

2 CERTIFICATION

2.0 Manufacturer Registration and Submission of Contact Information.

Applicability: All industries and all manufacturers.

2.0.0 A vehicle/engine company requests manufacturer code from EPA: A potential manufacturer will contact someone on CCD's compliance team (probably by mail, phone, or email) and indicate their desire to sell vehicles or engines in the United States. A company that is going to begin selling vehicles or engines in the United States must first be assigned an EPA Verify manufacturer code. A temporary CCD certification representative should be assigned manually as soon as a company contacts CCD requesting a manufacturer code to step them through the new manufacturer registration process. In order to submit any documents or data to CCD or to make a valid fee payment, each manufacturer must be registered with CCD in order to be assigned a four-digit manufacturer code. This manufacturer information system should track all light-duty, heavy-duty, and non-road manufacturer codes as well as manufacturer contact information associated with a particular manufacturer code. It is desirable that manufacturers have the ability to complete the registration process on-line without the involvement of CCD certification or IT staff. Manufacturers should be prompted annually, by the new system, to verify and update if necessary their contact information. CCD staff will direct the company representative to a web site where they will find instructions and a list of information that must be submitted to CCD in order to receive an "EPA Verify manufacturer code". This is done only once per lifetime of a company. The list of current manufacturer codes must be migrated to the redesigned system.

Inputs: Manufacturer code request
 Outputs: EPA Request for Manufacturer Information (list of fields)
 Mechanisms: Manufacturer
 Controls: n/a

2.0.1 Manufacturer submits "Manufacturer Information" and/or "Manufacturer User ID Information" into CCD's computer system: A link on EPA's (OTAQ's) public web site will provide instructions for new manufacturers. The first step is that they must submit information that is needed in order for EPA to assign them an "EPA Verify manufacturer code". This information will consist of a basic description of the company including which types of products they plan to certify in the U.S. as well as "User ID information" for at least one user from that company. They must also submit a letter signed by a designated official that specifies any employees of their company that are authorized to submit

information for this manufacturer code via CCD's computer system. Any information submitted by the new manufacturer must be archived. A new manufacturer should be encouraged to not request a manufacturer code until they are ready to begin the certification process.

Inputs: Manufacturer Information
 Manufacturer User ID Information
 Outputs: Archive copy of Manufacturer submission
 Receipt/Error Report
 Submitted manufacturer information (2.0.2)
 Submitted manufacturer User ID information (2.0.4)
 Mechanisms: Manufacturer
 Controls: Manufacturer Information Template
 Manufacturer User ID Information Template

2.0.2 CCD computer and possibly CCD's staff validates the "Manufacturer Information": Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a "receipt and error report" that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. A "Manufacturer Code Verification Indicator" is stored in the system that will prompt CCD's Verify application administrator or CCD's computer to assign an "EPA Verify manufacturer code".

Inputs: Submitted manufacturer information (2.0.1)
 Updated manufacturer information
 Outputs: Receipt/Error Report
 Manufacturer Code Verification Indicator
 Validated Manufacturer information
 Mechanisms: CCD Staff
 CCD Computer
 Controls: Validation Rules

2.0.2.1 Manufacturer submits corrections and/or updates to the "Manufacturer Information": The manufacturer will submit any necessary corrections or updates to their "Manufacturer Information" via the designated secure web site. They will be able to retrieve their previous submission, make needed updates, and resubmit the information to CCD's computer. Updates to "manufacturer information" may

happen either before or after EPA assigns a manufacturer code. Goto step 2.0.2.

Inputs: Manufacturer Information
 Receipt/Error Report
 Outputs: Updated Manufacturer Information
 Archived copy of manufacturer submission
 Mechanisms: Manufacturer
 CCD Staff
 Controls: Information Template
 Modification Rules

