CARB-eFILE User Guide

The Emissions Certification and Compliance Division
Document Management System

Version 1.1

12/14/22 Draft

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1. INTRODUCTION TO CARB-eFILE

1. Introduction to CARB-eFILE

The California Air Resources Board (CARB) uses an electronic document management system called CARB-eFILE, based on the M-Files software, to process and certify mobile source categories of motor vehicles, engines, equipment and parts. CARB authorized manufacturers can upload and submit their certification supporting documents to this system electronically. The system contains predefined views to assist manufactures in viewing their submitted documentation and its respective status, as wells as a search functionality based on the metadata contained within uploaded document.

CARB-eFILE will use a customized implementation of software created by the company M-Files, which will be designed to store and process documents pertaining to new vehicle and engine emissions certification, on-board diagnostic system certification, and exemptions for aftermarket parts.

1.1 How to use this guide

This User's Guide provides an overview of the important details related to the usage of CARB-eFILE. This information is presented sequentially, delineating how to access the system, walking through the user interface, and navigating through available features. The contents that follow will dive into those different features with provide ample examples to increase familiarity. Lastly, information that is specific or unique to any 'Vault', or certification category is included in Appendix A through G.

2. GETTING STARTED

2. Getting Started

In this section, manufacturers will learn how to get started with **CARB-eFILE**, including:

- Frequently used terminology
- Connecting to **CARB-eFILE**
- Activating Your Account and Changing User Password

2.1 Frequently Used Terminology in the CARB-eFILE

Table 2-1: Frequently used M-Files Terminology used in the CARB-eFILE system

Term	Definition
File vs. Document	An example of a file is a memo created using Microsoft Word and saved on the C: drive. The file becomes a document in the system only after you have associated metadata with it. Once you start transferring existing files to CARB-eFILE, you add metadata to the files to make them documents.
Metadata	Metadata consists of information about the document's properties that have been defined by certification staff to help search and organize uploaded documents. This includes information, such as, model year or family name/test group name.
Vault	A vault is a centralized storage location for documents and is divided by certification category.
View	Views are locations in which the documents are listed based on the metadata they contain.
Folder	Folders enable sorting documents in the view into groups/categories.
Workflow	The Workflow feature models the document review lifecycle. The workflow is grouped into states that correspond to the working stages of the document. Examples include, pending, approved etc.

2.2   Connecting to CARB-eFILE

CARB-eFILE address: *https://login.arb.ca.gov/*

2.2.1. First-time user must activate your CARB-eFILE account

Step 1: You will receive an email sent by CARB (see the following email example). Click "Activate CARB Account".

Welcome to CARB!

CA   CARB Admin <no-reply@arb.ca.gov>
Fri 7/29/2022 12:15 PM
To:

Welcome to CARB!

Hi MFR_

CARB is using Okta to manage it's web applications. This means you can conveniently access CARB applications through a single, secure home page.

Your system administrator has created a user account for you.
Click the following link to activate your account:

> **Activate CARB Account**

This link expires in 7 days.

Your username is

Your organization's sign-in page is https://login.arb.ca.gov

If you experience difficulties accessing your account, you can send a help request to your system administrator using the following email address:
oktasupport@arb.ca.gov

Step 2: Click "Setup", then setup your password to meet the password requirements, then click "Next".

Set up security methods
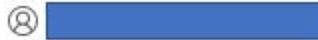
Security methods help protect your Okta account by ensuring only you have access.

Set up required

Password
Choose a password for your account
Used for access

Set up

Back to sign in

Set up password

Password requirements:

- At least 15 characters
- A lowercase letter
- An uppercase letter
- A number
- No parts of your username
- Does not include your first name
- Does not include your last name
- Your password cannot be any of your last 12 passwords

Enter password

Re-enter password

Next

Return to authenticator list

Back to sign in

Step 4: You may see one or multiple vaults available, then click the vault you want to access. For example, you want to access CARB's OBD vault, just click the OBD vault.
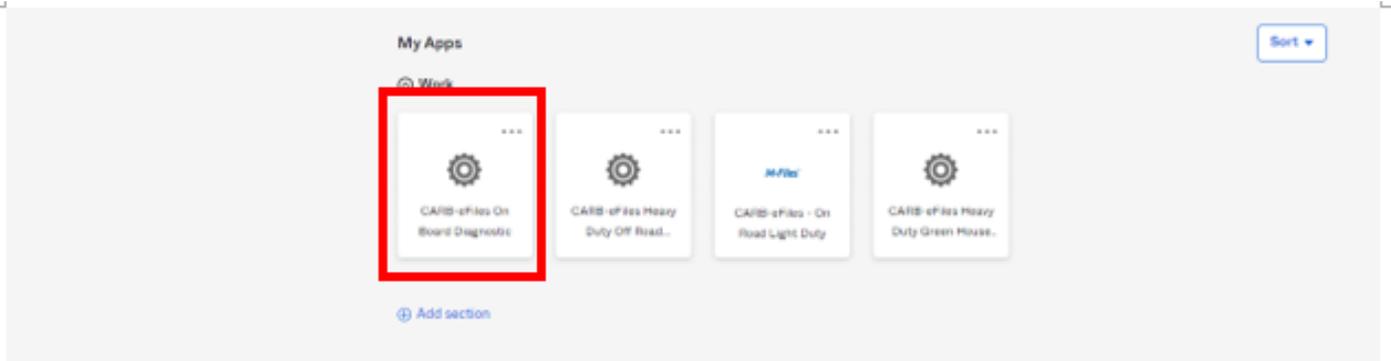
2.2.2 Connect to CARB eFILE System

Step 1: Use the link: *https://login.arb.ca.gov/*

Step 2: Input username (username is in the "Activate CARB Account" email, see example below), then click "Next".

Welcome to CARB!

Hi MFR_▆▆▆

CARB is using Okta to manage it's web applications. This means you can conveniently access CARB applications through a single, secure home page.

Your system administrator has created a user account for you.
Click the following link to activate your account:

Activate CARB Account

This link expires in 7 days.

Your username is ▆▆▆▆▆▆
Your organization's sign-in page is https://login.arb.ca.gov

If you experience difficulties accessing your account, you can send a help request to your system administrator using the following email address: oktasupport@arb.ca.gov

Sign In

Username

Keep me signed in

Next

Unlock account?

Help

Step 3: Input password, then click "Verify".

Verify with your password

Password

Verify

Forgot password?

Back to sign in

Step 4: You may see one or multiple vaults available, then click the vault you want to access. For example, you want to access CARB's OBD vault, just click the OBD vault.
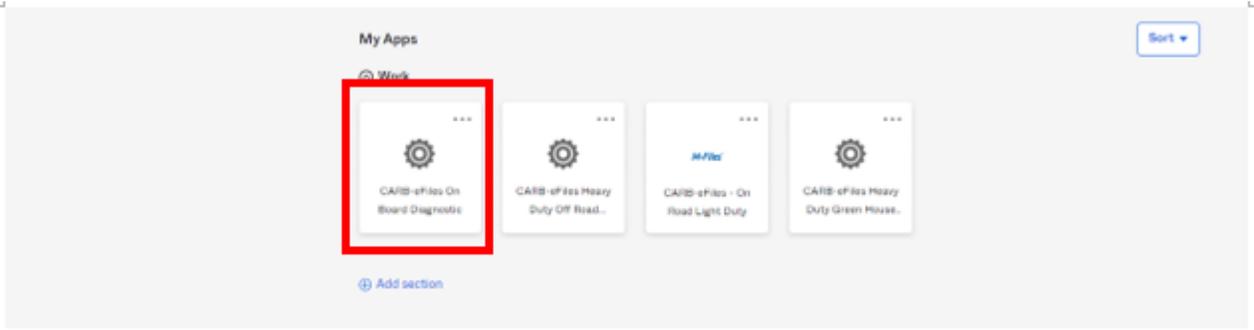
2.3   Forgetting User Password and Changing User Password

Use the link: *https://login.arb.ca.gov/*

Step 1: Input username, then click "Next".

Step 2: Reset Password by click "Forget password?"

Verify with your password

Password

Verify

Forgot password?

Back to sign in

Step 3: Click "Send me an email"

Verify with your email

Verify with an email link or enter a code sent to

Send me an email

Back to sign in

Step 4: Click the link inside of the email or key in the code in the email

Verify with your email

We sent an email to ▮▮▮▮▮▮. Click
the verification link in your email to continue
or enter the code below.

Enter a code from the email instead

Back to sign in

Email example for password reset:

CARB Password Reset Requested

Hi [redacted]

A password reset request was made for your CARB account. If you did not make this request, please contact your system administrator immediately.

Click this link to reset the password for your username, [redacted]:

Reset Password

This link expires in 5 minutes.

Can't use the link? Enter a code instead 925399

If you experience difficulties accessing your account, send a help request to your administrator: oktasupport@arb.ca.gov

Step 5: Reset your password to meet the password requirements

CALIFORNIA

Reset your Okta password

Password requirements:

- At least 15 characters
- A lowercase letter
- An uppercase letter
- A number
- No parts of your username
- Does not include your first name
- Does not include your last name
- Your password cannot be any of your last 12 passwords

New password

Re-enter password

Reset Password

Back to sign in

3. CARB-eFILE USER INTERFACE

3. CARB-eFILE User Interface

3.1 Major Steps to upload and submit documents

It is recommended that before uploading documents, the manufacturer identifies the document class of each file based on the content of the file(s) and have them saved in their local drive organized by document class. This preliminary preparation will facilitate file upload and document submission to the correct workflow. Also, it is important to identify the correct location prior to uploading the file(s). Reference the virtual directory of the vault appendix for this upload and submit documents.

Figure 3-1: Major steps to upload and submit documents.

1) Upload the file in the correct virtual folder

2) Select the appropriate document class

3) Provide required metadata values

4) Save the document by clicking on "**Create**"

5) Submit and change workflow to "**Ready for Review**"

Figure 3-2: Overview of CARB-eFILE

Once a document is uploaded the next step is to submit it to the review process, otherwise the document will remain in draft state and will not be reviewed by the certification engineer.

Figure 3-2 provides an overview of how authorized manufacturers can submit their certification supporting documents to CARB-eFILE electronically. The system will automatically route each document to the designated CARB Staff for review.

The designated CARB Staff will notify the manufacturer if their application is not complete, if corrections are needed, and/or if additional information is needed. CARB staff will then change the document status to INFO NEEDED.

Manufacturers are automatically notified by the system whenever their applications are Approved or Rejected.

To facilitate Manufacturers' documents submission, CARB Staff has configured workflows to automatically receive, review, and process the different document classes. In the appendix of each Vault there is a cross reference table to help Manufacturers identify the different workflow templates and the corresponding Class documents to be submitted.

3.2 User Interface

This section describes the components and features of the **CARB-eFILE** User Interface **Figure 3-3**. The User Interface is composed of four main parts:

- The **task area** (A) on the left contains frequently used commands and shortcuts.
- The **right panel** (B) displays the **Metadata** and **Preview** tabs.
- The **quick search** bar and Advanced Search (C) on the top allows you to search for documents.
- The **listing area** (D) in the center lists views, documents and search results.

Figure 3-3: User Interface (web app)
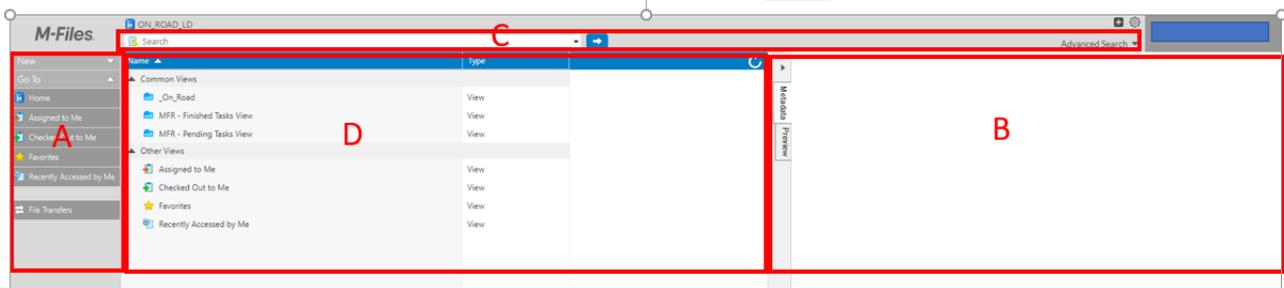
Task area

The task area contains frequently used commands and shortcuts divided into separate sections. If the task area is not visible, you can display it by clicking the gray, vertical tab on the left edge of the user interface.

