
California Environmental Protection Agency

 Air Resources Board



ARB's DMS File and Workflow Naming Convention

Updated on 02/16/2021

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 Confidentiality (3 characters_)	Section 2 Applicability (12 characters_)	Section 3 Information Type (7 characters_)
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • ⁽¹⁾XXXXX_COMMON_: any Common Information submittals • ⁽²⁾XXXX_CORRESP_: Correspondence • Test Group Name_: an individual Test Group related file • Evaporative Family Name_: an individual evaporative family related file <p><i>Note:</i> ⁽¹⁾ "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code" ⁽²⁾ "XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR code"</p>	<p style="text-align: center;">Application for Certification</p> <ul style="list-style-type: none"> • APIPT1_: Initial Part 1 Application submittal • APIPT2_: Initial Part 2 Application submittal • APPFPT1_: Final Part 1 Application submittal • APPFPT2_: Final Part 2 Application submittal • APPUPT1_: Update Part 1 Application submittal • APPRCnn_: Running change • APPFFnn_: Field fix (Where nn= 01 ~99 in numerical order)
		<p style="text-align: center;">Other Stand Alone Documents (To be updated as needed)</p> <p>Request for Approval (RFA*⁽³⁾):</p> <ul style="list-style-type: none"> • RFA*LAB_: label content • RFA*DFP_: durability plan • RFA*MTP_: Modified Test Procedure • RFA*NMG_: NMOG Fleet Average Compliance Plan • RFA*ACD_: AECD document • RFA*WAR_: Warranty Statement • RFA*SFP_: Supplemental FTP • RFA*TPF_: Functional Test Plan • RFA*EVP_: Evaporative Plan <p>Correspondence (LTR*⁽³⁾):</p> <ul style="list-style-type: none"> • LTR*CPP_: Cert Preview Plan • LTR*GFT_: Manuf size letter • GHG*FLT_: Excel file for manuf size • LTR*GHG_: GHG option letter • LTR*EML_: E-mail correspondence <p>Compliance Reports (CR#*⁽³⁾⁽⁴⁾):</p> <ul style="list-style-type: none"> • CR#*PDR_: Quarterly Production report • CR#*NMG_: NMOG report • CR#*VEC_: Vehicle Equivalent report • CR#*FEE_: Certification fee report • CR#*SER_: Service Manual • CR#*WAR_: Warranty Statement <p><i>Note:</i> ⁽³⁾ "*" (1,2,3... or A,B,C,..) ⁽⁴⁾ "#" 0, 1, 2, 3,... etc.</p>

**Table A-2— File Naming Convention for On-Road Heavy-Duty Engines/
Evaporative/Incomplete Medium Duty Vehicles Using Certified 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 align="center"><u>Section 1</u> Confidentiality (3 characters + underscore)</p>	<p align="center"><u>Section 2</u> Applicability (12 characters + underscore)</p>	<p align="center"><u>Section 3</u> Information Type (7 characters + underscore)</p>
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • (1)XXXXX_CORRES_: Correspondence • (2)XXXXXyyyyZZZ_: any related engine family information submittals • (3)XXXXX_COMMON_: any Common Information submittals • (4)Evaporative Family Name_: an individual evaporative family related file <p><i>Note:</i></p> <p>(1) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p>(2) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"; "yyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator</p> <p>(3) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p>(4) "XXXXE" to be used for evaporative family and are the first five characters of the mfr's evaporative family name, it consists of "model year + EPA MFR code + Evaporative category code"</p>	<p align="center">Application for Certification</p> <ul style="list-style-type: none"> • APP_INI_: Initial Application Submittal • APP_Cnn_: Running Change • APP_Fnn_: Field Fix (Where nn= 01 ~99 in numerical order) • APP_EVP_: Evaporative Application <p align="center">Other Standalone Documents (To be updated as needed)</p> <p><u>Request for Approval (RFA*⁽⁵⁾):</u></p> <ul style="list-style-type: none"> • RFA*LAB_: Label Content • RFA*DFP_: Durability Plan • RFA*PHS_: Phase-in Plan • RFA*STP_: Special Test Procedure • RFA*NTE_: Not_to_Exceed Request • RFA*WAR_: Warranty Statement • RFA*TRM_: Tamper Resistance Method • RFA*ABT_: Averaging, Banking, Trading Plan • RFA*ACD_: Auxiliary Emission Control Device • RFA*SNS_: Sensors Table • RFA*CAC_: Carry Across table • RFA*SCR_: SCR Information • RFA*DPF_: DPF Regeneration Strategy • RFA*EVP_: Evaporative Plan • RFA*ATP_: Alternative Test Procedure • RFA*DAP_: Delegated assembly plan • RFA*WVR_: Waiver • RFA*EFM_: Engine Fuel Map Information • RFA*INT_: Installation Instructions • RFA*MAN_: Maintenance Schedule • RFA*OTH_: Other Information • RFA*IRF_: IRAF Information and Calculations • RFA*EMS_: Engine Model Summary in Excel