2.0.3 CCD assigns a “Verify Manufacturer Code”: If a new manufacturer code convention is adopted, the current list of manufacturer codes must be assigned a manufacturer code under the new convention. For new company requests, CCD’s computer or staff assigns a manufacturer code according to the manufacturer code rules. Once a manufacturer code is assigned, the manufacturer, CCD certification rep, and CARB must all be notified of the new manufacturer and code. The EPA certification representative should be assigned at the same time as a manufacturer code is assigned by the CCD staff or contractor. One possibility is that a default certification representative assignment be made at this time (one for light-duty and a different one for heavy-duty/nonroad). After this initial assignment, designated CCD certification representatives (again, one for light-duty and a different one for heavy-duty/nonroad) should be able to access a web screen where they can change the assigned CCD certification representative for each manufacturer at any point after the initial assignment. Any time the assigned CCD certification representative is changed, an email should be sent to the manufacturer, the new CCD certification representative, CARB, as well as the previous CCD certification representative. After receiving a manufacturer code, the manufacturer will need to submit information required to create User IDs who will be granted access to submit information to EPA’s computer system. User IDs will only be allowed to be created for employees that are on the list received from the manufacturer in step 2.0.1. “User ID Information” consists of information that describes each user including their personal contact information. There must be a way to designate whether a manufacturer code is active or inactive. A log must also be maintained that keeps track of changes that are made to manufacturer information including the date a change was made (i.e.- such as company name).

Inputs: Verify Manufacturer code verification indicator
 Validated manufacturer information
 Outputs: Assigned Verify manufacturer code
 Notification of assigned manufacturer code to CCD staff,

manufacturer, CARB
Mechanisms: CCD Staff
CCD Computer
Controls: Assignment rules

- 2.0.4 CCD computer and possibly staff validates “Manufacturer User ID Information”: Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. The manufacturer will receive a “receipt and error report” that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. A “User ID Verification Indicator” is stored in the system that will prompt CCD’s system administrator or CCD’s computer to assign a User ID and password. There may be many User IDs for one manufacturer code and one User ID may have access to multiple manufacturer codes. Additional users may be added at any point (after a new letter has been sent to EPA authorizing that user) and users may be deleted at the manufacturers request at any point. It will be the responsibility of the manufacturer to keep track of user IDs that should be deleted.

Inputs: Assigned manufacturer code
Manufacturer user ID request
Submitted manufacturer user ID information (2.0.1)
Updated manufacturer user ID and password information
Validated manufacturer information
Outputs: Receipt/Error report
Validated manufacturer user ID information
Manufacturer User ID verification indicator
Mechanisms: CCD Staff
CCD Computer
Controls: Validation Rules

- 2.0.4.1 Manufacturer submits corrections and/or updates to the “Manufacturer User ID Information”: The manufacturer will submit any necessary corrections or updates to their “Manufacturer User ID Information” (i.e.- user contact information) via the designated secure web site. They will be able to retrieve their previous submission, make needed updates, and resubmit the information to CCD’s computer. Updates to “manufacturer user ID information” may happen either before or after a User ID and password has been assigned. There must be a way to designate whether a manufacturer user ID is active or inactive. A log must also be maintained that keeps track of changes that are made to manufacturer User ID information including the date a change was made (i.e.- such as the user’s last name). Goto step 2.0.4 for validation. If CCD’s general contact information database is separate from Verify’s manufacturer user ID contact information

database, all Verify users and their contact information should automatically be copied to the general contact database.

Inputs: Manufacturer request for user ID / password information change
 EPA request for user ID / password information change
 Validated manufacturer user ID information
 Receipt/Error Report
 Assigned Manufacturer User IDs and Passwords

Outputs: Updated Manufacturer User ID and Password Information
 Archive copy of manufacturer submission

Mechanisms: CCD Staff
 CCD Computer

Controls: Information Update Reminders
 Template
 Modification Rules

2.0.5 CCD assigns a “Manufacturer User ID and Password”: CCD’s computer or staff assigns a User ID and password according to the assignment rules. The manufacturer user representative is then notified of their assigned User ID and password and is provided instructions for submitting information to CCD’s computer. Prior to assigning a user ID and password, CCD must verify that the employee is on the letter provided by the manufacturer in step 2.0.1 that contains a list of employees for that manufacturer code that are authorized to submit data to CCD’s Verify system. Verify user IDs and passwords would not be assigned for any employee not on this list. The manufacturer is also responsible for notifying CCD anytime an employee’s user ID and password should be deactivated (due to transfer to another position or departure from the company).

