (1,2,3... or A,B,C,..)  <sup>(4)</sup> "#" 0, 1, 2, 3... etc.</p>

**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:

<p><u>Section 1</u> <b>Confidentiality</b> (3 characters + underscore)</p>	<p><u>Section 2</u> <b>Applicability</b> (12 characters + underscore)</p>	<p><u>Section 3</u> <b>Information Type</b> (7 characters + underscore)</p>
<ul style="list-style-type: none"> <li>• <b>CBI_:</b> a confidential file that will not be released to the public</li> <li>• <b>FOI_:</b> 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</li> </ul>	<ul style="list-style-type: none"> <li>• <sup>(1)</sup><b>XXXXX_CORRES_:</b> Correspondence</li> <li>• <sup>(2)</sup><b>XXXXXyyyyyZZZ_:</b> any related engine family information submittals</li> <li>• <sup>(3)</sup><b>XXXXX_COMMON_:</b> any Common Information submittals</li> <li>• <sup>(4)</sup><b>Evaporative Family Name_:</b> an individual evaporative family related file</li> </ul> <p><i>Note:</i></p> <p><sup>(1)</sup> "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p><sup>(2)</sup> "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"; "yyyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator</p> <p><sup>(3)</sup> "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p><sup>(4)</sup> "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"</p>	<div style="background-color: yellow; padding: 2px;"><b>APP_INI_:</b> Initial Application Submittal</div> <ul style="list-style-type: none"> <li>• <b>APP_Cnn_:</b> Running Change</li> <li>• <b>APP_Fnn_:</b> Field Fix (Where nn= 01 ~99 in numerical order)</li> <li>• <b>APP_EVP_:</b> Evaporative Application</li> </ul> <div style="background-color: yellow; padding: 2px;"><b>Other Standalone Documents (To be updated as needed)</b></div> <p><b><u>Request for Approval (RFA*<sup>(5)</sup>):</u></b></p> <ul style="list-style-type: none"> <li>• <b>RFA*LAB_:</b> Label Content</li> <li>• <b>RFA*DFP_:</b> Durability Plan</li> <li>• <b>RFA*PHS_:</b> Phase-in Plan</li> <li>• <b>RFA*STP_:</b> Special Test Procedure</li> <li>• <b>RFA*NTE_:</b> Not_to_Exceed Request</li> <li>• <b>RFA*WAR_:</b> Warranty Statement</li> <li>• <b>RFA*TRM_:</b> Tamper Resistance Method</li> <li>• <b>RFA*ABT_:</b> Averaging, Banking, Trading Plan</li> <li>• <b>RFA*ACD_:</b> Auxiliary Emission Control Device</li> <li>• <b>RFA*SNS_:</b> Sensors Table</li> <li>• <b>RFA*CAC_:</b> Carry Across table</li> <li>• <b>RFA*SCR_:</b> SCR Information</li> <li>• <b>RFA*DPF_:</b> DPF Regeneration Strategy</li> <li>• <b>RFA*EVP_:</b> Evaporative Plan</li> <li>• <b>RFA*ATP_:</b> Alternative Test Procedure</li> <li>• <b>RFA*DAP_:</b> Delegated assembly plan</li> <li>• <b>RFA*WVR_:</b> Waiver</li> </ul>