Table A-2— File Naming Convention for On-Road Heavy-Duty Engines/Evaporative/Incomplete Medium Duty Vehicles Using Certified Engineers

Section 1 Confidentiality (3 characters + underscore)	Section 2 Applicability (12 characters + underscore)	Section 3 Information Type (7 characters + underscore)
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • (1)XXXXX_CORRES_: Correspondence • (2)XXXXXyyyyyZZZ_: any related engine family information submittals • (3)XXXXX_COMMON_: any Common Information submittals • (4)Evaporative Family Name_: an individual evaporative family related file <p><i>Note:</i></p> <p>(1) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p>(2) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"; "yyyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator</p> <p>(3) "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p>(4) "XXXXX" 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">Other Standalone Documents (To be updated as needed)</p> <p><u>Correspondence (LTR*⁽⁵⁾)</u></p> <ul style="list-style-type: none"> • LTR*CPP_: Certification Preview Plan • LTR*LOI_: Letter of Intent • LTR*SOC_: Statement of Compliance • LTR*OTH_: Other Letters and Non-Approval Documents • LTR*COV_: Cover Letter <p><u>Compliance Reports (CR#*⁽⁵⁾⁽⁶⁾)</u></p> <ul style="list-style-type: none"> • CR#*PDR_: Production Report • CR#*FLT_: Fleet Average Report • CR#*PHS_: Phase-in Compliance report • CR#*FEE_: Certification fee report • CR#*SER_: Service Manual • CR#*ABT_: Averaging Banking Trading Summary • CR#*DRE_: Defect Report <p><i>Note:</i></p> <p>⁽⁵⁾ "*" alphanumeric (1,2,3... or A,B,C,..)</p> <p>⁽⁶⁾ "#" should be 0, 1, 2, 3,... etc. represents Report No.1 or first quarter, Report No.2 or second quarter, ...; for end of year summary report "#" should be 9</p>

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

Table A-3 — File Naming Convention for On-Road Heavy-Duty Vehicles*/Zero Emission Powertrains (ZEP)/Trailers/Aerodynamic Devices (Aero)