Inputs: User ID Verification Indicator
 Validated Manufacturer User ID information
 Assigned Manufacturer Code

Outputs: Assigned Manufacturer User IDs and Passwords
 Notification of Assigned Manufacturer User IDs and Passwords

Mechanisms: CCD Staff
 CCD Computer

Controls: Manufacturer User ID and Password Assignment Rules

2.1 CCD Approves Manufacturer's Durability Processes

Applicability: This section only applies to manufacturers or industries that are required to get formal EPA approval of their durability process (exhaust and/or evaporative) prior to using it as part of their certification process for a specific test group or engine family. It currently applies to light-duty, locomotive and marine CI manufacturers. CCD has 90 days to approve manufacturer durability applications for locomotive and marine manufacturers. If an EPA approval/denial is not made within 90 days, it's an automatic approval and should be notes as such in the system. Most other HD/NR industries will not be required to get their durability processes approved separate from their certification approval process. This section does not apply to manufacturers or industries that are not required to get special EPA approval prior to certification. EPA approval of a manufacturer's customized or alternative durability process is required prior to using that process for the first time. Subsequent approval is not needed unless the manufacturer changes the process (this is true for light-duty manufacturers as part of the CAP 2000 process-it's not clear whether it also applies to HD/NR manufacturers or whether they need to get approved annually). Some industries (light-duty and some heavy-duty and nonroad) have the option of choosing to use an EPA-prescribed cycle or their own custom process.

- 2.1.5 Manufacturer Submits Durability Information: Light-duty manufacturers and some heavy-duty and nonroad manufacturers will submit to EPA a description of their desired durability process that includes: description of the test procedures, catalyst temperature data, in-use data, an equivalency factor (if required), comparison to EPA test procedure and how their procedure matches their in-use data. This confidential information will be submitted as documents. Metadata will also be submitted for each document that describes the document. For most HD and NR industries, the EPA durability review and approval takes place during the certification process, not prior to the certification process as is the case for light-duty. Small SI regulations specify a specific durability process but the other industries do not. A manufacturer may request to use EPA assigned DFs if they meet the assigned DF criteria. Some manufacturers may submit a written request for EPA's approval of their durability process or DFs. For Locomotive or Marine CI manufacturers, EPA has 90 days to approve/deny the request.

Inputs:	Manufacturer Durability Information (Documents and Metadata)
Outputs:	Receipt/Error Report
	Submitted Manufacturer Durability Information (Documents and Metadata)
	Archive copy of manufacturer submission
Mechanisms:	Manufacturer
Controls:	Metadata Template
	Document Rules

2.1.6 CCD's Computer Validates Manufacturer Durability Information: Manufacturer and EPA-generated durability-related documents should be stored in an electronic document filing system in the new system. Manufacturer durability information will likely consist of several documents of multiple formats (i.e.- PDF, word processor, spreadsheet, graphic files). Each document that is submitted must be accompanied by metadata which describes the document. There will be a pre-specified list of metadata for the manufacturer to submit. Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. The validation checks will include verifying that all required document metadata has been properly submitted (metadata will include the file name for any attached documents) and that their actually is a document attached the same file name (including file extension) as indicated in the metadata. It will not review any content of the attached documents. All durability reviews will be conducted manually by the appropriate CCD staff. The best method for documenting the approval/denial and for notifying the manufacturer (i.e.- stamp on the actual document, email or formal letter) should be determined by the certification staff. A record of each durability approval should be saved and stored in the internal document index system. Since some industries require their durability reviews to be completed within a certain time period, a date/time stamp should be applied when the document has been received by CCD's Verify's system (as soon as it has gone through the validation process). The computer should track the 90 day clock for each applicable submission and notify the certification representative at various times of the time remaining. Not all durability approvals have the 90 day requirement. The manufacturer will receive a "receipt and error report" that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. As soon as the manufacturer verifies that their durability documents have been accurately received by CCD's Verify system they should notify their CCD certification representative so that EPA knows to begin their review. The CCD certification representative will be able to search for the applicable durability documents on a web-based search screen. They will be able to search by model year, manufacturer, key word, etc.

Inputs:	Submitted manufacturer Durability Information (Documents and Metadata)
	Updated Manufacturer Durability Information (Documents and Metadata)
Outputs:	Receipt/Error Report
	Validated Manufacturer Durability Information (Documents and Metadata)
Mechanisms:	CCD Computer
Controls:	Validation Rules

2.1.7 Manufacturer submits corrections and/or updates to the “Manufacturer Durability Information”: The manufacturer will submit any necessary corrections or updates to their “Manufacturer Durability Information” via the designated secure web site. They will be able to retrieve any previous submissions, make needed updates, and resubmit the information to CCD’s computer. Goto step 2.1.6.

