



# **New Procedures and Requirements for Electronic Submission of Mobile Source Emissions Certification Documents**

**Public Workshop**

December 10, 2021

# Outline

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# Background

- **CARB-DMS** in use since 2006
- To be replaced by **CARB-eFILE** in 2022
- **CARB-eFILE** uses M-Files Document Management System
- **CARB-eFILE** provides:
  - ✓ Documents association and features are based on metadata
  - ✓ Automatic document name generation
  - ✓ Virtual folders

# Introduction to CARB-eFILE

## Status

- System configuration of six 'Vaults' is completed
- Creation of manufacturer accounts to start early next year

## Key Points

- Domain referred to as '**Vault**'
- An assigned process accepts only one document
- No access to historical CARB-DMS documents
- User account maximum: 2 per manufacturer per vault


# Introduction

## Domain/Vaults have been reorganized

| # | DMS Domain       | → | eFILE Vault  | Vault Document Content  |
|---|------------------|---|--------------|---|
| 1 | ARB_HEAVY_DUTY   |   | HD_GHG       | Heavy Duty Greenhouse Gas Vehicles  |
| 2 | ARB_HEAVY_DUTY   |   | CIHD         | On-Road Heavy-Duty Vehicles and Engines, and OFCI Engines                       |
| 3 | ARB_OFF_ROAD     |   | OFF_ROAD_SIE | Off-Road Spark Ignition Engines   |
| 4 | ON_ROAD          |   | ON_ROAD_LD   | On-Road Light-Duty, Medium-Duty Vehicles  |
| 5 | HMC_OFMC_ATV_EGC |   | HMC_OHRV     | Highway Motorcycles, Off Highway Recreational Vehicles, and Electric Golf Carts |
| 6 | ARB_OBD          |   | OBD          | On Board Diagnostic Systems for Light, Medium, and Heavy-Duty Vehicles/Engines  |

# System Overview

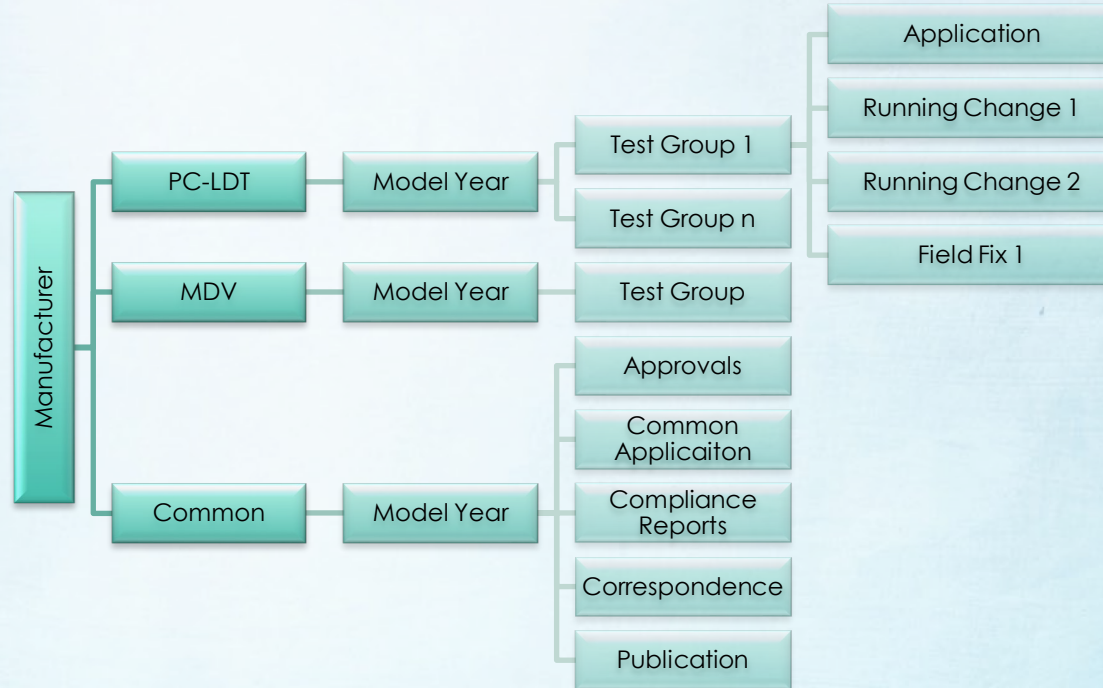
## Required Certification Documents

- Submit electronically through the internet
- Manufacturers  designated CARB Staff