*can include 3rd party suppliers such as Axle and Transmission Manufacturers

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

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

Section 1 Confidentiality (3 characters + underscore)	Section 2 Applicability (12 characters + underscore)	Section 3 Information Type (7 characters + underscore)
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • ⁽¹⁾XXXXX_CORRES_: Correspondence • ⁽²⁾XXXXXyyyyZZZ_: any related vehicle/ZEP/trailer/Aero/3rd party family information submittals • ⁽³⁾XXXXX_COMMON_: any Common Information submittals <p><i>Note:</i></p> <p>⁽¹⁾ "XXXXX" is the first five characters of a mfr's family name, it consists of "model year + EPA MFR code + category code"; Aero and 3rd party omit category code</p> <p>⁽²⁾ "XXXXX" is the first five characters of a mfr's family name, it consists of "model year + EPA MFR code + category code"; "yyyy" is the engine displacement in liters, or family name description code; "ZZZ" is the manufacturer's own family designator; Aero and 3rd party omit category code and description code</p> <p>⁽³⁾ "XXXXX" is the first five characters of a mfr's family name, it consists of "model year + EPA MFR code + category code"; Aero and 3rd party omit category code</p>	<div style="background-color: yellow; text-align: center; padding: 2px;">Application for Certification</div> <ul style="list-style-type: none"> • APP_INI_: Initial Application Submittal • APP_Cnn_: Running Change • APP_Fnn_: Field Fix (Where nn= 01 ~99 in numerical order) <div style="background-color: yellow; text-align: center; padding: 2px;">Other Standalone Documents (To be updated as needed)</div> <p>Request for Approval (RFA*⁽⁵⁾):</p> <ul style="list-style-type: none"> • RFA*ACC_: Air Conditioning Leakage Compliance • RFA*ACD_: Auxiliary Emission Control Device • RFA*AER_: Aerodynamics • RFA*AXL_: Axle Information • RFA*BAT_: Battery End of Life Plan • RFA*CABT_: California Averaging, Banking, and Trading • RFA*CTD_: Certification Test Data • RFA*DAP_: Delegated Assembly Plan • RFA*END_: Engineering Drawings • RFA*EFM_: Engine Fuel Map Information • RFA*FABT_: Federal Averaging, Banking, and Trading • RFA*INT_: Installation Instructions • RFA*GEM_: GEM Input • RFA*LAB_: Label Content • RFA*MAN_: Maintenance Schedule • RFA*OTH_: Other Information • RFA*PRE_: Preapproval Test Plan • RFA*PWT_: Powertrain Information • RFA*TEC_: General Technical Description • RFA*TES_: Test Data • RFA*TIR_: Tire Information • RFA*TRM_: Transmission Information • RFA*WAR_: Warranty Statement • RFA*WEI_: Weight Reduction Report

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Table A-3 – File Naming Convention for On-Road Heavy-Duty Vehicles*/Zero Emission Powertrains)/Trailers/Aerodynamic Devices (Aero)

*can include 3rd party suppliers such as Axle and Transmission Manufacturers

<p><u>Section 1</u> Confidentiality (3 characters + underscore)</p>	<p><u>Section 2</u> Applicability (12 characters + underscore)</p>	<p><u>Section 3</u> Information Type (7 characters + underscore)</p>
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • (1)XXXXX_CORRES_: Correspondence • (2)XXXXXyyyyZZZ_: any related vehicle/ZEP/trailer/Aero/3rd party family information submittals • (3)XXXXX_COMMON_: any Common Information submittals <p><i>Note:</i></p> <p>(1) "XXXXX" is the first five characters of a mfr's family name, it consists of "model year + EPA MFR code + category code"; Aero and 3rd party omit category code</p> <p>(2) "XXXXX" is the first five characters of a mfr's family name, it consists of "model year + EPA MFR code + category code"; "yyyy" is the engine displacement in liters, or family name description code; "ZZZ" is the manufacturer's own family designator; Aero and 3rd party omit category code and description code</p> <p>(3) "XXXXX" is the first five characters of a mfr's family name, it consists of "model year + EPA MFR code + category code"; Aero and 3rd party omit category code</p>	<p style="background-color: yellow; text-align: center;">Other Standalone Documents (To be updated as needed)</p> <p><u>Correspondence (LTR*(4))</u></p> <ul style="list-style-type: none"> • LTR*CPP_: Certification Preview Plan • LTR*LOI_: Letter of Intent • LTR*SOC_: Statement of Compliance • LTR*OTH_: Other Letters and Non-Approval Documents • LTR*COV_: Cover Letter • LTR*FFH_: Fuel-Fired Heater CARB Approval <p><u>Compliance Reports (CR#*(4)(5)):</u></p> <ul style="list-style-type: none"> • CR#*CABT_: California Averaging, Banking, and Trading Summary • CR#*FABT_: Federal Averaging, Banking, and Trading Summary • CR#*PDR_: Production Report <p><i>Note:</i></p> <p>(4) "*" alphanumeric (1,2,3... or A,B,C,..)</p> <p>(5) "#" 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>

- **CC_XXXXXXXXXXXX_CERT#_MM_DD_YYYY.pdf**: EPA Certificate of Conformity (Phase 1 Only)