Right panel

In the right panel, you can alternate between the **Metadata** and **Preview** tabs.
The **Metadata** tab displays the metadata card of the currently selected document. Every document is associated with metadata (refer to table 3-1).
The **Preview** tab allows you to preview the contents of the currently selected document.

Quick search & Advanced Search drop-down button

The quick search and Advanced Search drop-down button at the top of the user interface allows you to search for documents.

Listing area

The listing area normally contains views and documents.

4. UPLOADING DOCUMENTS INTO THE CARB-eFILE REPOSITORY

4. Uploading Documents into the CARB-eFILE Repository

4.1 How to Upload a file to CARB-eFILE

Figure 4-1: Process of upload a file.
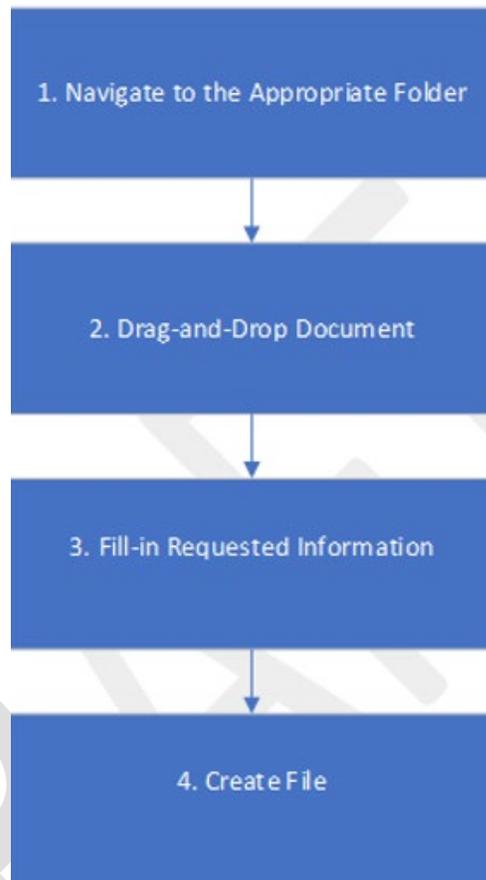
1. Navigate to the Appropriate Folder
    - To find the folder that corresponds to the file you intend to upload, click on the vault specific folder, then the manufacturer's folder (your company), then the category folder if applicable, then the model year folder.
2. Drag-and-Drop file into the folder
    - Once in the appropriate folder, Drag-and-Drop the file you intend to upload into the folder. A prompt will appear asking for more information about the file (i.e., metadata).
      (Note: navigating deeper into the folder structure prior to the drag-and-drop operation will auto populate more information on the metadata card.)
3. Fill in Requested Information
    - Select the correct document class from the drop-down menu. Once selected, additional fields will appear. Fill in the required fields (*) in the "Manufacturer Information" and the "Document Information" sections.
4. Create

- Once the metadata card is complete, select "Check in immediately" and click "Create." eFILE will use the provided metadata information to automatically place the file into the correct folder location.

Figure 4-2: Steps of upload a file.
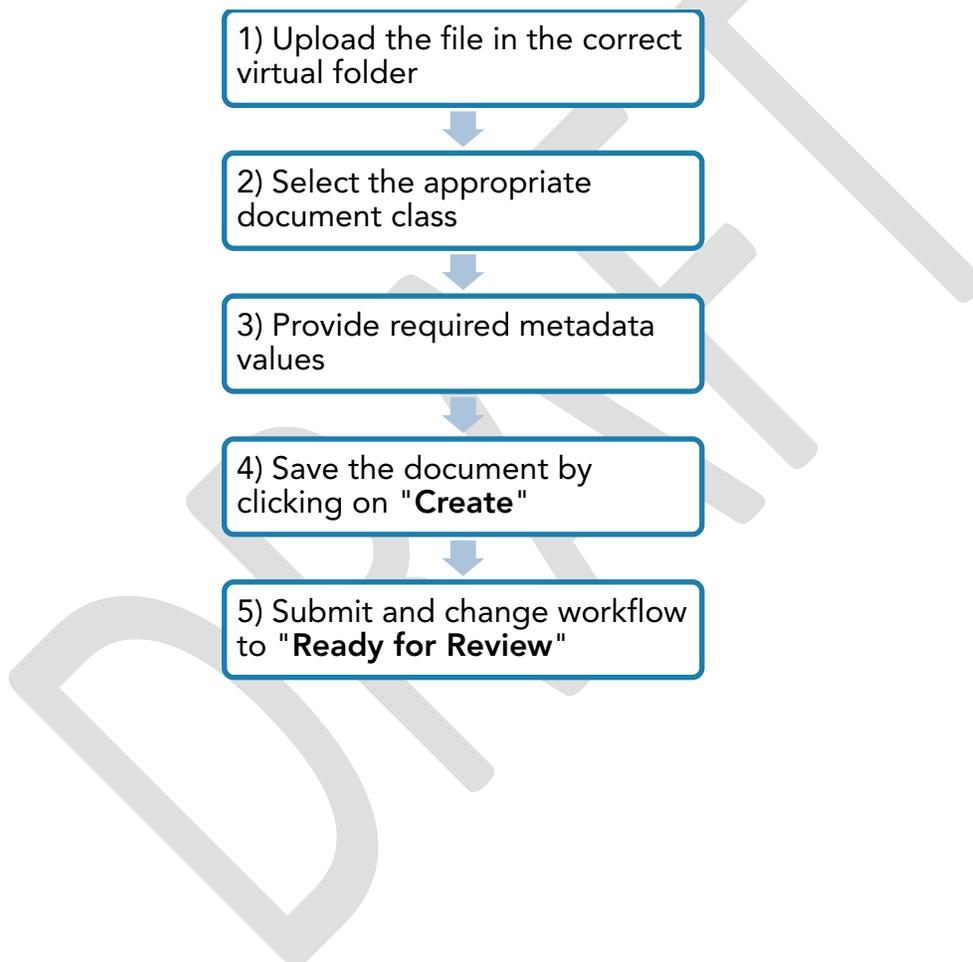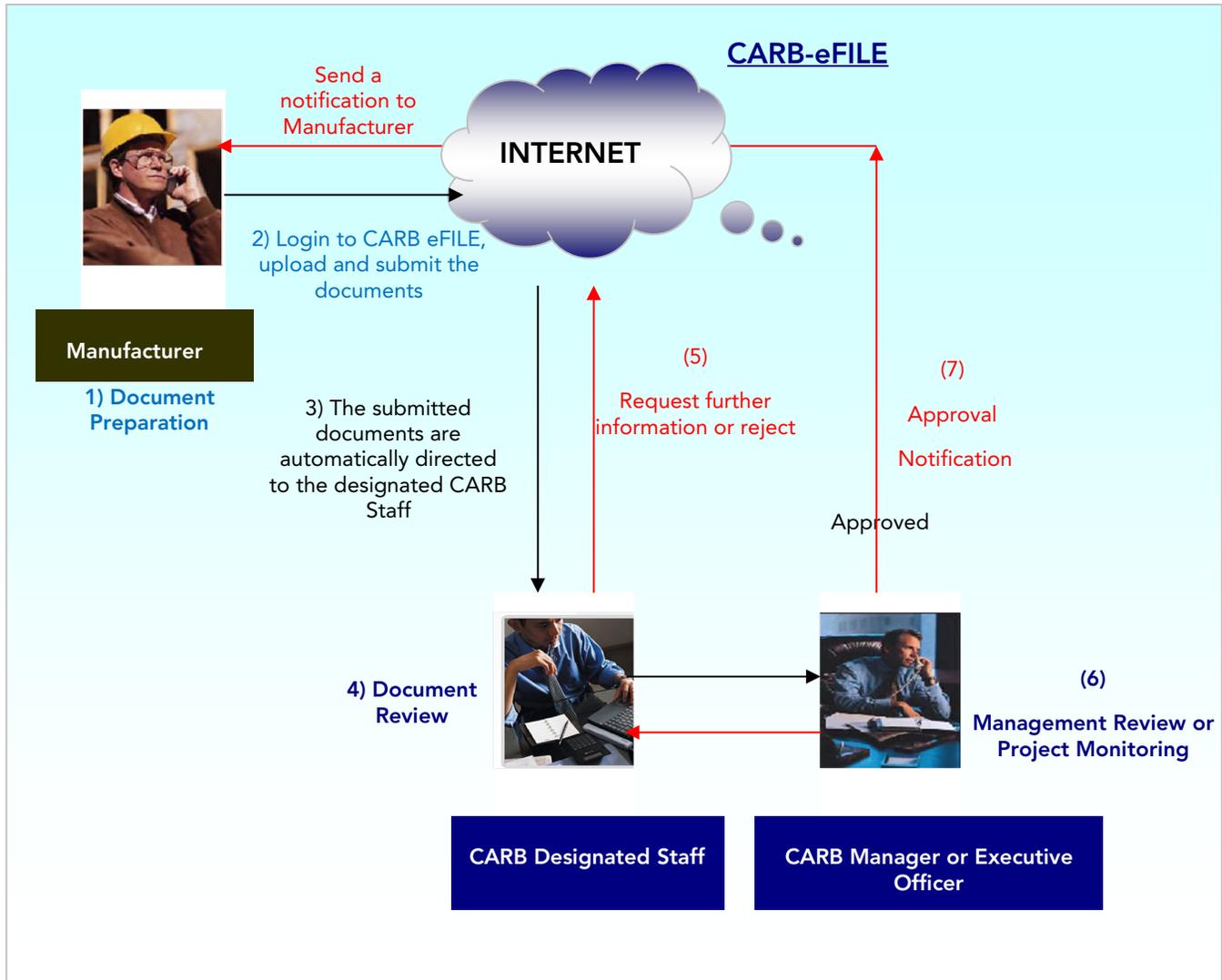
5. DOCUMENT SUBMISSION

5.   Submit to CARB for Review

5.1 Overview

Once a document is uploaded the next step is to submit it to the review process, otherwise the document will remain in draft state and will not be reviewed.

Figure 5-1 provides an overview of how authorized manufacturers can submit their certification supporting documents to the CARB-eFILE electronically. The system will automatically route each document to the designated CARB Staff for review.

The designated CARB Staff will notify the manufacturer if their application is not complete, if corrections are needed, and/or if additional information is needed. CARB staff will then change the document status to INFO NEEDED.

Manufacturers are automatically notified by the system whenever their applications are Approved or Rejected.

5.2 Submitting Documents to Workflow

After a document has been uploaded, it is important to ensure that the document name is correct. If it is not, make the appropriate metadata correction(s) before submitting the document for review. It is important to note that the document name changes are not permitted after the document is submitted for review. A manufacturer will have a second opportunity to correct the document name when they are asked to provide more information or make corrections during the review process.

Figure 5-1 shows a picture of an uploaded application document for a medium-duty vehicle (MDV). The RIGHT PANEL displays at the bottom the document status "**Draft**". The default name of the Workflow Template is seen above the status. If you click on it, the system will display the options, if available, in case you need to select a different one.

The LEFT PANEL displays the header "**System Transition**" and below it, there is the transition(s) available to you, at this stage, "**Ready for Review**". Click *on* "**Ready for Review**", *to submit to the workflow process* "**Certification Application**" and provide a comment about the submittal if the system prompts you to do so. Use this comment to communicate any additional information about the submittal to your CARB assigned engineer. Once the document is submitted, the assigned CARB Staff is notified immediately.