Inputs: Manufacturer Durability Information (Documents and Metadata)
 Receipt/Error Report
 EPA Request for Manufacturer to Update Durability Information
 Outputs: Modified Durability Information (Documents and Metadata)
 Archive copy of manufacturer submission
 Mechanisms: Manufacturer
 CCD Staff
 Controls: Information Template and Update Rules

2.1.9 CCD Staff Reviews Manufacturer Durability Information: After a manufacturer has submitted the required documents that describe their durability process, CCD staff will review the durability information. This review may result in asking the manufacturer to submit additional information, approving the durability process, denying the durability process, or asking the manufacturer to modify a part of their process. A durability approval indicator will be used to track whether a specific durability process has been approved or denied (and the date of approval). CCD may issue an approval letter that specifies what is being approved. This approval is sometimes in the form of a signature and approval stamp on the cover page of the manufacturer's submission. In some cases, the certificate of conformity serves as EPA’s approval of that manufacturer’s durability process. For most HD and NR industries, the EPA durability review and approval takes place during the certification process, not prior to the certification process as is the case for light-duty.

Inputs: Validated Manufacturer Durability Information (Documents and Metadata)
 Manufacturer ready for durability review indicator
 Outputs: EPA Request for manufacturer to submit updated/additional durability information
 EPA Durability Approval Notification
 Durability Process Approval Indicator (2.11.1)
 Mechanisms: CCD Staff
 Controls: Durability Approval Rules

2.1.8 Notify Manufacturer, CCD and CARB Certification Representatives of Manufacturer Durability Process Approval Status: The manufacturer will be notified by EPA when their durability process has been approved or denied. CCD and CARB certification representatives will be copied on this approval notification. A copy of the approval notification will be stored in CCD's internal document index system.

Inputs: EPA durability approval notification
Outputs: Manufacturer/EPA/CARB notification of durability process approval/denial (Documents and Metadata)
Mechanisms: CCD computer
 CCD staff
Controls: Manufacturer contact information

2.2 Manufacturer Divides Product Line into Durability Groups, Test Groups, and Engine Families

Applicability: All industries and all manufacturers

All manufacturers must divide their product line into test groups/engine families according to all applicable regulatory requirements. Light-duty manufacturers must also divide their product line into durability groups. Engine families or durability groups are used to establish the emission deterioration as measured by the durability process described in section 2.1 above. Test groups are the base units for certification and in-use verification testing. One durability group can include many test groups, but one test group can only include one durability group. For motorcycles (MC), manufacturers divide products into three classes according to MC displacements; the motorcycles in one class then further divided into Engine family according to engine and emission characteristics.

2.3 Manufacturer Pays Certification Fees

Applicability: All industries and all manufacturers

2.3.0 Manufacturer Submits Fee Filing Form to U.S. Bank: A manufacturer will submit a hardcopy fee filing form for all fee payments (check, ACH, or wire) to U.S. Bank. The fee filing form indicates the manufacturer and fee payment amount. An updated fee filing form will be submitted to U.S. Bank if it is determined that a manufacturer's original fee payment was underpaid (not just for corrections to other information on the fee filing form).

Inputs: Manufacturer Fee Filing Form Information
Updated fee payment amount (from 2.3.7.1)
Updated fee filing form information (2.3.7.1)
Outputs: Submitted fee filing form
Mechanisms: Manufacturer
Controls: Fee Filing Form
Fee Payment Rules

- 2.3.1 Manufacturer Submits Fee Payment Check or Automatic Clearing House (ACH) Payment to U.S. Bank: All fee payment checks or ACH payments are sent to U.S. Bank along with the fee filing form that was submitted in step 2.3.0.

Inputs: Fee Payment Information
Fee Payment
Updated fee payment amount (2.3.7.1)
Outputs: Submitted fee payment
Mechanisms: Mfr
Controls: Fee payment rules

- 2.3.2 Manufacturer Submits Fee Wire Payment to NY Federal Reserve: Concurrent with submitting the fee filing form to U.S. Bank (2.3.0), the manufacturer will send their fee wire payment to the NY Federal Reserve.