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

Table A-5 – 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> Confidentiality (3 characters + underscore)</p>	<p><u>Section 2</u> Applicability (12 characters + underscore)</p>	<p><u>Section 3</u> Information Type (7 characters + underscore)</p>
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file after removing confidential information from a CBI file so that it is readily releasable to the public after your vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • (1)XXXXXyyyyZZZ_: any related engine family information submittals • (2)XXXXX_COMMON_: any Common Information submittals <p>Note:</p> <p>(1) XXXXX is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle/engine category code"; "yyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator (for SSIE, the first "Z" is the class code and the remaining "ZZ" is the manufacturer's own engine family designator).</p> <p>(2) "XXXXX" is the first five characters of an EF name, e.g. "model year + EPA MFR code + vehicle/engine category code"</p> <p>(3) "XXXXE" are the first five characters of the mfr's evaporative family name, it consists of "model year + EPA MFR code + Evaporative category code"; "yy" is the ARB evap/permeation code; "ZZZZZ" is the manufacturer's own evaporative family designator (this is meant to be a easy way of recognizing SSIE evap and is not meant to replace the 2 letter evap family code specified in TP-902, nor is it considered an EPA Family Name).</p> <p>(4) "*" alphanumeric (A,B,C,etc... or 1,2,3,etc...)</p> <p>(5) "#" should be 1,2,3... etc. Represents Report No. 1 for first quarter, Report No. 2 for second quarter, ...; for mid-year flexibility report "#" should be 6; for end of year summary report "#" should be 9.</p>	<p>Application for Certification</p> <ul style="list-style-type: none"> • APP_PRM_: Primary Application • APP_FLX_: Flexibility Application (OFCI) • APP_Cnn_: Application Running Change • APP_Fnn_: Application Field Fix (Where nn= 01 ~99 in numerical order) <p>Other Standalone Documents (To be updated as needed)</p> <p>Request for Approval ("RFA*(4)"): </p> <ul style="list-style-type: none"> • RFA*LAB_: Label Content • RFA*DFP_: Durability plan • RFA*PHS_: Phase In Plan • RFA*ATP_: Alternative Test Procedure • RFA*ABT_: Averaging, Banking , Trading Plan • RFA*WAR_: Warranty Statement • RFA*TRM_: Tamper-resistance • RFA*ACD_: Auxiliary Emission Control Device • RFA*SNS_: Sensors Table • RFA*CAC_: Carry Across table • RFA*SCR_: SCR Information • RFA*DPF_: DPF Regeneration Strategy • RFA*DAP_: Delegated Assembly Plan • RFA*NTE_: Not_to_Exceed request • RFA*INT_: Installation Instructions • RFA*MAN_: Maintenance Schedule • RFA*OTH_: Other Information • RFA*IRF_: IRAF Information and Calculations • RFA*EMS_: Engine Model Summary in Excel <p>Correspondence (LTR*(4)):</p> <ul style="list-style-type: none"> • LTR*LOI_: Letter of Intent • LTR*SOC_: Statement of Compliance • LTR*OTH_: Other Letters and Non-Approval Documents • LTR*CPP_: Certification Preview Plan • LTR*COV_: Cover Letter <p>Compliance Reports (CR#(5)):</p> <ul style="list-style-type: none"> • CR#*DRE_: Defect Report • CR#*ABT_: Averaging Banking Trading Summary • CR#*PHS_: Phase-in Compliance Report • CR#*FLX_: Flexibility Engine Production Report (OFCI) • CR#*PDR_: Production Report • CR#*SER_: Service Manual