Figure 5-1: Uploaded Application Ready for Workflow Submittal
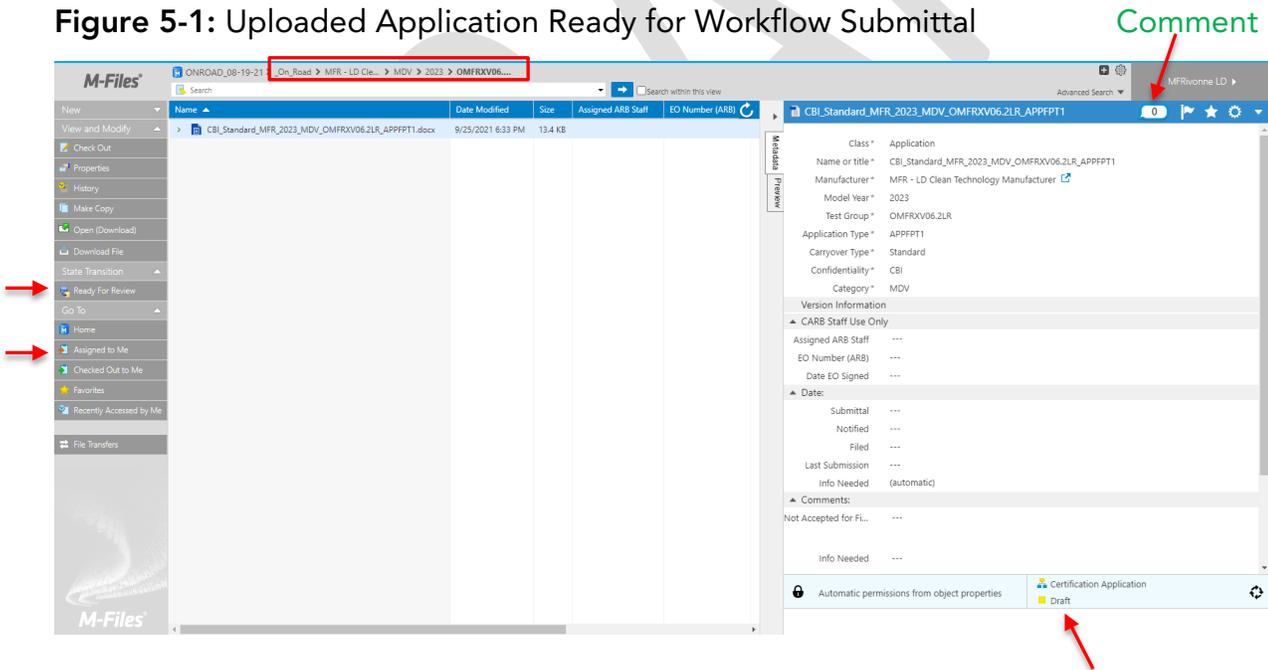
Figure 5-2 shows the screen changes after an Application document is submitted to the workflow. Notice that on the LEFT PANEL, the header "**State Transition**" is no longer available for this document. The MIDDLE PANEL and the LEFT PANEL now will display the Assigned CARB Staff who will be reviewing the certification document.

At the bottom of the RIGHT PANEL the system displays the Application document status, the user must change the document status manually from **Draft** to **Ready for Review**. Also, the date of submittal is automatically recorded by the system and marks the beginning of the review process. The system will notify the Assigned CARB Staff that a new application is waiting for their review. If you click on the comment bubble you can read the comment(s).

Figure 5-2: Submitted Application Document
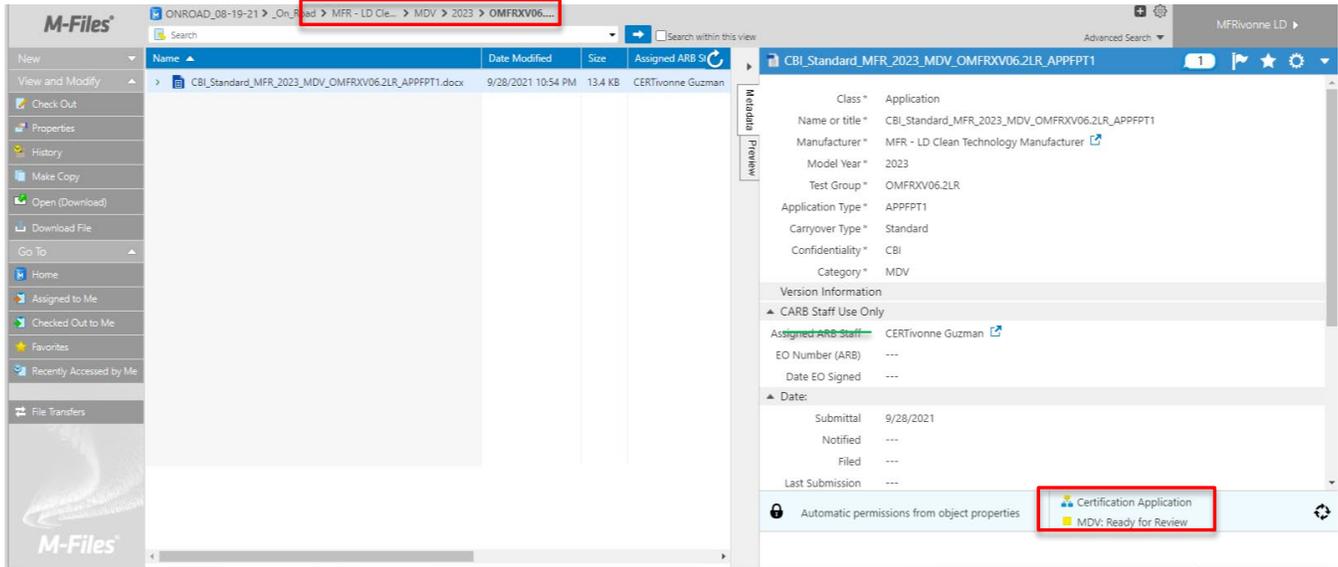
CARB Staff will conduct a preliminary review to check if all CARB checklist items have been submitted. At this "preliminary review" stage, CARB Staff will change the status to either "accepted for filing" or "not accepted for filing" and the system will automatically notify the manufacturer of the document status change and record key dates. **Figure 5-3** is an example of an application that was accepted for filing. At the bottom of the right displays the dates recorded by the system.

Figure 5-3: Complete Application – *accepted for filing*
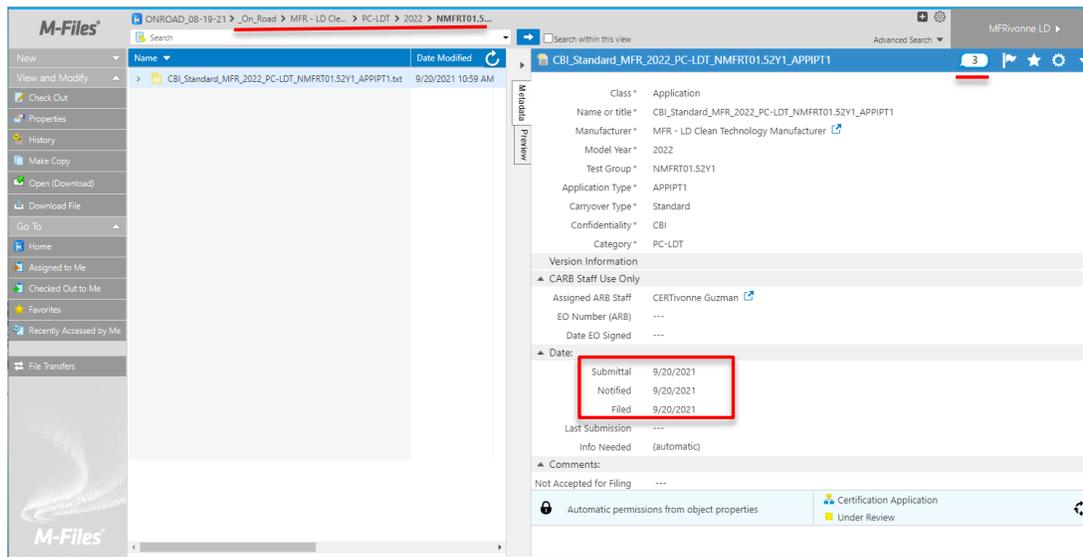
5.3 Correcting an existing document

- o The manufacturer may receive an e-mail notification from the Cert Staff that the application/document was "**Not Accepted for Filing**" or "**Info Needed**".
- o To correct the existing document, the manufacturer can follow Cert Staff's comments listed in the e-mail or the document's comments section in the metadata card.
- o After corrections are completed, log in to the **CARB-eFile**, then go to the "**Assigned to Me**" view and find the document assigned to the user. **Figure 5-4** show an example document and highlighted changes in the comment section

Figure 5-4: "Assigned to Me" View
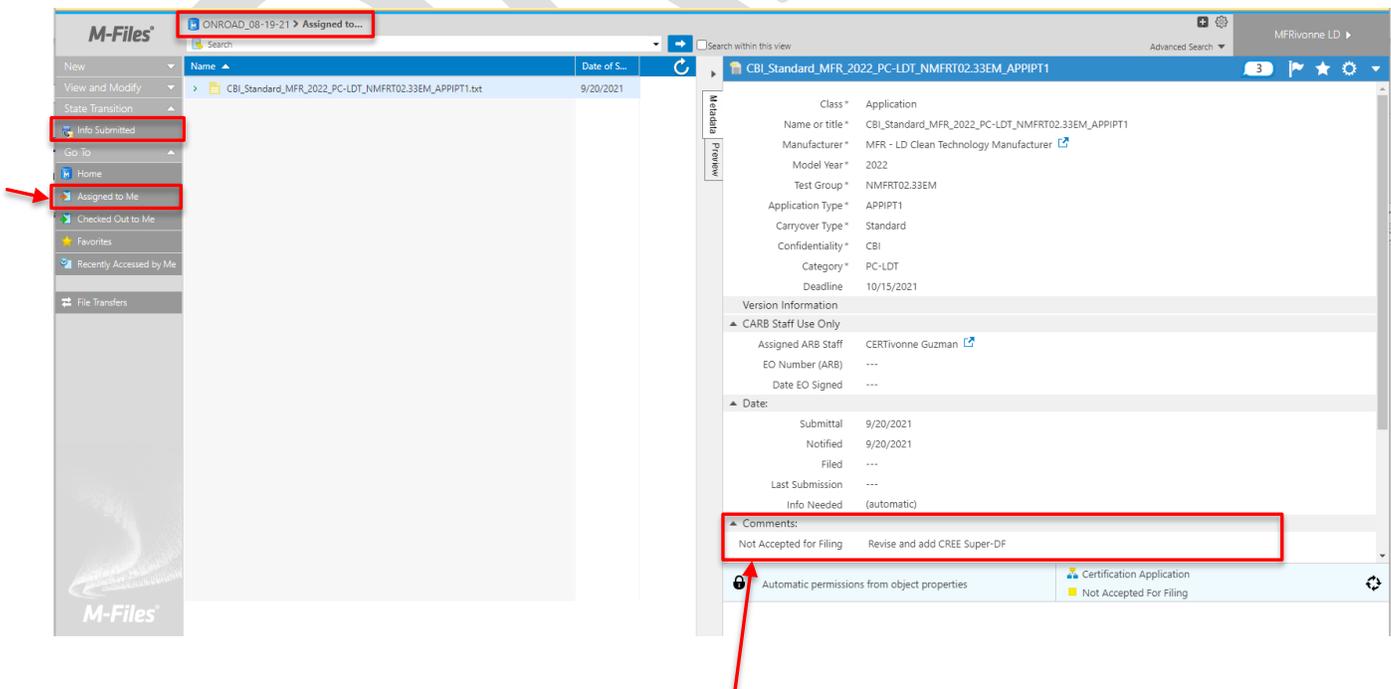
o Drag the corrected document over the document that needs to be replaced. When done correctly, a pop-up dialogue box will ask the user to confirm the document replacement as shown in **Figure 5-5**.

Figure 5-5: Confirm Document Replacement
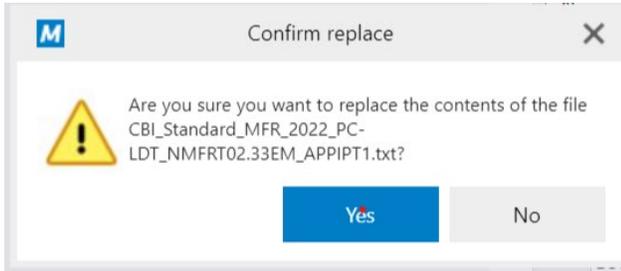
o From the bottom right of the metadata card move the document state from "**Not Accepted for Filing**" or "**Info Needed**" to "**Info Submitted**" to submit the revised document. When prompted enter describe the corrections made in the comment box, and then click "**OK**" as shown in **Figure 5-6**. The system will automatically notify the Cert Staff a new revised document is ready for their review.