Inputs: Fee Payment Information
Fee Payment
Updated Fee Payment Amount (2.3.7.1)
Outputs: Submitted fee wire payment
Mechanisms: Manufacturer
Controls: Fee Payment Rules

- 2.3.3 U.S. Bank Processes Fee Filing Forms (all payment types) and Fee Payments (Check or ACH): U.S. Bank processes all fee filing forms and fee payments they receive. They send all processed fee filing forms along to CCD. They also send a list of all processed fee payments (batch deposit report) to CCD and EPA's financial division and notify the U.S. Treasury of all fee payments.

Inputs: Submitted fee filing form
Submitted fee payment
Outputs: Processed fee filing form
Processed fee deposit list (batch)
Processed fee payment
Mechanisms: U.S. Bank

Controls: n/a

- 2.3.4 U.S. Treasury Enters Fee Payment In CashLink System: The U.S. Treasury enters record of all fee payments (from both U.S. Bank and NY Federal Reserve) into their CashLink system.

Inputs: Notification from U.S. Bank and/or NY Federal Reserve of all fee wire payments

Outputs: CashLink MVECP Fee Payment report

Mechanisms: U.S. Treasury

Controls: n/a

- 2.3.5 NY Federal Reserve Processes Fee Wire Payment: NY Federal Reserve processes all fee payments they receive. They notify the U.S. Treasury of all fee payments.

Inputs: Submitted Fee Wire Payment

Outputs: US Treasury fee wire payment notification
Processed fee wire payment

Mechanisms: NY Federal Reserve

Controls: n/a

- 2.3.6 U.S. Bank or NY Federal Reserve Deposits Fee Payment into U.S. Treasury Special Fund: All fee payments are deposited to the US Treasury's special fund.

Inputs: All processed fee payments

Outputs: n/a

Mechanisms: US Bank
NY Federal Reserve

Controls: n/a

- 2.3.7 CCD Staff or Contractor Inputs and Verifies Fee Payment or Refund Information into CCD's Fee Database: CCD staff or contractor enters all fee payments into CCD's separate fee database (it may be integrated into the new Verify system at some point in the future). Several cross-checks are performed using the manufacturer fee filing forms, the US Bank list of processed fee deposits (batch report), EPA financial divisions monthly summary report, and the US Treasury's CashLink system.

Inputs: Updated fee filing form
Processed fee filing form
Processed fee deposit list (batch report)
CashLink MVECP Fee Payment Information

Outputs: EPA Financial Division monthly summary report
EPA request for Manufacturer to Update Fee Filing Form
EPA request for Manufacturer to Update Fee Payment amount
Verified Fee Filing Form
Fees Paid Indicator for a test group or engine family

Mechanisms: CCD Staff or contractor
CCD Fee Database

Controls: Fee Rules
Fees Database Template
Fee Payment Verification Procedures

2.3.7.1 Manufacturer Updates the Fee Filing Form and/or Fee Payment Amount: A manufacturer may have to submit an updated fee filing form if the fee payment amount was incorrect or if there was a typo somewhere on the form. If the fee payment amount is being revised because the manufacturer did not pay the full required amount, the corrected fee filing form must be sent to the US Bank. If they are simply fixing a typo on the form then the updated fee filing form should be sent directly to CCD.

Inputs: Manufacturer notification of revised fee payment amount
Manufacturer decision to update the fee filing form (i.e.- typo)
Fee filing form information
EPA request for fee payment amount to be updated (2.3.7)
EPA request for fee filing form to be updated

Outputs: Updated fee payment amount
Updated fee filing form

Mechanisms: Manufacturer

Controls: Fee Filing Form
Fee Payment Rules

2.3.8 EPA's Financial Division Compiles Fee Payment/Refund Log Information: EPA's financial division compiles a summary report of all fee payments. A monthly report is sent to CCD.

Inputs: CashLink MVECP Fee Payment Information
Processed fee deposit list (batch report)

Outputs: Monthly Fee Payment Summary report

Mechanisms: EPA Financial Division

Controls: n/a

2.3.9 CCD Staff or Contractor Audits Manufacturer Fee Payment or Refund Request: At any point in the fee payment process, someone from CCD or a contractor may

perform an audit to verify that manufacturers have paid the proper fee amounts. Audits will probably pay particular attention to manufacturer' reduced fee payment calculations. Audits will also be performed anytime a manufacturer has requested a full or partial fee refund request. The manufacturer will need to be notified if the audit shows that they did not submit the correct fee payment amount.