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

<p align="center"><u>Section 1</u> <b>Confidentiality</b> (3 characters + underscore)</p>	<p align="center"><u>Section 2</u> <b>Applicability</b> (12 characters + underscore)</p>	<p align="center"><u>Section 3</u> <b>Information Type</b> (7 characters + underscore)</p>
<ul style="list-style-type: none"> <li>• <b>CBI_</b>: a confidential file that will not be released to the public</li> <li>• <b>FOI_</b>: 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</li> </ul>	<ul style="list-style-type: none"> <li>• <sup>(1)</sup><b>XXXXX_CORRES_</b>: Correspondence</li> <li>• <sup>(2)</sup><b>XXXXXyyyyZZZ_</b>: any related engine family information submittals</li> <li>• <sup>(3)</sup><b>XXXXX_COMMON_</b>: any Common Information submittals</li> <li>• <sup>(4)</sup><b>Evaporative Family Name_</b>: an individual evaporative family related file</li> </ul> <p><i>Note:</i></p> <p><sup>(1)</sup> "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p><sup>(2)</sup> "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</p> <p><sup>(3)</sup> "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p><sup>(4)</sup> "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"</p>	<p align="center"><b>Other Standalone Documents (To be updated as needed)</b></p> <p><b><u>Correspondence (LTR*<sup>(5)</sup>)</u></b></p> <ul style="list-style-type: none"> <li>• <b>LTR*CPP_</b>: Certification Preview Plan</li> <li>• <b>LTR*LOI_</b>: Letter of Intent</li> <li>• <b>LTR*SOC_</b>: Statement of Compliance</li> <li>• <b>LTR*OTH_</b>: Other Letters and Non-Approval Documents</li> <li>• <b>LTR*COV_</b>: Cover Letter</li> </ul> <p><b><u>Compliance Reports (CR#*<sup>(5)(6)</sup>)</u></b></p> <ul style="list-style-type: none"> <li>• <b>CR#*PDR_</b>: Production Report</li> <li>• <b>CR#*FLT_</b>: Fleet Average Report</li> <li>• <b>CR#*PHS_</b>: Phase-in Compliance report</li> <li>• <b>CR#*FEE_</b>: Certification fee report</li> <li>• <b>CR#*SER_</b>: Service Manual</li> <li>• <b>CR#*ABT_</b>: Averaging Banking Trading Summary</li> <li>• <b>CR#*DRE_</b>: Defect Report</li> </ul> <p><i>Note:</i></p> <p><sup>(5)</sup> "*" alphanumeric (1,2,3... or A,B,C,..)</p> <p><sup>(6)</sup> "#" 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</p>

- **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 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 1 <b>Confidentiality</b> (3 characters _)	Section 2 <b>Applicability</b> (12 characters _)	Section 3 <b>Information Type</b> (7 characters _)	
<ul style="list-style-type: none"> <li>• <b>CBI_:</b> a confidential file that will not be released to the public</li> <li>• <b>FOI _:</b> 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</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Engine Family Name_:</b> an individual engine family related file</li> <li>• <sup>(1)</sup><b>XXXXX_COMMON_:</b> any Common Information submittals</li> <li>• <sup>(2)</sup><b>XXXXARB_RED_:</b> California Red Sticker vehicles</li> <li>• <b>Evaporative Family Name_:</b> an individual evaporative family related file</li> </ul> <p><i>Note:</i>  <sup>(1)</sup> "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"  <sup>(2)</sup> "XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR code"</p>	<ul style="list-style-type: none"> <li>• <b>APP_INI_:</b> Initial Application submittal</li> <li>• <b>APP_FIN_:</b> Final Application submittal</li> <li>• <b>APP_Cnn_:</b> application running change</li> <li>• <b>APP_Fnn_:</b> application field fix (Where nn= 01 ~99 in numerical order)</li> </ul>	
		<b>(To be updated as needed)</b>	
		<p><b><u>Request for Approval (RFA*<sup>(3)</sup>):</u></b></p> <ul style="list-style-type: none"> <li>• <b>RFA* LAB_:</b> label content</li> <li>• <b>RFA*CAP_:</b> Corp. Ave. plan</li> <li>• <b>RFA*PLT_:</b> Production Line Testing Plan</li> <li>• <b>RFA*STP_:</b> Special Test Procedure</li> <li>• <b>RFA*WAR_:</b> Warranty Statement</li> <li>• <b>RFA*FTP_:</b> Functional Test Plan</li> </ul> <p><b><u>Correspondence (LTR*<sup>(3)</sup>):</u></b></p> <ul style="list-style-type: none"> <li>• <b>LTR*LOI_:</b> Letter of Intent</li> <li>• <b>LTR*CON_:</b> Confirmatory Test Document</li> <li>• <b>LTR*EML_:</b> E-mail Correspondance</li> </ul> <p><b><u>Compliance Reports (CR#*<sup>(3)(4)</sup>):</u></b></p> <ul style="list-style-type: none"> <li>• <b>CR#*PDR_:</b> Production report</li> <li>• <b>CR#*VIN_:</b> Vehicle VIN report</li> <li>• <b>CR#* CAR_:</b> Corporate Averaging report</li> <li>• <b>CR#*FEE_:</b> Certification Fee Report</li> <li>• <b>CR#*QTR_:</b> Quarterly Production Report (<i>ARB only</i>)</li> </ul> <p><i>Note:</i>  <sup>(3)</sup> "*" alphanumeric (1,2,3... or A,B,C,...)  <sup>(4)</sup> "#"should be 0, 1, 2, 3,... etc.  represents Report No.1 or first quarter, Report No.2 or second quarter, ...</p>	