Figure 5-6: Example Pop-up Dialogue for Describing Corrections.
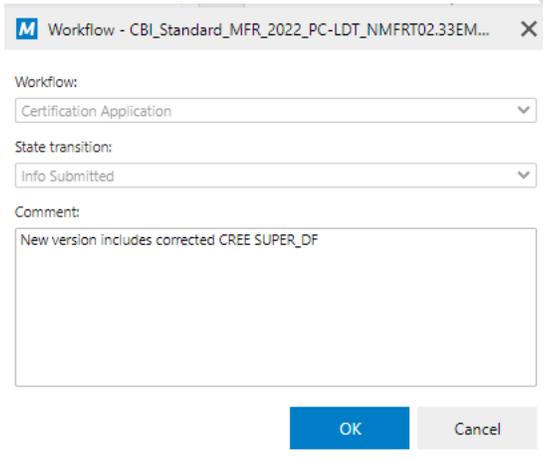
Once the revised document is submitted it will no longer be visible in the "**Assigned to Me**" view. The document can still be located in the proper folder as shown in **Figure 5-7** or other views. Notice that the document status has changed from "**Not Accepted for Filing**" or "**Info Needed**" to "**Preliminary Review**"

Figure 5-7: Example Folder Showing the Corrected Document
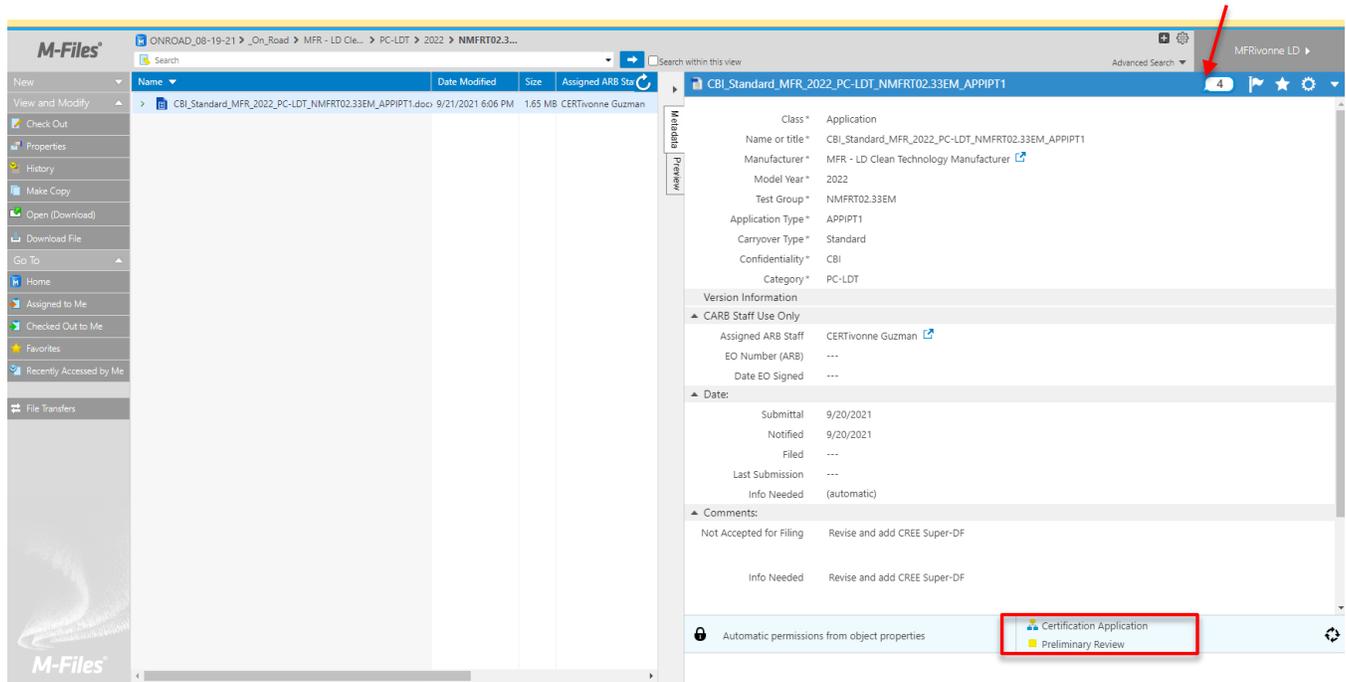
During the review process, manufacturers can check the document state for each document from the metadata card or view the document status for all documents in the "Pending Task" view.

6. Vault Differences

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6. Vault Differences

Document Classes

CARB-eFILE contains multiple vaults that store different type of information. Each vault contains a unique list of document classes as per the document content appropriate to that vault. In addition, each of the document classes have different metadata that are used to organize and find the documents. Since the information varies by vault, the particulars are included in each vault appendix.

Virtual Folders

Besides having a unique set of document classes, each vault also has a unique virtual directory structure/directory view as illustrated in the vault appendices. The directory schema shows all the folders to guide manufacturers in uploading various document classes. As mentioned earlier in section 3.1, the system automatically populates some of the metadata from the virtual directory path, when a document is uploaded in the indicated folder.

Workflow Templates

Some document classes have different review sequences and procedures. Therefore, different workflow templates were created. In each appendix you will find a cross reference table that identifies the different workflow templates and the document classes that they are used with.

Vault specific information and their corresponding vault appendices are listed in **Table 6-1**.

Table 6-1: Appendices Containing Unique Vault Information

Appendix	Vault ID	Vault Document Content
A	APCA	Aftermarket Parts Certification & Audit
B	HD_GHG	Heavy-Duty Green House Gas
C	HMC_OHRV	Highway Motorcycles and Off Highway Recreational Vehicles
D	OBD	On-Board Diagnostic Systems for Light, Medium, and Heavy-Duty Vehicles
E	OFF_ROAD_SIE	Off-Road Spark Ignition Engines
F	CIHD	On-Road Heavy-Duty Vehicles and Engines, and OFCI Engines
G	ON_ROAD_LD	On-Road Light-Duty Vehicles

7. REFERENCES

https://www.m-files.com/user-guide/2018/eng/getting_familiar_with_the_user_interface.html

APPENDIX A - APCA

Aftermarket Parts Certification & Audit

(To be included in future)

APPENDIX B - HD_GHG

Heavy-Duty Green House Gas

B.1 Document Types and Metadata for Heavy-Duty Green House Gas Categories

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault

Class Type	Description	Metadata Name	Format / Valid Values	Required
Application	Standard and Carryover Certification Application for a Specific Vehicle Family.	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Category	Choose from list	Yes
		Model Year	Choose from list	Yes
		Family Name	Text	
		Vehicle Class [HDV only]	Choose from list	
		Suitable Trailer Type [Trailer only]	Choose from list	
		Aero Type	Choose from list	
		Aero/Trailer Aerodynamic Test Method	Choose from list	
		Application Type	Choose from list	Yes
		Carryover Type	Choose from list	Yes
		Confidentiality	Choose from list	Yes
		Cert. Type	Choose from list	Yes
		Version Information	Text	Yes
		Assigned CARB Staff	Choose from list	Yes
		EO Number (ARB)	Text	
		Date EO Signed	Date	
		Closeout Letter Date	Date	
		Closeout Letter #	Text	
		Date of Submittal	Date	
		Date Notified	Date	
		Date Filed	Date	
		Date Last Submission	Date	
		Date Info Needed	Date	
		Not Accepted for Filing	Text	
		Info Needed	Text	
		Rejected	Text	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Running Change	Running Change of Certification Application	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Category	Choose from list	Yes
		Running Change Number	Choose from list	Yes
		Model Year	Choose from list	Yes
		Family Name	Text	Yes
		Vehicle Class	Choose from list	Yes
		Confidentiality	Choose from list	Yes
		Cert. Type	Choose from list	Yes
		Original EO Number corrected from (ARB)	Text	Yes
		Change Made	Choose from list	Yes
		Keywords/Misc.	Text	
		Notify Loop Flag	Choose from list	
		Running Change Identifier	Choose from list	Yes
		Version Information	Text	Yes
		New EO number (ARB)	Text	
		Date EO Signed	Date	
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Last Submission	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	
		Historical Comments: Info Needed	Text (multi- line)	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Supporting Docs	Supporting Docs Submitted by Manufacturer	Name or Title	Text	Yes
		Manufacturer	Choose from List	Yes
		Category	Choose from List	Yes
		Model Year	Choose from list	Yes
		Confidentiality	Choose from list	Yes
		Common Material Submittal Type	Choose from list	Yes
		Description	Text	
		Applicable	Choose from List	Yes
		Keywords/Misc.	Text	
		Version Information	Text	Yes
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	
		Historical Comments: Info Needed	Text (multi- line)	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
AC Leakage Compliance	AC Leakage Compliance	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Model Year	Choose from list	Yes
		Single or Multiple Vehicle Families	Choose from list	Yes
		Family Name	Text	
		Confidentiality	Choose from list	Yes
		Category	Choose from list	Yes
		Cert. Type	Choose from list	Yes
		Submittal Type	Choose from list	Yes
		Keywords/Misc.	Text (Multi-Line)	
		Version Information	Text	Yes
		Approval Num (ARB)	Text	
		Project Engineer	Choose from list	
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Send to Project engineer	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	
		Historical Comments: Info Needed	Text (multi- line)	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Publication	Publications (i.e. owners manuals, warranty books, etc.)	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Category	Choose from list	Yes
		Model Year	Choose from list	Yes
		Family Name	Text	
		Confidentiality	Choose from list	Yes
		Publication Type	Choose from list	Yes
		Parts MFR	Text	Yes
		Keywords/Misc.	Text	
		Version Information	Text	Yes
		Approval Num (ARB)	Text	
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Reports	Items that need to be approved	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Category	Choose from list	Yes
		Model Year	Choose from list	Yes
		Confidentiality	Choose from list	Yes
		Cert. Type	Choose from list	Yes
		Report Type	Choose from list	Yes
		Keywords/Misc.	Text (Multi-Line)	
		Version Information	Text	Yes
		Approval Num (ARB)	Text	
		Project Engineer	Choose from list	
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	
		Historical Comments: Info Needed	Text (multi- line)	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Test Plan	Test Plan	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Category	Choose from list	Yes
		Model Year	Choose from list	Yes
		Confidentiality	Choose from list	Yes
		Cert. Type	Choose from list	Yes
		Test Plan Type	Choose from list	Yes
		Aerodynamic Test Method	Choose from list	
		Keywords/Misc.	Text (Multi-Line)	
		Version Information	Text	Yes
		Approval Num (ARB)	Text	
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	
		Historical Comments: Info Needed	Text (multi- line)	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Correspondence	Correspondence	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Category	Choose from list	
		Model Year	Choose from list	
		Correspondence Type	Choose from list	Yes
		Description	Text	Yes
		Confidentiality	Choose from list	Yes
		Correspondence Title	Text	
		Keywords/Misc.	Text	
		Version Information	Text	Yes
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	
		Historical Comments: Info Needed	Text (multi- line)	

Table B-1: Document Classes and Associated Metadata for the Heavy-Duty Green House Gas Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Transmission /Axle Information	Transmission /Axle Information	Name or Title	Text	Yes
		Manufacturer	Choose from list	Yes
		Model Year	Choose from list	Yes
		Transmission /Axle Type	Choose from list	Yes
		Category	Choose from list	Yes
		Cooling Methods	Choose from list	Yes
		Confidentiality	Choose from list	Yes
		Keywords/Misc.	Text	
		Version Information	Text	Yes
		Approval Num (ARB)	Text	
		Approval Date	Date	Yes
		Assigned CARB Staff	Choose from list	Yes
		Date of Submittal	Date	
		Date Info Needed	Date	
		Info Needed	Text	
		Rejected	Text	
		Staff notes	Text	
		Historical Comments: Info Needed	Text (multi- line)	