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

Table A-6 – 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>Section 1 Confidentiality (3 characters + underscore)</p>	<p>Section 2 Applicability (12 characters + underscore)</p>	<p>Section 3 Information Type (7 characters + underscore)</p>
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file after removing confidential information from a CBI file so that it is readily releasable to the public after your vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • ⁽¹⁾XXXXXyyyyZZZ_: any related engine family or evaporative family (< or equal to 80cc) information submittals • ⁽²⁾XXXXX_COMMON_: any Common Information submittals • ⁽³⁾XXXXEyyZZZZ_: Individual evaporative family related file for California SORE (>80cc) or LSIE (< 1 Liter) <p>Note:</p> <p>⁽¹⁾ XXXXX is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle/engine category code"; "yyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator (for SSIE, the first "Z" is the class code and the remaining "ZZ" is the manufacturer's own engine family designator).</p> <p>⁽²⁾ "XXXXX" is the first five characters of an EF name, e.g. "model year + EPA MFR code + vehicle/engine category code"</p> <p>⁽³⁾ "XXXXE" are the first five characters of the mfr's evaporative family name, it consists of "model year + EPA MFR code + Evaporative category code"; "yy" is the ARB evap/permeation code; "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;">Application for Certification</p> <ul style="list-style-type: none"> • APP_CSS_: cert. summary sheet (Marine & LSI Database Files Only) • APP_PRM_: primary application • APP_SUP_: supplemental application • APP_EPA_: EPA Application (Marine) • APP_Cnn_: application running change • APP_Fnn_: application field fix (Where nn= 01 ~99 in numerical order) <p style="text-align: center;">Other Standalone Documents (To be updated as needed)</p> <p>Request for Approval ("RFA*⁽⁴⁾"):</p> <ul style="list-style-type: none"> • RFA*LAB_: Label Content • RFA*DFP_: Durability Plan • RFA*PHS_: Phase- in Plan • RFA*CAP_: Corp. Ave. plan • RFA*PLT_: Production Line Testing (PLT) Engine Sampling Plan • RFA*ATP_: Alternative Test Procedure • RFA*ABT_: Averaging, Banking , Trading Plan • RFA*WAR_: Warranty Statement • RFA*OBD_: On-Board Diagnostics • RFA*TRM_: Tamper-resistance • RFA*ACD_: Auxiliary Emission Control Device • RFA*ECA_: Engine Cooling (Auxiliary) • RFA*EVP_: Evaporative Plan • RFA*OTH_: Other document • RFA*NTE_: Not-To-Exceed Report • RFA*BND_: EPA Bond Worksheet <p>Correspondence (LTR*⁽⁴⁾):</p> <ul style="list-style-type: none"> • LTR*LOI_: Letter of Intent • LTR*SOC_: Statement of Compliance • LTR*OTH_: Other letters and non-approval documents <p>Compliance Reports (CR*⁽⁵⁾):</p> <ul style="list-style-type: none"> • CR#*DRE_: Defect Report • CR#*ABT_: Averaging Banking Trading Summary • CR#*QTR_: Quarterly Production Report (ARB Only) • CR#*PLT_: Production Line Test report • CR#*PHS_: Phase-in Compliance Report <p>Note:</p> <p>⁽⁴⁾ "*" alphanumeric (A,B,C,etc... or 1,2,3,etc...)</p> <p>⁽⁵⁾ "#" should be 1,2,3... etc. Represents Report No. 1 for first quarter, Report No. 2 for second quarter, ...; for mid-year flexibility report "#" should be 6; for end of year summary report "#" should be 9.</p>

APPENDIX C.
DMS Workflow Process
Naming Convention

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

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

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

C.2 On-Road Heavy-Duty Engines/Evaporative/Incomplete Medium Duty Vehicles Using Certified Engines Certification Categories

<p>For Applications: 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"> ○ APP_INI_ – Initial Application ○ APP_Cnn_EO – Running Change with EO ○ APP_Cnn_ – Running Change without EO ○ APP_EVP_ – Evaporative application

<p>For Support Documents: 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"> ○ Request For Approval <ul style="list-style-type: none"> - Warranty - Label - Durability Plan - Tamper Resistance Method - SCR Information - Alternative Test Procedure - Delegated Assembly Plan - Engine Fuel Map Information - Installation Instructions - Maintenance Schedule - Other Information - IRAF Information and Calculations - Engine Model Summary in Excel ○ Correspondence Type <ul style="list-style-type: none"> - Letter of Intent - Statement of Compliance - Cover Letter - Certification Preview Plan ○ Compliance Report Type <ul style="list-style-type: none"> - Certification Fee Report - Production Report - Fleet average Report - Service Manual - Averaging, Banking, and Trading Summary Report - Defect Report

C.3 On-Road Heavy-Duty Vehicles*/Zero Emission Powertrains/Trailers/Aerodynamic Devices Certification Categories

*can include 3rd party suppliers such as Axle and Transmission Manufacturers

<p>For Applications: MY_CBI(or)FOI_Vehicle/ZEP/Trailer/Aero/3rd Party 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"> ○ APP_INI_ – Initial Application ○ APP_Cnn_EO – Running Change with EO ○ APP_Cnn_ – Running Change without EO ○ APP_Fnn_ – Field Fix