Inputs: Verified Fee Filing Form
Outputs: Manufacturer notification of revised fee amount
Fee Audit decision indicator
Mechanisms: CCD Staff or Contractor
Fee Database
Controls: Fee Rules
Fee Audit Procedures

2.3.10 CCD Staff Records EPA's Fee Payment Audit Decision: After an audit is completed, the audit results must be recorded in the fee database.

Inputs: EPA fee audit decision indicator
Verified fee filing form
Outputs: Recorded audit decision
Mechanisms: CCD staff
CCD computer
Controls: Audit decision log template

2.3.11 CCD Staff and/or Computer Notifies Manufacturer of Received/Verified Fee Payment: The manufacturer should be notified once the fees paid indicator (in CCD's certification system) for a specific test group or engine family has been set to "yes" (meaning CCD shows the fee has been paid).

Inputs: Fees Paid Indicator for a test group/engine family
Outputs: Manufacturer Verified Fee payment notification
Mechanisms: CCD computer
CCD staff
Controls: Manufacturer contact information
Fee payment confirmation notification template

2.4 Pre-Cert Activities: CCD Conducts Annual Preview Meetings with Manufacturers and Reviews Special Requests From Manufacturers

Applicability: Optional for all industries and all manufacturers per EPA discretion or

manufacturer request

2.4.0 CCD Staff Determines Which Certification Preview Meetings Are Needed: Each year, the certification staff determines if a certification preview meeting is needed for a particular industry or manufacturer. A letter or phone call is used to notify the selected manufacturers so that the preview meeting can be scheduled. This notification usually specifies any questions or topics EPA wants the manufacturer to cover at the meeting. Industries may be selected because they are being regulated for the first time, new standards are being implemented, new or controversial technologies are being used, etc. A specific manufacturer may be selected because they are certifying with EPA for the first time or because EPA has concerns about elements of the certification program. Light-duty manufacturers are typically requested to submit their testing schedule so that LOD can plan for the confirmatory testing season. Plans for the current and subsequent model years are typically covered. A letter is sent to all manufacturers that are being requested to attend a certification preview meeting. The letter requests the manufacturer to contact their certification representative to schedule the meeting and provides a list of topics or questions that EPA would like the manufacturer to discuss with EPA. This includes a summary of their product line for the current and upcoming model years and provides information such as: compliance phase-in plans, banking and trading plans, durability and test group determinations, new technologies planned, carry-over vehicle plans, and test schedules, etc. Manufacturers often prepare handouts to share with EPA at these meetings. In some cases, a manufacturer may not be able to attend a meeting in person but will submit materials that EPA reviews and follows-up with any questions for the manufacturer. The new system will have an electronic document filing system to maintain any documents provided by the manufacturer as well as any CCD notes of the meeting including meeting attendees.

Inputs: n/a
 Outputs: EPA preview meeting decision
 Manufacturer notification of EPA request for preview meeting
 Mechanisms: CCD Staff
 Controls: Manufacturer contact information
 Preview meeting selection criteria
 List of desired information

2.4.1 Manufacturer Submits Requested Certification Preview Information: The manufacturer will often submit several handouts to EPA for these meetings. Some manufacturers don't actually come in for a meeting but submit some documents which EPA then reviews. Since there may be several documents related to one manufacturer's preview meeting, there must be a way to link the

documents together within the document index system (such as name each of the documents "mfrA-my2005-PreviewDocument1" ... "mfrA-my2005-PreviewDocument2" ... etc).

Inputs: Manufacturer notification of EPA request for preview meeting
 Manufacturer certification preview information (Documents and Metadata)
 Outputs: Submitted manufacturer preview information (Documents and Metadata)
 Archive copy of manufacturer submission
 Mechanisms: Manufacturer
 Controls: Document metadata template
 List of Requested Information

2.4.2 CCD's Computer and/or Staff Validate Manufacturer Certification Preview Information: Validation rules will be used to determine whether the document metadata and documents submitted by the manufacturer are complete and accurate (i.e.- the document file name in the metadata must match the actual document file name). This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a "receipt and error report" that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. The actual document content is not reviewed in this step (see step 2.4.5).