B.2 Virtual Folders for Heavy-Duty Green House Gas Categories

Figure B-1: Heavy-Duty Green House Gas Virtual Directory (View)
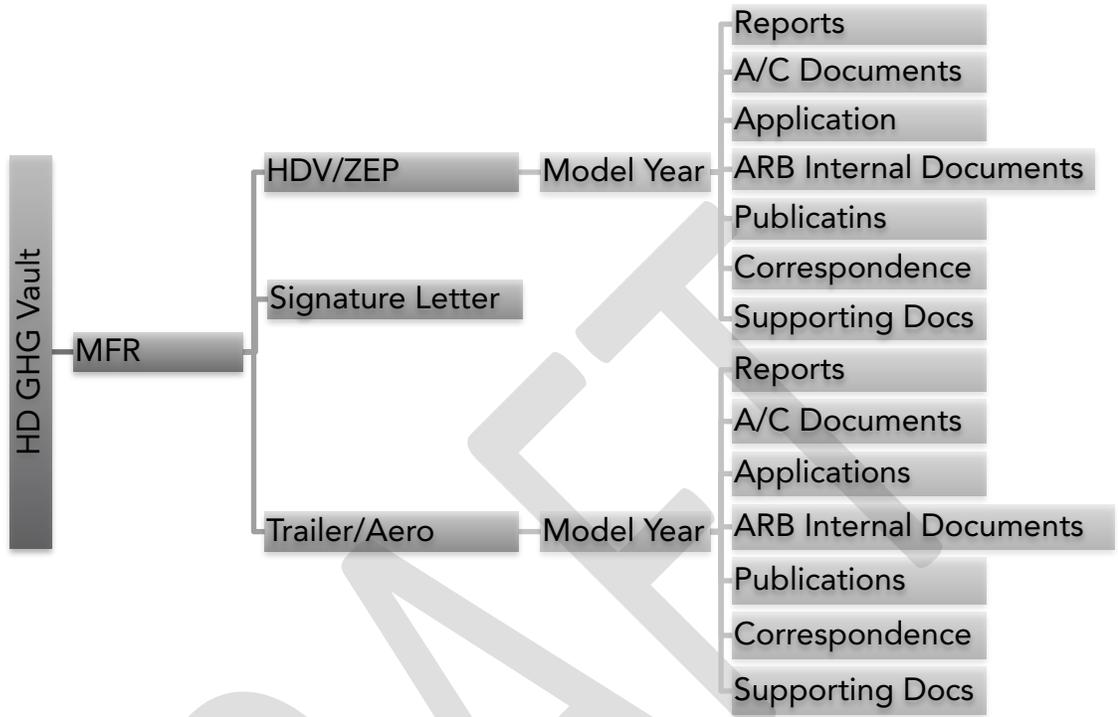
B.3 List of Workflow Templates for Heavy-Duty Green House Gas Categories

Table B-2: Workflow Templates for Heavy-Duty Green House Gas

No.	Workflow Template Name	Document Classes
1	CIHD Application	• Application
2	CIHD CarryOver Application	• Application
3	CIHD Reports	• CIHD Reports
4	CIHD Running Change Application	• CIHD Running Change
5	CIHD Supporting Documents	• CIHD Correspondence • CIHD Supporting Documents

APPENDIX C - HMC_OHRV

Highway Motorcycles, Off Highway Recreational Vehicles, and Electric Golf Cars

C.1 Document Types and Metadata for Highway Motorcycle, Off Highway Recreational Vehicles, and Electric Golf Cars

Table C-1: Document Classes and Associated Metadata for the HMC_OHRV Vault

Class Type	Description	Metadata Name	Format / Valid Values	Required
Application	Standard and Carryover Certification Application for a Specific Test Group.	Class	Selection: **Application**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-Populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: HMC, OHRV, EGC	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Test Group Name	Text (Type in or Auto-Populate from folder metadata) maximum 12 characters	Yes
		Application Type	Selection: **INI** (Initial) **FIN** (Final)	Yes
		Carryover Type	Selection: **Standard,** Carryover, Partial	Yes
		Upload Date	System timestamp (Auto)	Yes

Table C-1: Document Classes and Associated Metadata for the HMC_OHRV Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Common Application	Common Section of Certification Application	Class	Selection: **Common Application**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: HMC, OHRV, EGC	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Common Section Type	**Selection:** INI (Initial) FIN (Final)	Yes
		Upload Date	System timestamp (Auto)	Yes
Class Type	**Description**	**Metadata Name**	**Format / Valid Values**	**Required**
Compliance Reports (Post Cert)	Periodic Reports Submitted by Manufacturer	Class	Selection: **Compliance Report**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Auto-populate from folder metadata)	Yes
		Vehicle Class	Selection: HMC, OHRV, EGC	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Report Type	Selection: Cert Fee Evap FEL Evap Phase-in Exh CAP Production QRT Production Veh VIN	Yes
		Upload Date	System timestamp (Auto)	Yes
		Report Number	Number	Yes
		Key words	Text (25 characters)	Yes

Table C-1: Document Classes and Associated Metadata for the HMC_OHRV Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Correspondence	Manufacturer Correspondence	Class	Selection: **Correspondence**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-Populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: HMC, OHRV, EGC	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Correspondence type	**Selection:**	Yes
			Agreement Letter	
			ARB Letter	
			Authorization Letter	
			Cert Preview Plan	
			Certificate of Conformity	
			Confirmatory Test	
			Email	
			Letter of Intent	
		Correspondence Number	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes

Table C-1: Document Classes and Associated Metadata for the HMC_OHRV Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Publications (Post Cert)	Publications (i.e. service manuals, owners manuals, warranty books, etc.)	Manufacturer	Text (Auto-populate from folder metadata)	Yes
		Model Year	Number (Auto-populate from folder metadata)	Yes
		Vehicle Class	HMC, OHRV, EGC (Auto–same value, no selection)	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Publication Type	**Selection:**	Yes
			Warranty Manual	
			Owner's Manual	
			Service Manual	
			Technical Service Bulletin	
		Publication Number	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes

Table C-1: Document Classes and Associated Metadata for the HMC_OHRV Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Request For Approval	Items that need to be approved	Class	Selection: **Request for Approval**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number	Yes
		Category (Vehicle Class)	Selection: HMC, OHRV, EGC	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Test Group Name	Text (Auto-populate from folder metadata)	Yes
		Request Type	Selection:	Yes
			Alternative Test Procedure	
			Evap FEL	
			Exh CAP	
			Label	
			Tamper Resistance Test	
			Warranty	
		Request Number	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes
Class Type	**Description**	**Metadata Name**	**Format / Valid Values**	**Required**
Running Change and Field Fix	Test Groups Specific Running Change or Field Fix	Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-Populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: HMC, OHRV, EGC	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Test Group Name	Text	Yes
		Prior EO Number (ARB)	Text	Yes
		New EO required	Selection: Yes, No	Yes
		Change Made:	Selection: Running Change, Field Fix	Yes
		Change Number:	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes

C.2 Virtual Folders for Highway Motorcycle, Off Highway Recreational Vehicles, and Electric Golf Cars

Figure C-1: HMC&OHRV Virtue Directory (View)
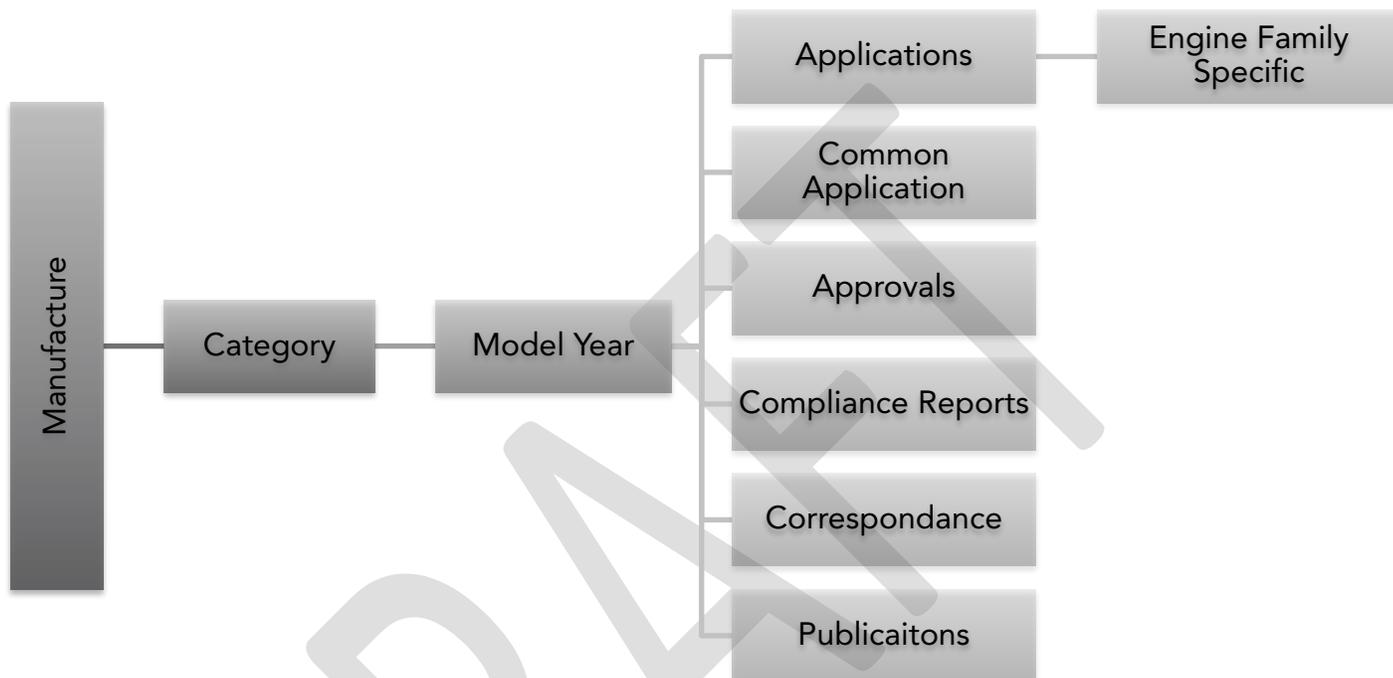
C.3 List of Workflow Templates for Highway Motorcycle, Off Highway Recreational Vehicles, and Electric Golf Cars

Table C-2: Workflow Templates for Highway Motorcycle & Off-Highway Recreational Vehicle

No.	Workflow Template Name	Document Classes
1	Certification Application	• Application
2	Carry Over Application	• Application
3	Common Support Correspondence	• Common Application [HMC & OHRV only] • Correspondence • Emissions Warranty Statement • Publications • Request for Approval
4	Compliance Reports	• Compliance Reports
5	Running Change Application	• Running Change and Field Fix

APPENDIX D – OBD

On-Board Diagnostic (OBD) Systems for Light, Medium, and Heavy-Duty Vehicles

D.1 Document Classes and Metadata for OBD Categories

Table D-1: Document Classes and Associated Metadata for the OBD Vault

Class Type	Description	Metadata Name	Format / Valid Values	Required
Common Document	Supporting document that can cover multiple OBD groups in a particular MY	Class	Selection:	Yes
			Common Document	
			OBD Application	
			Presentation	
			PVE Document	
			Q & A	
			Quarterly Report	
			RC/FF Document	
			RC/FF Notification	
			Remedial Action Plan	
			Technical Description	
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Common Doc Type	Selection:	Yes
			Certification Schedule	
			Demonstration Selection Table	
			General Description	
			Phase-In Sheet	
			Technical Service Bulletin	
			Test Group/OBD Group Decoder	
			PVE J1/L1 Test Plan	
			PVE J1/L1 Test Report	
			PVE J3/L3 Test Plan	
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Confidentiality	Selection: CBI, FOI	Yes

Table D-1: Document Classes and Associated Metadata for the OBD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
OBD Application	OBD II 'A-P' Document or HD OBD 'A-S' Document	Class	Selection: **OBD Application**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category	Selection: HD OBD, OBD II, OBD II and HD OBD	Yes
		OBD Group	Text (Type in or Auto-populate from folder metadata)	Yes
		Confidentiality	Selection: CBI, FOI	Yes
Class Type	**Description**	**Metadata Name**	**Format / Valid Values**	**Required**
Presentation	Meeting presentation	Class	Selection: Presentation	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Topic	Text (Type in)	Yes
		Confidentiality	Selection: CBI, FOI	Yes

Table D-1: Document Classes and Associated Metadata for the OBD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
PVE Document	All PVE documents except the Calendar	Class	Selection: **PVE Document**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		PVE Doc Type	Selection:	Yes
			J1/L1 Log File	
			J2/L2 Test Plan	
			J2/L2 Test Report	
			J3/L3 Data	
			J3/L3 Test Report	
			L4 MST Report	
			L4 MST Test Plan	
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category	Selection: HD OBD, OBD II, OBD II and HD OBD	Yes
		OBD Group	Text (Type in or Auto-populate from folder metadata)	Yes
		Test Group / EFN	Text (Type in)	Yes
		Test Vehicle ID*	Text (*Only for J1/L1 Log File)	Yes
		Confidentiality	Selection: CBI, FOI	Yes

Table D-1: Document Classes and Associated Metadata for the OBD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Q & A	Q&A between staff and manufacturer	Class	Selection: **Q & A**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category	Selection: HD OBD, OBD II, OBD II and HD OBD	Yes
		OBD Group	Text (Type in or Auto-populate from folder metadata)	Yes
		Round #	Number (Selection)	Yes
		Confidentiality	Selection: CBI, FOI	Yes
Class Type	**Description**	**Metadata Name**	**Format / Valid Values**	**Required**
Quarterly Report	Reports that must be submitted on a quarterly basis	Class	Selection: Quarterly Report	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Quarterly Report Type	Selection:	Yes
			CALID & CVN	
			Fines	
		Calendar Year	Number (Selection)	Yes
		Quarter	Selection: Q1, Q2, Q3, Q4	Yes
		Confidentiality	Selection: CBI, FOI	Yes