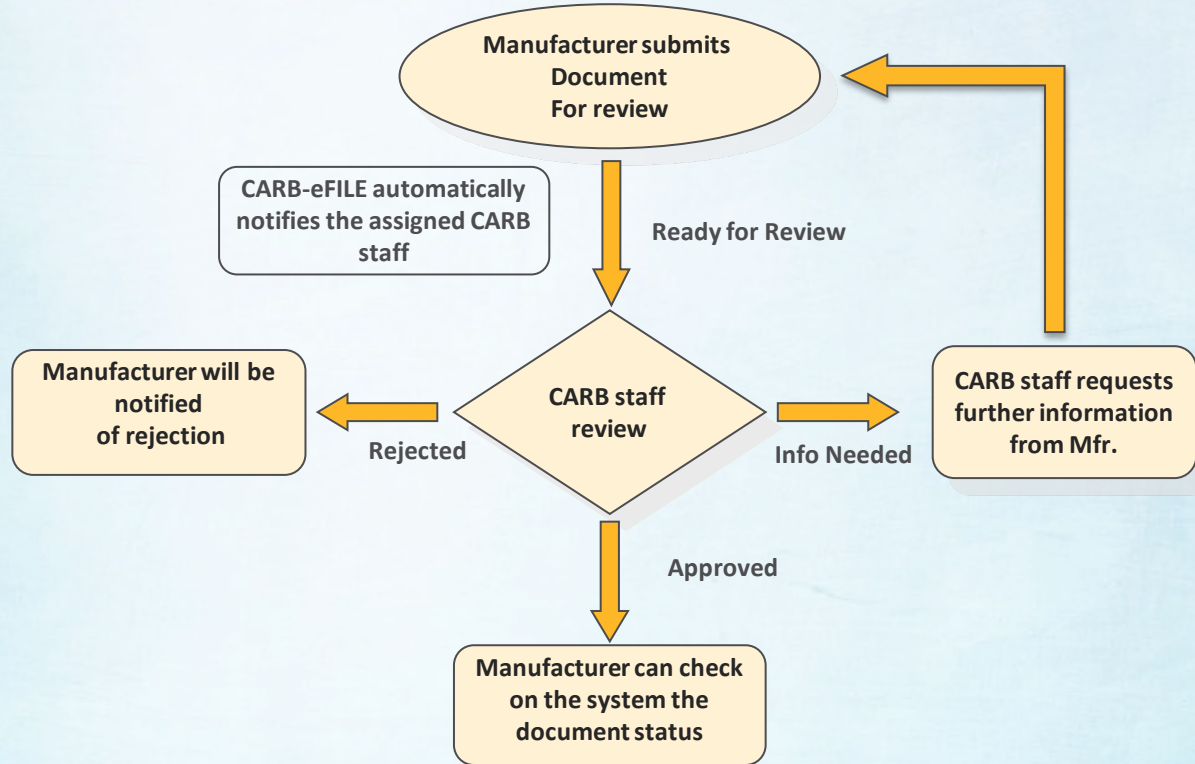
## Advantages:

- Automatic file name generation
- Drag and drop feature to upload documents
- Predefined Views