Inputs: Submitted manufacturer preview information (Documents and Metadata)
 Updated manufacturer certification preview information (Documents and Metadata)
 Outputs: Receipt and error report
 Validated manufacturer certification preview information
 Mechanisms: CCD Computer
 Controls: Validation rules

2.4.2.1 Manufacturer Submits Updates To Manufacturer Certification Preview Information: The manufacturer may decide to submit updated versions of preview meeting documents (before or after the actual preview meeting). EPA may also request the manufacturer to submit updated documents. Updated documents should be a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original

document) and should indicate the revision number in the file name. EPA will save all versions in the internal document index system.

Inputs: Manufacturer certification preview information (Documents and Metadata)
 EPA request for manufacturer to submit updated certification preview information
 Receipt and error report

Outputs: Updated manufacturer certification preview information (Documents and Metadata)
 Archive copy of manufacturer submission

Mechanisms: Manufacturer
 CCD staff

Controls: Document Metadata template
 Update rules

2.4.3 CCD Staff Compiles Manufacturer Pre-Production Testing Schedule (currently LD only): CCD staff compiles the test schedules submitted by the manufacturers. This typically consists of determining the total number of manufacturer tests that will be submitted to CCD each month to determine if an EPA confirmatory test is needed. LOD uses this projection to determine when the peak confirmatory testing periods will be.

Inputs: Validated Manufacturer certification preview information (Documents and Metadata)

Outputs: LOD notification of compiled test schedule

Mechanisms: CCD staff

Controls: n/a

2.4.5 CCD Staff Reviews Manufacturer Certification Preview Information: CCD staff may review the certification preview information submitted by the manufacturer either before or after the preview meeting. This may or may not result in follow-up activities with the manufacturer, including the manufacturer to update some of the documents that were submitted.

Inputs: Validated certification preview information (Documents and Metadata)

Outputs: Request for manufacturer to update certification preview information

Mechanisms: CCD Staff

Controls: Requested Preview Information

2.4.4 CCD Staff and Manufacturer Conduct Certification Preview Meeting:

Manufacturers and CCD discuss the documents provided by the manufacturer. An outcome of this meeting may be that the manufacturer or a specific test group/engine family will be selected to go through a manual certification review in lieu of the automatic certificate generation process. Another decision that may be made at this meeting is that a light-duty test group or specific model may be pre-selected for EPA's confirmatory test process.

Inputs: Validated manufacturer certification preview information
(Documents and Metadata)

Outputs: EPA request for manufacturer to update Certification Preview information
Certificate Audit Required Indicator
EPA resource requirements
Record of Preview Meeting
Preview confirmatory test decision

Mechanisms: Manufacturer
CCD Staff
CCD Computer

Controls: Preview Meeting Schedule

2.4.6 Manufacturer Submits Special Compliance Request to EPA: Manufacturers often submit special requests to EPA for approval. Special requests may consist of items such as getting permission to use special test procedures. These special requests are often submitted in writing.

Inputs: Manufacturer special request

Outputs: Submitted manufacturer special request (Documents and Metadata)
Archive copy of manufacturer submission

Mechanisms: Manufacturer

Controls: Metadata template

2.4.7 CCD Computer and/or Staff Validates Manufacturer Special Request

Information: A manufacturer special request will probably consist of a letter and supporting documents. These will all be submitted to CCD's internal document index system. Validation rules will be used to determine whether the document metadata and documents submitted by the manufacturer is complete and accurate (i.e.- the document file name in the metadata must match the actual document file name). This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being

rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a “receipt and error report” that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. The actual document content is not reviewed in this step (see step 2.4.5).

Inputs: Submitted manufacturer special request (Documents and Metadata)
 Outputs: Receipt and Error report
 Validated manufacturer special request information
 Mechanisms: CCD Computer
 Controls: Validation Rules

2.4.7.1 Manufacturer Updates Special Compliance Request Information: The manufacturer may decide to submit updated versions of special request documents. EPA may also request the manufacturer to submit updated documents. Updated documents should be a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original document) and should indicate the revision number in the file name. EPA will save all versions in the internal document index system.