**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:

<p><u>Section 1</u> <b>Confidentiality</b> (3 characters + underscore)</p>	<p><u>Section 2</u> <b>Applicability</b> (12 characters + underscore)</p>	<p><u>Section 3</u> <b>Information Type</b> (7 characters + underscore)</p>
<ul style="list-style-type: none"> <li>• <b>CBI_</b>: a confidential file that will not be released to the public</li> <li>• <b>FOI_</b>: 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</li> </ul>	<ul style="list-style-type: none"> <li>• <sup>(1)</sup><b>XXXXXyyyyyZZZ_</b>: any related engine family information submittals</li> <li>• <sup>(2)</sup><b>XXXXX_COMMON_</b>: any Common Information submittals</li> </ul> <p><b>Note:</b></p> <p><sup>(1)</sup> 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).</p> <p><sup>(2)</sup> "XXXXX" is the first five characters of an EF name, e.g. "model year + EPA MFR code + vehicle/engine category code"</p> <p><sup>(3)</sup> "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).</p>	<p style="text-align: center;"><b>Application for Certification</b></p> <ul style="list-style-type: none"> <li>• <b>APP_PRM_</b>: Primary Application</li> <li>• <b>APP_FLX_</b>: Flexibility Application (OFCI)</li> <li>• <b>APP_Cnn_</b>: Application Running Change</li> <li>• <b>APP_Fnn_</b>: Application Field Fix (Where nn= 01 ~99 in numerical order)</li> </ul> <p style="text-align: center;"><b>Other Standalone Documents (To be updated as needed)</b></p> <p><b>Request for Approval ("RFA*<sup>(4)</sup>"):</b></p> <ul style="list-style-type: none"> <li>• <b>RFA*LAB_</b>: Label Content</li> <li>• <b>RFA*DFP_</b>: Durability plan</li> <li>• <b>RFA*PHS_</b>: Phase In Plan</li> <li>• <b>RFA*ATP_</b>: Alternative Test Procedure</li> <li>• <b>RFA*ABT_</b>: Averaging, Banking , Trading Plan</li> <li>• <b>RFA*WAR_</b>: Warranty Statement</li> <li>• <b>RFA*TRM_</b>: Tamper-resistance</li> <li>• <b>RFA*ACD_</b>: Auxiliary Emission Control Device</li> <li>• <b>RFA*SNS_</b>: Sensors Table</li> <li>• <b>RFA*CAC_</b>: Carry Across table</li> <li>• <b>RFA*SCR_</b>: SCR Information</li> <li>• <b>RFA*DPF_</b>: DPF Regeneration Strategy</li> <li>• <b>RFA*DAP_</b>: Delegated Assembly Plan</li> <li>• <b>RFA*NTE_</b>: Not to Exceed request</li> </ul> <p><b>Correspondence (LTR*<sup>(4)</sup>):</b></p> <ul style="list-style-type: none"> <li>• <b>LTR*LOI_</b>: Letter of Intent</li> <li>• <b>LTR*SOC_</b>: Statement of Compliance</li> <li>• <b>LTR*OTH_</b>: Other Letters and Non-Approval Documents</li> <li>• <b>LTR*CPP_</b>: Certification Preview Plan</li> <li>• <b>LTR*COV_</b>: Cover Letter</li> </ul> <p><b>Compliance Reports (CR#<sup>(5)</sup>):</b></p> <ul style="list-style-type: none"> <li>• <b>CR#*DRE_</b>: Defect Report</li> <li>• <b>CR#*ABT_</b>: Averaging Banking Trading Summary</li> <li>• <b>CR#*PHS_</b>: Phase-in Compliance Report</li> <li>• <b>CR#*FLX_</b>: Flexibility Engine Production Report (OFCI)</li> <li>• <b>CR#*PDR_</b>: Production Report</li> <li>• <b>CR#*SER_</b>: Service Manual</li> </ul> <p><b>Note:</b></p> <p><sup>(4)</sup> "*" alphanumeric (A,B,C,etc... or 1,2,3,etc...)</p> <p><sup>(5)</sup> "#" 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.</p>

- **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 Off-Road Spark-Ignited 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:

<p><u>Section 1</u> <b>Confidentiality</b> (3 characters + underscore)</p>	<p><u>Section 2</u> <b>Applicability</b> (12 characters + underscore)</p>	<p><u>Section 3</u> <b>Information Type</b> (7 characters + underscore)</p>
<ul style="list-style-type: none"> <li>• <b>CBI_</b>: a confidential file that will not be released to the public</li> <li>• <b>FOI_</b>: 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</li> </ul>	<ul style="list-style-type: none"> <li>• <sup>(1)</sup> <b>XXXXXyyyyZZZ_</b>: any related engine family or evaporative family ( &lt; or equal to 80cc) information submittals</li> <li>• <sup>(2)</sup> <b>XXXXX_COMMON_</b>: any Common Information submittals</li> <li>• <sup>(3)</sup> <b>XXXXEyyZZZZ_</b>: Individual evaporative family related file for California SORE (&gt;80cc) or LSIE (&lt; 1 Liter)</li> </ul> <p><b>Note:</b></p> <p><sup>(1)</sup> 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).</p> <p><sup>(2)</sup> "XXXXX" is the first five characters of an EF name, e.g. "model year + EPA MFR code + vehicle/engine category code"</p> <p><sup>(3)</sup> "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 (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).</p>	<p style="text-align: center;"><b>Application for Certification</b></p> <ul style="list-style-type: none"> <li>• <b>APP_CSS_</b>: cert. summary sheet (Marine &amp; LSI Database Files Only)</li> <li>• <b>APP_PRM_</b>: primary application</li> <li>• <b>APP_SUP_</b>: supplemental application</li> <li>• <b>APP_EPA_</b>: EPA Application (Marine)</li> <li>• <b>APP_Cnn_</b>: application running change</li> <li>• <b>APP_Fnn_</b>: application field fix (Where nn= 01 ~99 in numerical order)</li> </ul> <p style="text-align: center;"><b>Other Standalone Documents (To be updated as needed)</b></p> <p><b>Request for Approval ("RFA*<sup>(4)</sup>"):</b></p> <ul style="list-style-type: none"> <li>• <b>RFA*LAB_</b>: Label Content</li> <li>• <b>RFA*DFP_</b>: Durability Plan</li> <li>• <b>RFA*PHS_</b>: Phase- in Plan</li> <li>• <b>RFA*CAP_</b>: Corp. Ave. plan</li> <li>• <b>RFA*PLT_</b>: Production Line Testing (PLT) Engine Sampling Plan</li> <li>• <b>RFA*ATP_</b>: Alternative Test Procedure</li> <li>• <b>RFA*ABT_</b>: Averaging, Banking , Trading Plan</li> <li>• <b>RFA*WAR_</b>: Warranty Statement</li> <li>• <b>RFA*OBD_</b>: On-Board Diagnostics</li> <li>• <b>RFA*TRM_</b>: Tamper-resistance</li> <li>• <b>RFA*ACD_</b>: Auxiliary Emission Control Device</li> <li>• <b>RFA*ECA_</b>: Engine Cooling (Auxiliary)</li> <li>• <b>RFA*EVP_</b>: Evaporative Plan</li> <li>• <b>RFA*OTH_</b>: Other document</li> <li>• <b>RFA*NTE_</b>: Not-To-Exceed Report</li> <li>• <b>RFA*BND_</b>: EPA Bond Worksheet</li> </ul> <p><b>Correspondence (LTR*<sup>(4)</sup>):</b></p> <ul style="list-style-type: none"> <li>• <b>LTR*LOI_</b>: Letter of Intent</li> <li>• <b>LTR*SOC_</b>: Statement of Compliance</li> <li>• <b>LTR*OTH_</b>: Other letters and non-approval documents</li> </ul> <p><b>Compliance Reports (CR#<sup>(5)</sup>):</b></p> <ul style="list-style-type: none"> <li>• <b>CR#*DRE_</b>: Defect Report</li> <li>• <b>CR#*ABT_</b>: Averaging Banking Trading Summary</li> <li>• <b>CR#*QTR_</b>: Quarterly Production Report (ARB Only)</li> <li>• <b>CR#*PLT_</b>: Production Line Test report</li> <li>• <b>CR#*PHS_</b>: Phase-in Compliance Report</li> </ul> <p><b>Note:</b></p> <p><sup>(4)</sup> "*" alphanumeric (A,B,C,etc... or 1,2,3,etc...)</p> <p><sup>(5)</sup> "#" 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.</p>



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**APPENDIX C.**  
**DMS Workflow Process**  
**Naming Convention**

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

<p><b>For TG/EF Specific Documents:</b>  MY_CBI(or)FOI_TG/EF Name_Type of Submittal  <b>(follow rules from file naming convention)</b></p>	
<p><i>Examples of Types of Submittals</i></p>	<ul style="list-style-type: none"> <li>○ <b>APPIPT1 – Initial Application</b></li> <li>○ <b>APPRCnn_EO (Running Change with EO)</b></li> <li>○ <b>APPRCnn (Running Change without EO)</b></li> <li>○ <b>RFA*MTP (Modified Test Plan RFA)</b></li> </ul>