<p>For Support Documents: 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"> ○ Request For Approval <ul style="list-style-type: none"> - Averaging, Banking, and Trading Plan - Air Conditioning Leakage Compliance - Auxiliary Emission Control Device - Aerodynamics - Axle Information - Battery End of Life Plan - Certification Test Data - Delegated Assembly Plan - Engine Fuel Map Information - Installation Instructions - GHG Emissions Model Input - Label Content - Other Information - Powertrain Information - Tire Information - Transmission Information - Warranty Statement ○ Correspondence Type <ul style="list-style-type: none"> - Letter of Intent - Statement of Compliance - Cover Letter - Certification Preview Plan - Other Letters and Non-Approval Documents ○ Compliance Report Type <ul style="list-style-type: none"> - Production Report - California Averaging, Banking, and Trading - Federal Averaging, Banking, and Trading

C.4 Off-Road Compression-Ignition Certification Categories

Single Applications:

Engine Family Name_Sub Category¹_Sumbission Type²_App

Examples of Types of Submittals

CMFRL.123ABC_Pwr 8-19_New_App

Support Documents:

OFCI_Model Year_ARB Mfr Code_Document Type³

Examples of Types of Submittals

OFCI_2012_MFR_RFA*LAB

(1) Sub-Categories:

Pwr <8 = Power less than 8 kW
Pwr 8-19 = Power \geq 8 kW and <19 kW
Pwr 19-37 = Power \geq 19 kW and <37 kW
Pwr 37-56 = Power \geq 37 kW and <56 kW
Pwr 56-75 = Power \geq 56 kW and <75 kW
Pwr 75-130 = Power \geq 75 kW and <130 kW
Pwr 130-225 = Power \geq 130 kW and <225 kW
Pwr 225-450 = Power \geq 225 kW and <450 kW
Pwr 450-560 = Power \geq 450 kW and \leq 560 kW
PwrMM >560 = Power of Mobile Machines greater than 560 kW
PwrGEN 560-900 = Power of Generators >560 kW and \leq 900 kW
PwrGEN >900 = Power of Generators greater than 900 kW

(2) Submission Type:

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

(3) Document Type:

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

C.5 Off-Road Spark-Ignition Certification Categories

Single Applications:

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

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

ii. >80cc Evap. Application

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

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

Examples of Types of Submittals

CMFRM.123ABC_OUTBD_New_App

Support Documents/Correspondences:

Category⁽¹⁾ _Model Year _ARB Mfr Code _Document Type⁽³⁾

Examples of Types of Submittals

SIME_2012_AMFR_LAB

PLT/ABT Reports:

Calender Quarter _Category⁽¹⁾ _ARB Mfr. Code _PLT/ABT Reports

Examples of Types of Submittals

**12Q1_SIME_AMFR_PLT Reports
(e.g., 12Q1: the 1st quarter of year 2012)**

(1) Categories and Sub-Categories:

SSIE CATEGORY

SSIE Subcategories:

- Exh <50 = Exhaust less than 50cc
- Exh 50-80 = Exhaust 50cc to 80cc inclusive
- Exh 80-225 = Exhaust 80cc to 225cc
- Exh >225 = Exhaust greater than or equal to 225cc
- Evp <80 = Evaporative less than or equal to 80cc
- EvpWB 80-225 = Evaporative Walk-Behind Mowers 80cc to 225cc
- Evp 80-225 = Evaporative Non Walk-Behind Mowers 80cc to 225cc
- Evp >225 = Evaporative Greater than or equal to 225cc

SIME CATEGORY

SIME Subcategories:

- INBD = Inboard
- STRN = Sterndrive
- INBST = Inboard Sterndrive
- OUTBD = Outboard
- PWC = Personal Watercraft
- JTBT = Jet boat

LSIE CATEGORY

LSIE Subcategories:

- GT1L = Greater than 1 Liter
- Exh LT825 = Exhaust Less than or equal to 825cc
- Exh 825-1L= Exhaust Greater than 825cc and less than or equal to 1 Liter
- Exh LT1L=Exhaust Less than 1 Liter (applicable for 2002-2010)
- Evp LT825 = Evaporative Less than or equal to 825cc
- Evp 825-1L= Evaporative Greater than 825cc and less than or equal to 1 Liter
- Evp LT1L= Evaporative Less than 1 Liter

(2) Submission Type:

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

(3) Document Type:

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