## Virtual Directory Structure (On-Road LD Vault View)



# Document Review Process





## Proposed Status of the Document Review Process

| DOCUMENT/PROCESS STATUS           | STATUS MEANING   |
|-----------------------------------|--|
| <b>1 Draft</b>                    | Document was uploaded but not submitted.   |
| <b>2 Ready for Review</b>         | Document was submitted and waiting to be reviewed.                                   |
| <b>3 Preliminary Review</b>       | The application is being reviewed for completeness.                                  |
| <b>4a Accepted for Filing</b>     | The application includes all CARB check list items and is Under Review.              |
| <b>4b Not Accepted for Filing</b> | The application does not include all CARB check list items.                          |
| <b>5 Under Review</b>             | The application is complete and is under detailed review.                            |
| <b>6 Info Needed</b>              | A request for additional information has been sent to the manufacturer.              |
| <b>7 Reviewed</b>                 | CARB Staff finished reviewing the document and EO has been submitted to the manager. |
| <b>8a Approved</b>                | The EO is signed.  |
| <b>8b Rejected</b>                | A close out letter was signed.   |
| <b>No EO Issued</b>               | CARB Staff finished reviewing a running change that does not need an EO.             |



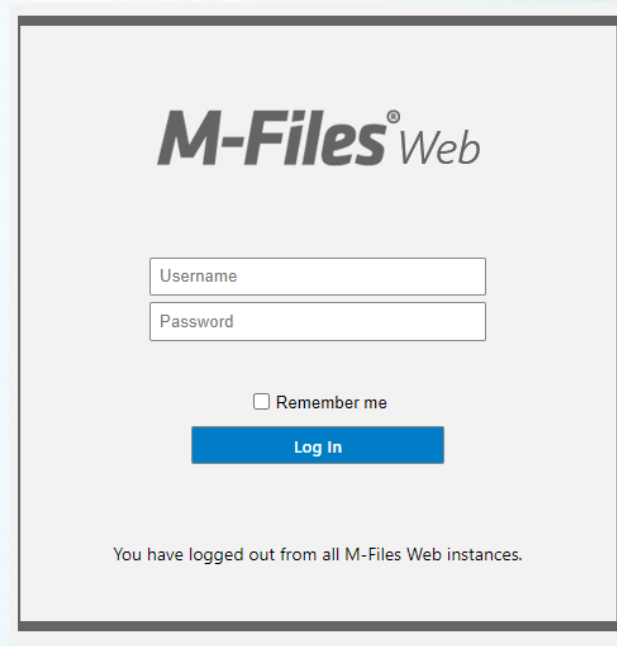
## Q & A Session 1

# System Demonstration

- Login
- User Interface Overview
- Upload a new document
- Submit new document for review
- Submit a revised document per CARB request

# Login

## CARB-eFILE's User Login Screen



**M-Files<sup>®</sup> Web**

Username

Password

Remember me

Log In

You have logged out from all M-Files Web instances.

## Change password

- Password - must be changed immediately at first log-in
- Forget your password - contact Certification Representative or CARB-eFILE team member
- Authorized manufacturers only need 1 login account to access multiple vaults

# User Interface Overview

The screenshot displays the M-Files user interface, divided into three main panels:

- LEFT PANEL:** Contains navigation options such as 'New', 'Go To', 'Home', 'Assigned to Me', 'Checked Out to Me', 'Favorites', 'Recently Accessed by Me', and 'File Transfers'.
- MIDDLE PANEL:** Features a 'SEARCH BAR' at the top with a search input field and an 'Advanced Search' dropdown. Below the search bar is a table of views:

| Name                      | Type |
|---------------------------|------|
| Common Views              |      |
| _On_Road                  | View |
| MFG - Finished Tasks View | View |
| MFG - Pending Tasks View  | View |
| Other Views               |      |
| Assigned to Me            | View |
| Checked Out to Me         | View |
| Favorites                 | View |
| Recently Accessed by Me   | View |
- RIGHT PANEL:** A large, empty white area intended for displaying file content or search results.

Additional UI elements include the 'M-Files' logo, a user account section labeled 'USER ACCOUNT' showing 'MFR2 Workshop Demo', and a 'Metadata Preview' sidebar on the right edge of the middle panel.