Table D-1: Document Classes and Associated Metadata for the OBD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
RC/FF Document	Document which describes a Running Change or Field Fix	Class	Selection: **RC/FF Document**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category	Selection: HD OBD, OBD II, OBD II and HD OBD	Yes
		RC or FF	Selection: Field Fix, Running Change	Yes
		RC/FF #	Number (Selection)	Yes
		OBD Group	Text (Type in or Auto-populate from folder metadata)	Yes
		Confidentiality	Selection: CBI, FOI	Yes
Class Type	Description	Metadata Name	Format / Valid Values	Required
RC/FF Notification	Document which notifies staff about a Running Change or Field Fix	Class	Selection: RC/FF Notification	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category	Selection: HD OBD, OBD II, OBD II and HD OBD	Yes
		RC or FF	Selection: Field Fix, Running Change	Yes
		RC/FF #	Number (Selection)	Yes
		OBD Group	Text (Type in or Auto-populate from folder metadata)	Yes
		Confidentiality	Selection: CBI, FOI	Yes

Table D-1: Document Classes and Associated Metadata for the OBD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Remedial Action Plan	Plan for conducting an influenced, ordered, or voluntary remedial action	Class	Selection: **Remedial Action Plan**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Remedial Action Type	Selection:	Yes
			Influenced	
			Ordered	
			Voluntary	
		Model Year(s)	Number (Selection)	Yes
		Category	Selection: HD OBD, OBD II, OBD II and HD OBD	Yes
		OBD Group	Text (Type in)	Yes
		Confidentiality	Selection: CBI, FOI	Yes
Class Type	**Description**	**Metadata Name**	**Format / Valid Values**	**Required**
Technical Description	Supporting document for a specific OBD group	Class	Selection: Technical Description	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		OBD Staff A_B_or_C	Selection: Staff A, Staff B, Staff C	Yes
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category	Selection: HD OBD, OBD II, OBD II and HD OBD	Yes
		OBD Group	Text (Type in or Auto-populate from folder metadata)	Yes
		Confidentiality	Selection: CBI, FOI	Yes

D.2 Virtual Folders for OBD Categories

Figure D-1: OBD Virtual Directory (View)
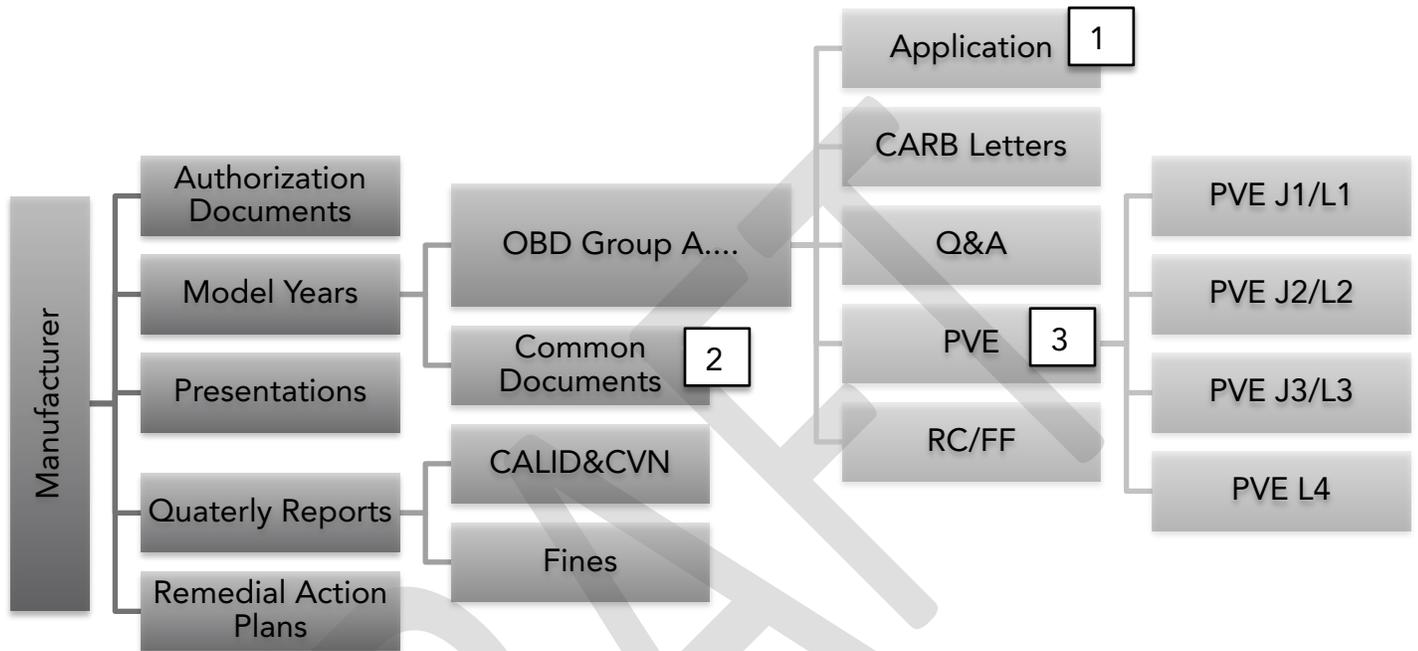
Notes:
1. Technical Description documents appear in the Application virtual folder. They are specific to an OBD group and therefore not a Common Document.
2. General Description documents appear in the Common Documents virtual folder.
3. Several PVE documents apply to multiple OBD groups and as such appear in the Common Documents virtual folder. These are: PVE J1/L1 Test Plan, PVE J1/L1 Test Report, and PVE J3/L3 Test Plan.

D.3 List of Workflow Templates for OBD Categories

Table D-2: Workflow Templates for OBD

No.	Workflow Template Name	Document Classes
1	OBD Application	• OBD Application
2	Other Docs	• Common Document • Presentation • PVE Document • Q&A • RC/FF Notification • Technical Description • Quarterly Report
3	RC/FF Document and Remedial Action Plan	• RC/FF Document • Remedial Action Plan

APPENDIX E - OFF_ROAD_SIE

Off-Road Spark Ignition Engines

E.1 Document Types and Metadata for Off-Road SIE Categories

Table E-1: Document Classes and Associated Metadata for the Off-Road SIE Vault

Class Type	Description	Metadata Name	Data Type/ Valid Values	Required
Application	Standard, Carryover, or Partial Carryover Certification Applications for a Specific Exhaust/Evaporative Family (SSIE, LSIE, SIME)	Name or title	Text/The "**Name or title**" will be automatically generated	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Category	Choose from **LSIE SIME SSIE**	Yes
		Model Year	Choose from value list.	Yes
		Family Name	Text	Yes
		Application Type	Choose from: **Main (default) Model Summary Table Supplemental**	Yes
		Carryover Type	Choose from: **Standard (default) Carryover Partial Carryover**	Yes
		Certification Type	Choose from: **Evap Exhaust**	Yes
		Confidentiality	Choose from: **CBI (default) FOI**	Yes
		Doc Identifier Number	Choose from: 01 (Default), 02, 03, 04….	Yes
		Keywords/Misc	Text	No

Table E-1: Document Classes and Associated Metadata for the Off-Road SIE Vault-(continued)

Class Type	Description	Metadata Name	Data Type/ Valid Values	Required
SIMW Application	Standard Certification Applications for a Specific **SIMW Evaporative** Family	**Name or title**	Text/The "**Name or title**" will be automatically generated	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Category	By default, the category is set to **SIMW**.	Yes
		Model Year	Choose from value list.	Yes
		Family Name	Text	Yes
		Application Type	Choose from "**Application Types**" value list, including: **Main (default)** **Model Summary Table** **Supplemental**	Yes
		Certification Type	By default, this metada is **read-only**. the Mfr user can only see and select **Evap** as certification type.	Yes
		Confidentiality	Choose from "**Confidentialities**" value list, including: **CBI (default)** **FOI**	Yes
		Doc Identifier Number	Choose from "**Doc Identifier Numbers**" value list, including: 01 (default), 02, 03, 04….	Yes
		Keywords/Misc	Text (multi-line)/ this metadata will be input by manufacturer users	No

Table E-1: Document Classes and Associated Metadata for the Off-Road SIE Vault-(continued)

Class Type	Description	Metadata Name	Data Type/ Valid Values	Required
Running Change	**Running Change/Field Fix** Certification Applications for a Specific Exhaust/Evaporative Family	**Name or title**	Text/The "**Name or title**" will be automatically generated	Yes
		Category	Choose from value list: **LSIE** **SIME** **SIMW** **SSIE**	Yes
		Model Year	Choose from value list.	Yes
		Family Name	Text	Yes
		Application Type	Choose from list: **Main (default)** **Model Summary Table** **Supplemental**	Yes
		Certification Type	Choose from value list: **Evap** **Exhaust**	Yes
		Change Made	Choose from value list (multi-select): **Corrections** **ECS** **Model** **Other** **Part**	Yes
		Running Change Identifier	Choose from value list: RC_01_ (default), RC_02_, RC_03_, ...	Yes
		Original EO Number (ARB)	Text/ this metadata will be input by manufacturer users	Yes
		Confidentiality	Choose from value list: **CBI (default)** **FOI**	Yes
		Doc Identifier Number	Choose from "**Doc Identifier Numbers**" value list, including: 01 (default), 02, 03, 04....	Yes
		Keywords/Misc	Text	No

Table E-1: Document Classes and Associated Metadata for the Off-Road SIE Vault-(continued)

Class Type	Description	Metadata Name	Data Type/ Valid Values	Required
Authorization Signature Letter	Authorization Signature Letter for all Off-Road categories	Name or title	Text/The "Name or title" will be automatically generated by the system based on the following metadata values.	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Categories (Multi-Select)	Choose from value list: LSIE SIME SIMW SSIE	Yes
		Confidentiality	Choose from value list: CBI (default) FOI	Yes
		Doc Identifier Number	Choose value list: 01 (Default), 02, 03, 04….	Yes
		Keywords/Misc	Text	No
		Date Received	Date/ this metadata will be input by the admin or staff.	No
		Date Added to M-Files	Date/ this metadata will be automatically populated by the system when the document is added to M-Files.	No
		Assigned CARB Staff	This metadata is will be selected based on manufacture's assigned CARB staff in any specific category.	No
		Uploaded By (Staff or Admin)	This metadata is will be selected based on manufacture's assigned CARB staff in any specific category.	No
		Staff Notes	Text	No

Table E-1: Document Classes and Associated Metadata for the Off-Road SIE Vault-(continued)

Class Type	Description	Metadata Name	Data Type/ Valid Values	Required
Correspondences	Correspondences for all Off-Road categories	**Name or title**	Text/The "Name or title" will be automatically generated by the system based on the following metadata values.	Yes
		Manufacturer	Selection or Auto-populate from folder metadata.	Yes
		Category	Choose from value list:	Yes
			LSIE	
			SIME	
			SIMW	
			SSIE	
		Model Year	Choose from value	Yes
		Family Name	Text	Yes
		Correspondence Type	Choose from value list: CARB Letter, Email, LOI, MFR Letter, SOC, SOC_AECD	Yes
		Confidentiality	Choose from value list: CBI (default) **FOI**	**Yes**
		Doc Identifier Number	Choose from value list: 01 (Default), 02, 03, 04….	Yes
		Keywords/Misc	Text	No

Table E-1: Document Classes and Associated Metadata for the Off-Road SIE Vault-(continued)

Class Type	Description	Metadata Name	Data Type/ Valid Values	Required
Support Docs	Support Documents for all Off-Road categories	**Name or title**	Text/The "Name or title" will be automatically generated.	Yes
		Support Doc Type	Choose from value list as follows: Alternative Test Procedure, Auxiliary Emission Control Devices, Auxiliary Engine Cooling, > Bond Document, Bond Document_Certificate, Bond_Document_Worksheet, Corporate Average Plan, Emission Durability Plan, Emission Label Format, Emission Warranty Statement, Nect/Sea Document (SIME), NTE Testing, Onboard Diagnostics OBD-Marine, Other Support Docs, Phase-in Plan, PLT Sampling Plan, Tamper Resistance, Test Data Sheet	Yes
		Manufacturer	The manufacturer name will be automatically populated from metadata value of Manufacturer virtual folder.	Yes
		Category	Choose from value list: SIME, SIMW, SSIE, LISE	Yes
		Model Year	Choose from value list	Yes
		Family Name	Text	Yes
		Applicable Types	Choose from value list: Combined, Evap, Exhaust	No
		Label Type (Only for Emission Label Format)	Choose from value list: Air, Engine, Equipment, Handtag, Index, Other.	No
		Durability Hours (Only for Emission Durability Plan**)**	Number (integer)/Input by the manufacturer users	No
		Sampling Method (Only for PLT Sampling Plan)	Choose from value list, including: 0.01, CumSum	No