<p><b>For Common Supporting Documents:</b>  MY_CBI(or)FOI _ MFR Code_ Type of Submittal_nn  (where nn = 01 - 99)</p>	
<p><i>Examples of Types of Submittals</i></p>	<ul style="list-style-type: none"> <li>○ <b>Common CBI/FOI Section</b></li> <li>○ <b>Certification Preview Plan (CPP)</b></li> <li>○ <b>Request For Approval</b> <ul style="list-style-type: none"> <li>- Warranty</li> <li>- Label</li> <li>- Special Test Procedure</li> </ul> </li> <li>○ <b>Correspondence Type</b> <ul style="list-style-type: none"> <li>- Durability</li> <li>- Emails</li> <li>- Misc</li> </ul> </li> <li>○ <b>Publication Type</b> <ul style="list-style-type: none"> <li>- Owners Manual</li> <li>- Service Manual</li> <li>- TSB</li> <li>- Warranty Manual</li> </ul> </li> <li>○ <b>Compliance Report Type</b> <ul style="list-style-type: none"> <li>- Assembly Line Test Plan</li> <li>- Cert Fee Document</li> <li>- NMOG-VEC Reports</li> <li>- Quality Audit Production</li> <li>- Year End Report</li> </ul> </li> </ul>

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

<p><b>For Applications:</b>  MY_CBI(or)FOI_Engine Family Name_Type of Submittal  (follow rules from file naming convention)</p>	
<p><i>Examples of Types of Submittals</i></p>	<ul style="list-style-type: none"> <li>○ <b>APP_INI_ – Initial Application</b></li> <li>○ <b>APP_Cnn_EO – Running Change with EO</b></li> <li>○ <b>APP_Cnn_ – Running Change without EO</b></li> <li>○ <b>APP_EVP_ – Evaporative application</b></li> </ul>

<p><b>For Support Documents:</b>  MY_CBI(or)FOI _ MFR Code_ Type of Submittal_nn  (where nn = 01 - 99)</p>	
<p><i>Examples of Types of Submittals</i></p>	<ul style="list-style-type: none"> <li>○ <b>Request For Approval</b> <ul style="list-style-type: none"> <li>- Warranty</li> <li>- Label</li> <li>- Durability Plan</li> <li>- Tamper Resistance Method</li> <li>- SCR Information</li> <li>- Alternative Test Procedure</li> <li>- Delegated Assembly Plan</li> </ul> </li> <li>○ <b>Correspondence Type</b> <ul style="list-style-type: none"> <li>- Letter of Intent</li> <li>- Statement of Compliance</li> <li>- Cover Letter</li> <li>- Certification Preview Plan</li> </ul> </li> <li>○ <b>Compliance Report Type</b> <ul style="list-style-type: none"> <li>- Certification Fee Report</li> <li>- Production Report</li> <li>- Fleet average Report</li> <li>- Service Manual</li> <li>- Averaging, Banking, and Trading Summary Report</li> <li>- Defect Report</li> </ul> </li> </ul>

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C.3 Off-Road Compression-Ignition Certification Categories

**Single Applications:**

Engine Family Name\_Sub Category<sup>1</sup>\_Sumbission Type<sup>2</sup>\_App

*Examples of Types of Submittals*

**CMFRL.123ABC\_Pwr 8-19\_New\_App**

**Support Documents:**

OFCI\_Model Year\_ARB Mfr Code\_Document Type<sup>3</sup>

*Examples of Types of Submittals*

**OFCI\_2012\_MFR\_RFA\*LAB**

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**(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.

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C.4 Off-Road Spark-Ignition Certification Categories

**Single Applications:**

**i. Exhaust Application or  $\leq$  80cc Evap. Application**

XXXXXyyyyyZZZ\* \_Sub Category<sup>(1)</sup> \_Submission Type<sup>(2)</sup> \_App

**ii. >80cc Evap. Application**

XXXXEyyZZZZZ\* \_Sub Category<sup>(1)</sup> \_Submission Type<sup>(2)</sup> \_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<sup>(1)</sup> \_Model Year \_ARB Mfr Code \_Document Type<sup>(3)</sup>

*Examples of Types of Submittals*

**SIME\_2012\_AMFR\_LAB**

**PLT/ABT Reports:**

Calender Quarter \_Category<sup>(1)</sup> \_ARB Mfr. Code \_PLT/ABT Reports

*Examples of Types of Submittals*

**12Q1\_SIME\_AMFR\_PLT Reports  
(e.g., 12Q1: the 1<sup>st</sup> quarter of year 2012)**

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**(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.