# Upload a document

- **Navigate** to directory location where document will be uploaded
- **Upload** documents into appropriate location using drag and drop feature
- **Select** correct “Document Class” to match your document content
- **Enter** required metadata and save the document. Document name will be automatically generated

# Submit to CARB for Review

## A. New document

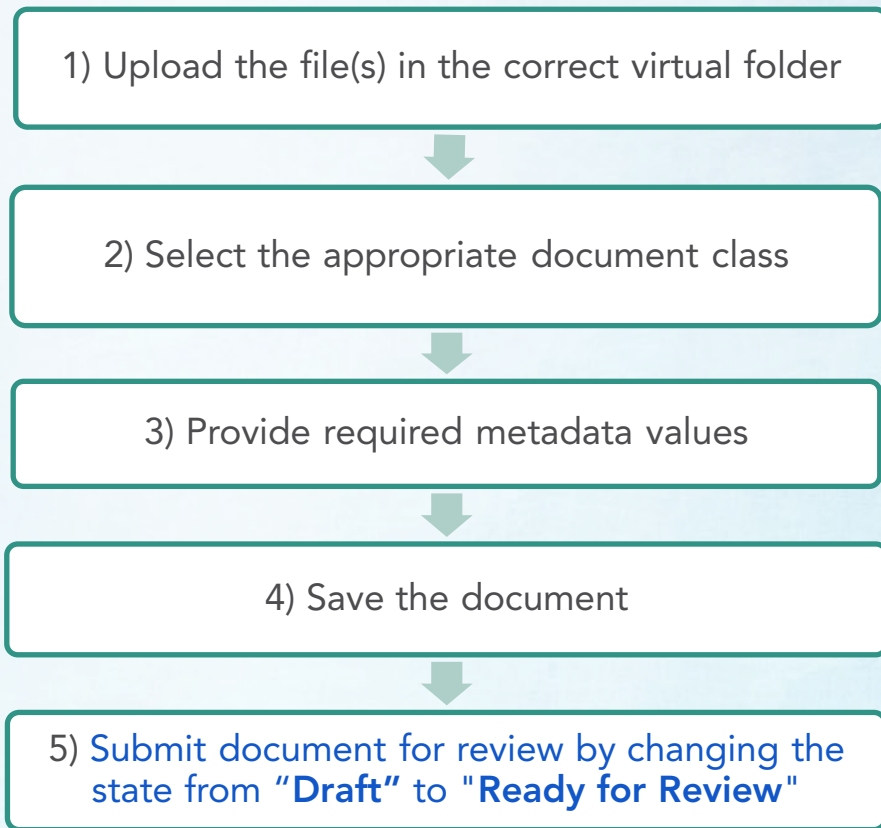
- Change state from **"Draft"** to **"Ready for Review"**

## B. Revised document

- Change state from **"Info Needed"** to **"Info Sent"** or **"Info Submitted"**
- Provide comments about the changes made



# RECAP: Steps to upload and submit documents



# Check Status

- As your document is being processed, the status will be updated to reflect progress
- The document "state" can be checked in the metadata card or in the State column where the file is displayed.

# How to obtain a new account

- Manufacturers shall email updated excel spreadsheet of authorized users to assigned Certification Representative
- User account maximum: 2 per manufacturer per vault
- Manufacturers may include consultant as second user
- Mail updated list of authorized signatures to:  
**Allen Lyons, Chief  
Emissions Certification and Compliance Division  
California Air Resources Board  
Address TBD**

# 2022 Timeline

- CARB Certification Representatives will be requesting new users lists in January
- Within the first quarter of 2022
  - start receiving new accounts
  - start receiving training
  - start submitting into **CARB-eFILE**
  - stop submitting into **CARB-DMS**

# Stay tuned for more announcements regarding start up of CARB-eFILE

<https://ww2.arb.ca.gov/certification-document-management-system>



## Q & A Session 2