Table E-1: Document Classes and Associated Metadata for the Off-Road SIE Vault-(continued)

Class Type	Description	Metadata Name	Data Type/ Valid Values	Required
		Compliance Type (Only for Onboard Diagnostics OBD-Marine)	Choose from "Compliance Types" value list, including: Full, Partial	No
		Device Type (Only for Auxiliary Emission Control Devices)	Choose from value list: ECM, Mechanical, PCM	No
		Control Type (Only for Auxiliary Emission Control Devices)	Choose from value list: All, Full Throttle, Idle, Intermediate, Other	No
		Cooling Method (Only for Auxiliary Engine Cooling)	Choose from "Cooling Methods" value list, including: AC, Blower, Fan, N/A, Other	No
		Confidentiality	Choose from value list: CBI (default), FOI	Yes
		Doc Identifier Number	Choose from value list: 01 (Default), 02, 03, 04….	Yes
		Keywords/Misc	Text	No

E.2   Virtual Folders for Off-Road SIE Categories

A common view "**_OFSEC Mfr Directory (MFR)**" was created for each Off-Road SIE manufacturer. This view has different category-specific directory structures as illustrated in **Figure E-1**. The pre-configured directory structures can help manufacturer users facilitate their document uploading and organize their uploaded documents by their document classes.

In this view, documents are mainly grouped according to three properties (metadata) in the following *hierarchical* order:

1.   Manufacturer
2.   Category
3.   Model Year

Once this view is open, the manufacturer user can only see the manufacturer name (e.g., **MFR** in the figure) which the user is associated with. Therefore, the manufacturer user can only see confidential documents associated with the manufacturer the user belongs to.

Inside the *manufacturer* folder, documents are then grouped by "Category" property. The manufacturer user will only see the folder(s) of the following Off-Road category/categories that the manufacturer intends to certify. For example, SSIE manufacturers will only see the SSIE directory structure.

- **LSIE:** Large Spark-Ignition Engine
- **SIME**: Spark-Ignition Marine Engine
- **SIMW**: Spark-Ignition Marine Watercraft
- **SSIE**: Small Spark-Ignition Engine

In each category folder, documents are further group by "Model Year." In each model year folder (e.g., 2022), similar directory structures are configured for each category.

For each category-specific directory structure, several sub-views are created to store and organize uploaded documents into different document classes (e.g., **Correspondence, Support Document, Application, Running Change,** and **OFSEC Report**, etc.).

Two sub-views ("EXHAUST APPLICATIONS" and "EVAP APPLICATIONS") are further subdivided by "Family Name" property. After applications are uploaded to these two views, applications can be *automatically* organized into a folder with the name of their associated engine/evaporative family. Additionally, post-certification reports are also further grouped by "Quarter" or "Report Type" properties.

Based on the specific class of any document(s) to be uploaded into **CARB-eFILE**, the user can first navigate to a specific folder through the directory structure, and then upload document(s) to such folder. By using this process, many document's metadata (e.g., manufacturer name, category, and model year) can be *automatically* populated from the metadata values of upper grouping levels or views to reduce metadata inputs by the manufacturer user.

Figure E-1: On-Road Light-Duty Virtual Directory (View)
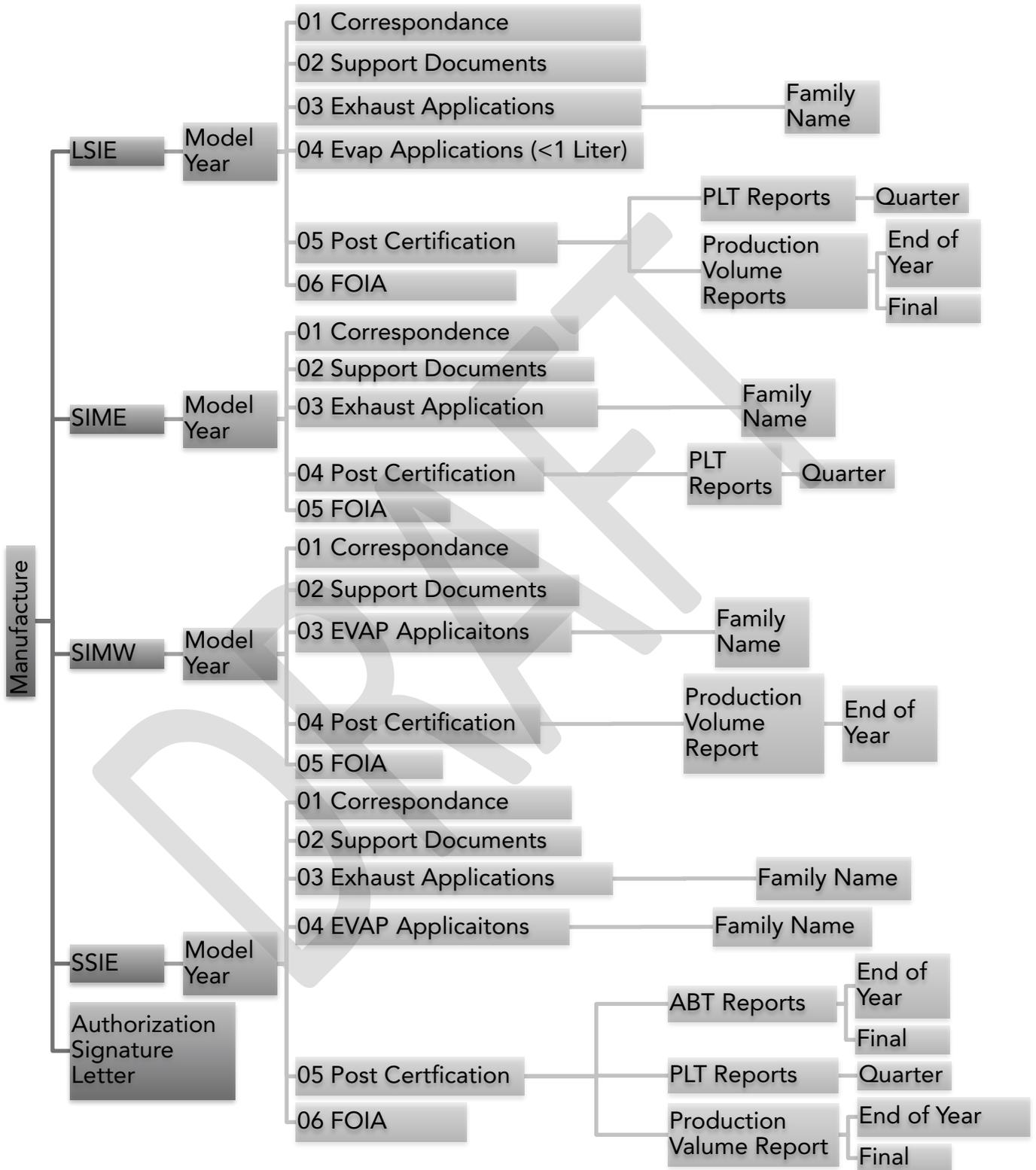
E.3 List of Workflow Templates for Off-Road SIE Categories

Table E-2: Workflow Templates for Off-Road Spark Ignition

No.	Workflow Template Name	Document Classes
1	01-1_Certification Application	• Application & Carryover Type is "Standard"
2	01-2_SIMW Certification Application	• SIMW Application
3	02_Carry Over Application	• Application & Carryover Type is "Carryover" or "Partial Carryover"
4	03_	• Running Change
5	04_Common Support Correspondence	• Correspondence • Support Documents
6	05_Post-Certification Reports	• OFSEC Reports
7	No Workflow	• Authorization Signature Letter

APPENDIX F - CIHD

On-Road Heavy-Duty Vehicles and Engines, and Off-Road Compression Ignition Engines

F.1 Document Types and Metadata for On-Road Heavy-Duty and OFCI Categories

Table F-1: Document Classes and Associated Metadata for the On-Road HD Vault

Class Type	Description	Metadata Name	Format / Valid Values	Required
CIHD Application	Standard and Carryover Certification Application for a Specific Engine Family	Manufacturer	Auto-populate from folder metadata	Yes
		Model Year	Selection: **2021, 2022, 2023**…..	Yes
		Family Name	Text (Type in **Family Name**)	Yes
		Category	Selection: **HD, OFCI**	Yes
		Confidentiality	Selection: **CBI, FOI**	Yes
		Carryover Type	Selection: **Standard, Carryover, Partial**	Yes
		Certification Type	Selection: **Exhaust, Evaporative**	Yes
		Doc Identifier Number	Selection:**01,02,03,04,05**…	Yes

Table F-1: Document Classes and Associated Metadata for the On-Road HD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
CIHD Running Change	Running Change Application for a Specific Engine Family	Manufacturer	Auto-populate from folder metadata	Yes
		Model Year	Selection: **2021**, **2022**, **2023**…..	Yes
		Family Name	Text (Type in **Family Name**)	Yes
		Category	Selection: **HD**, **OFCI**	Yes
		Confidentiality	Selection: **CBI, FOI**	Yes
		Certification Type	Selection: **Exhaust**, **Evaporative**	Yes
		Original EO Number	Text (Type in **original EO Number**)	Yes
		Doc Identifier Number	Selection:**01,02,03,04,05**…	Yes

Table F-1: Document Classes and Associated Metadata for the On-Road HD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
CIHD Correspondence	Correspondence of Certification Application	Manufacturer	Auto-populate from folder metadata	Yes
		Model Year	Selection: **2021**, **2022**, **2023**…..	Yes
		Family Name	Text (Type in **Family Name** or type **COMMON** for common document)	Yes
		Category	Selection: **HD**, **OFCI**	Yes
		Confidentiality	Selection: **CBI**, **FOI**	Yes
		Certification Type	Selection: **Exhaust**, **Evaporative**	Yes
		Correspondence Type	Selection: C**ARB Letter**, **Email, LOI, Manufacturer Letter, SOC**	Yes
		Doc Identifier Number	Selection:**01,02,03,04,05**…	Yes

Table F-1: Document Classes and Associated Metadata for the On-Road HD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
CIHD Supporting Document	Supporting Document of Certification Application	Manufacturer	Auto-populate from folder metadata	Yes
		Model Year	Selection: **2021, 2022, 2023…..**	Yes
		Family Name	Text (Type in **Family Name** or type **COMMON** for common document)	Yes
		Category	Selection: **HD, OFCI**	Yes
		Confidentiality	Selection: **CBI, FOI**	Yes
		Certification Type	Selection: **Exhaust, Evaporative**	Yes
		Support Document Type	**Selection:**	Yes
			Alternate Test Procedure	
			Auxiliary Emission Control Devices	
			Carryacross Table	
			Certification fee refund request	
			Certification Preview Plan (CPP)	
			Certification fee payment invoice	
			Corporate Average Plan	
			Delegated Assembly Plan	
			DPF Regeneration Strategy	
			Durability Test Plan	
			Emission Control Label	
			NTE Testing	
			Engine Model Summary	
			OBD Letter	
			SCR Document	
			Sensors Table	
			Tamper Resistance	
			Technical Description	
			Waiver Request	
			Warranty Statement	
		Doc Identifier Number	Selection:**01,02,03,04,05…**	Yes

Table F-1: Document Classes and Associated Metadata for the On-Road HD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
CIHD Report	Report of Certification Application	Manufacturer	Auto-populate from folder metadata	Yes
		Model Year	Selection: **2021, 2022, 2023**…..	Yes
		Category	Selection: **HD, OFCI**	Yes
		Confidentiality	Selection: **CBI, FOI**	Yes
		Certification Type	Selection: **Exhaust, Evaporative**	Yes
		Report Type	**Selection:**	Yes
			Defect Report	
			Emergency AECD Report	
			End of Year	
			Final	
			OFCI Flexibility Report	
			Production Report	
		Vehicle Class	Selection: **CA_MDE, CA_MDEV, HDE, HD Hybrid, HDV**	
		Doc Identifier Number	Selection:**01,02,03,04,05**…	Yes

F.2   Virtual Folders for On-Road Heavy-Duty and OFCI Categories

Figure F-1: On-Road Heavy-Duty and OFCI Virtual Directory (View)
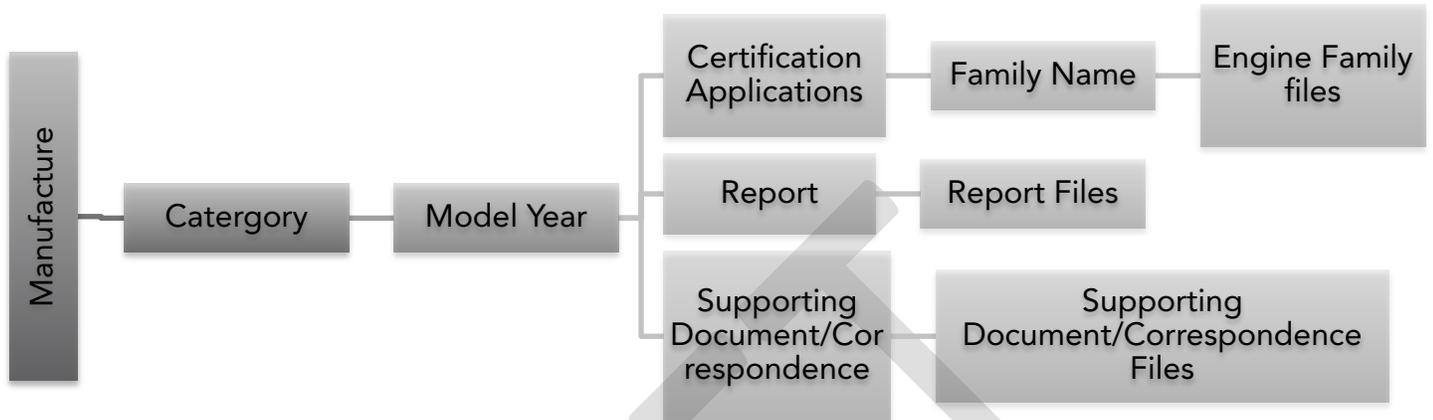
F.3 List of Workflow Templates for On-Road Heavy-Duty and OFCI Categories

Table F-2: Workflow Templates for Heavy-Duty & Off-Road Compression Ignition

No.	Workflow Template Name	Document Classes
1	CIHD Application	• CIHD Application
2	CIHD Carry Over Application	• CIHD Application
3	CIHD Reports	• CIHD Reports
4	CIHD Running Change Application	• CIHD Running Change
5	CIHD Supporting Documents	• CIHD Correspondence • CIHD Supporting Documents

APPENDIX G – ON_ROAD_LD

On-Road Light-Duty Vehicles

G.1 Document Types and Metadata for On-Road Light-Duty Vehicle Classes

On-Road Light-Duty vehicle manufacturers upload test-group applications for each model year. CARB Staff encourage manufacturers to incorporate in one application document with all information necessary for the Initial Part 1 of the application (APPIPT1). M-Files only accepts one document per workflow.

Pre-certification and post-certification documents can be submitted at a different time in separate workflows. The Table G.1 has seven document classes for the ON_ROAD_LD vault. For each document class the metadata properties and acceptable values are listed. This information is required to classify and organize the documents properly.

Table G-1: Document Classes and Associated Metadata for the On-Road LD Vault

Class Type	Description	Metadata Name	Format / Valid Values	Required
Application	Standard and Carryover Certification Application for a Specific Test Group.	Class	Selection: Application	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-Populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: PC-LDT, MDV	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Test Group Name	Text (Type in or Auto-Populate from folder metadata) maximum 12 characters	Yes
		Application Type	Selection: **APPIPT1** (Initial Part 2) **APPIPT2** (Initial Part 2) **APPUPT1** (Update Part 1) **APPFPT1** (Final Part 1) **APPFPT2** (Final Part 2)	Yes
		Carryover Type	Selection: **Standard**, Carryover, Partial	Yes
		Upload Date	System timestamp (Auto)	Yes

Table G-1: Document Classes and Associated Metadata for the On-Road LD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Common Application	Common Section of Certification Application	Class	Selection: **Common Application**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: PC-LDT, MDV	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Common Section Type	**Selection:**	Yes
			APPIPT1 (Initial Part 2)	
			APPIPT2 (Initial Part 2)	
			APPUPT1 (Update Part 1)	
			APPFPT1 (Final Part 1)	
			APPFPT2 (Final Part 2)	
		Upload Date	System timestamp (Auto)	Yes

Table G-1: Document Classes and Associated Metadata for the On-Road LD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Compliance Reports (Post Cert)	Periodic Reports Submitted by Manufacturer	Class	Selection: **Compliance Report**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Auto-populate from folder metadata)	Yes
		Vehicle Class	Selection: PC-LDT, MDV	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Report Type	Cert Fee	Yes
			NMOG + NOX	
			VEC	
			Bench Leak Rate Phase-in	
			Evap-FEL	
			GHG	
			PM Phase-in Plan	
			PZEV Anti-backsliding	
		Upload Date	System timestamp (Auto)	Yes
		Report Number	Number	Yes
		Key words	Text (25 characters)	Yes

Table G-1: Document Classes and Associated Metadata for the On-Road LD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Correspondence	Manufacturer Correspondence	Class	Selection: **Correspondence**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-Populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: PC-LDT, MDV	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Correspondence type	**Selection:**	Yes
			Agreement Letter	
			ARB Letter	
			Authorization Letter	
			Cert Preview Plan	
			Certificate of Conformity	
			Email	
			GHG Option	
			Letter of Intent	
			Manufacturer Size	
			OBD Letter	
		Correspondence Number	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes

Table G-1: Document Classes and Associated Metadata for the On-Road LD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Publications (Post Cert)	Publications (i.e., service manuals, owner's manuals, warranty books, etc.)	Manufacturer	Text (Auto-populate from folder metadata)	Yes
		Model Year	Number (Auto-populate from folder metadata)	Yes
		Vehicle Class	PC/LDT/MDV (Auto-same value, no selection)	Yes
		Confidentiality	Selection: **CBI**, FOI	Yes
		Publication Type	**Selection:**	
			Warranty Manual	Yes
			Owner's Manual	
			Service Manual	
			Technical Service Bulletin	
		Publication Number	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes

Table G-1: Document Classes and Associated Metadata for the On-Road LD Vault-(continued)

Class Type	Description	Metadata Name	Format / Valid Values	Required
Request for Approval	Items that need to be approved	Class	Selection: **Request for Approval**	Yes
		Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-Populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: PC-LDT, MDV	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Test Group Name	Text (Auto-populate from folder metadata)	Yes
		Request Type	Selection:	Yes
			Alternate Test Procedure	
			Durability	
			Evaporative Plan	
			Exhaust Plan	
			Functional Test Plan	
			Label	
			Warranty	
		Request Number	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes

Table G-1: Document Classes and Associated Metadata for the On-Road LD Vault-(continued)

| Class Type	Description	Metadata Name	Format / Valid Values	Required
Running Change and Field Fix	Test Groups Specific Running Change or Field Fix	Manufacturer	Selection or Auto-populate from folder metadata	Yes
		Model Year	Number (Selection or Auto-Populate from folder metadata)	Yes
		Category (Vehicle Class)	Selection: PC-LDT, MDV	Yes
		Confidentiality	Selection: **CBI,** FOI	Yes
		Test Group Name	Text (Type in or Auto-Populate from folder metadata) maximum 12 characters	Yes
		Prior EO Number (ARB)	Text (Type in)	Yes
		New EO required	Selection: Yes, No	Yes
		Change Made:	Selection: Running Change, Field Fix	Yes
		Change Number:	Number	Yes
		Upload Date	System timestamp (Auto)	Yes
		Key words	Text (25 characters)	Yes

G.2   Virtual Folders for ON-ROAD LIGHT-DUTY VEHICLE CLASSES

The **On-Road LD Vault** has a simplified virtual directory structure that will facilitate the uploading of documents and provide an organized view of documents. These views are dynamically created when the Manufacturer adds documents by selecting the document class and providing the required metadata.

Each **On-Road LD** Manufacturer will have a virtual directory as the one illustrated **Figure G-1**. The virtual directory has a folder for each applicable vehicle class: **MDV** and/or **PC-LDT.** Inside of these folders the documents are organized by model year; and each model year will display a folder or folders with the Test Group name(s). The **CARB-eFILE System** will show all documents related to a specific test group including running changes and field fixes inside the **Test Group** folder.

Documents in the **Common** folder will also be organized by model year and inside the model year will be displayed a folder with the name of the document class submitted. These are: **Publications**, **Correspondence, Compliance Reports**, **Common Application**, and **Approvals**.

Figure G-1: On-Road Light-Duty Virtual Directory (View)
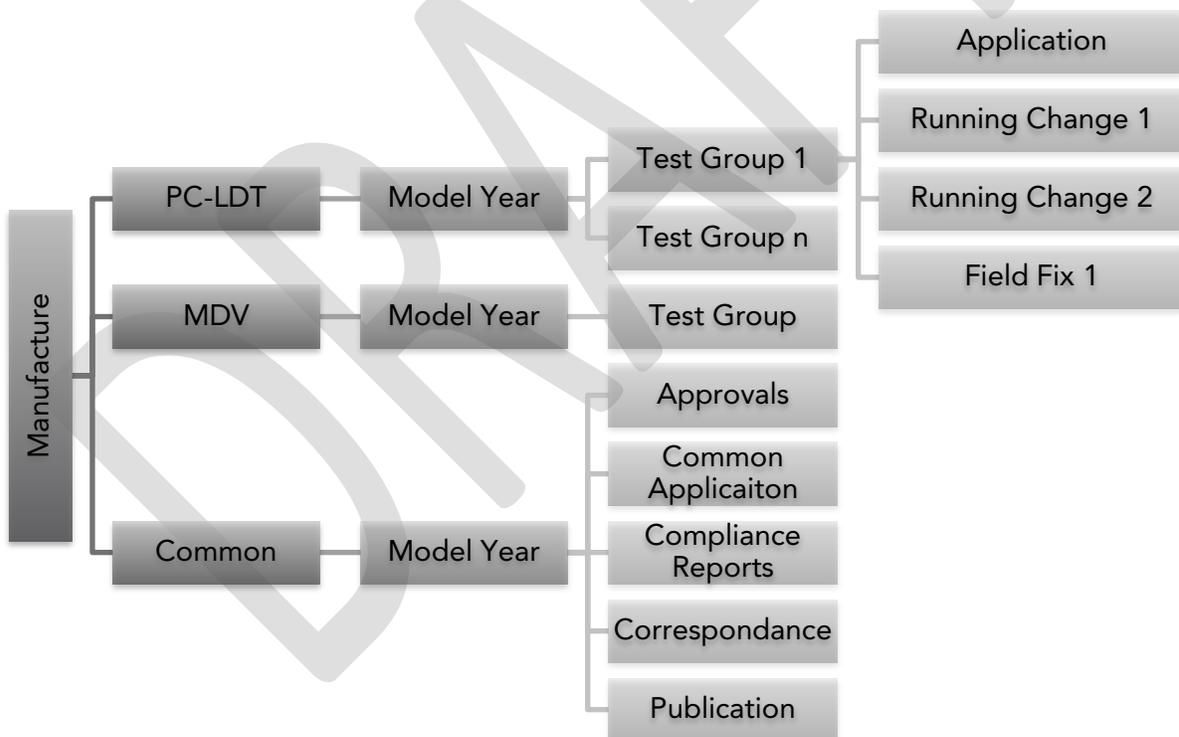
G.3 List of Workflow Templates for On-Road Light-Duty Vehicle Classes

In the CARB DMS, the workflow templates are defined based on specified document types and their review and approval processes. **Tables G-2** list available workflow templates for the On-Road LD Document Types and provides a cross reference with the document types. Use this reference to submit documents to the appropriate workflow template.

Table G-2: Cross Reference of Document Classes and Workflow Templates for On-Road LD Category

No.	Workflow Template Name	Document Types
1	Certification Application	Application
2	Carry Over Application	Application
3	Common Support Correspondence	• Common Application • Correspondence • Emissions Warranty Statement • Publications • Request for Approval
4	Compliance Reports	Compliance Reports
5	Running Change Application	Running Change and Field Fix