Inputs: Manufacturer Special Request Information (Documents and Metadata)
 Receipt and Error Report
 EPA request for additional information
 Outputs: Updated Manufacturer special request information (Documents and Metadata)
 Archive copy of manufacturer submission
 Mechanisms: Manufacturer
 Controls: Document Metadata Template

2.4.8 CCD Staff Reviews Manufacturer Special Request Information: CCD staff will review the manufacturer’s special request to determine first if an EPA response should be provided. If CCD decides to respond, a review of the special request and any supporting information is conducted. The review may result in an approval, denial, or request for additional information. The manufacturer is notified of the review decision.

Inputs: Validated manufacturer special request information (Documents and Metadata)
 Outputs: Notification of EPA’s special request decision

EPA's special request decision
EPA request for additional information about the special request
Mechanisms: CCD Staff
Controls: Compliance Rules and Policies

2.5 Manufacturer Generates Test Data

Applicability: All industries and all manufacturers

The manufacturer conducts testing for the durability and test groups as required for the vehicles that they wish to certify.

2.6 Manufacturer Completes Confirmatory Test Process (Currently light-duty only)

Applicability: Currently light-duty manufacturers only

2.6 Manufacturer Completes Confirmatory Test Process: Light-duty manufacturers are required to conduct emission and fuel economy tests at their facilities (or at a contracted lab). CCD conducts confirmatory tests on a subset of all manufacturer tests to ensure a level playing field and correlation between EPA and manufacturer labs. Examples of some of the criteria used to select vehicles for confirmatory testing are random rate, new technology, or new vehicle. The details of this process are described in section 5 of this document. The manufacturer must submit information to EPA that describes every certification emission test that was conducted by the manufacturer (see section 2.5- Manufacturer Generates Test Data). If the CCD certification representative selects a vehicle for confirmatory testing, the manufacturer must then submit additional information that is needed by EPA to conduct the test. This information should be submitted via the new system. See section 5- Pre-Production Confirmatory Testing for the complete details of the confirmatory test process.

Inputs: Test Waiver Information
EPA preview meeting confirmatory test decision
Outputs: EPA confirmatory test results
Mechanisms: n/a
Controls: n/a

2.7 Manufacturer Submits OBD Application

Applicability: Currently light-duty manufacturers only

2.7.0 Manufacturer Submits OBD Information: Light-duty manufacturers will submit all OBD documents to CCD’s internal document index system along with the metadata that describes each document. The manufacturer submits the On-Board Diagnostic (OBD) application to California Air Resources Board (ARB) for their approval. A copy of the OBD application is sometimes sent to EPA at the same time it is sent to ARB. When the manufacturer receives ARB's OBD approval letter, they send a copy of the approval letter along with the OBD certification materials to the CCD certification representative. The manufacturer may choose to include a scanned copy of the OBD approval letter with their Part 1 application for certification (see section 2.12 Certificate of Conformity Is Issued) rather than sending it separately to CCD as described above.

Inputs: OBD Information (Documents and Metadata)

Outputs: Archive copy of manufacturer submission
Submitted OBD Information (Documents and Metadata)

Mechanisms: Manufacturer

Controls: Template
Rules

2.7.1 CCD’s Computer and/or Staff Validates Manufacturer OBD Information (currently LD only): Validation rules will be used to determine whether the document metadata and documents submitted by the manufacturer is complete and accurate (i.e.- the document file name in the metadata must match the actual document file name). This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a “receipt and error report” that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. The actual document content is not reviewed in this step (see step 2.7.3).

Inputs: Submitted OBD Information (Documents and Metadata)
Updated OBD Information (Documents and Metadata)

Outputs: Receipt and Error Report
Validated OBD Information (Documents and Metadata)

Mechanisms: CCD Computer

Controls: Validation Rules

2.7.2 Manufacturer Submits Updates to OBD Information (currently LD only): The manufacturer may decide to submit updated versions of OBD documents. EPA may also request the manufacturer to submit updated documents. Updated documents should be a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original document) and should indicate the revision number in the file name. EPA will save all versions in the internal document index system.

Inputs: OBD Information (Documents and Metadata)
 Receipt and Error Report
 Outputs: Updated OBD Information (Documents and Metadata)
 Archive copy of manufacturer submission
 Mechanisms: Manufacturer
 Controls: Document Metadata Template
 Update Rules

2.7.3 CCD Staff Reviews Manufacturer-Submitted OBD Information (currently LD only): CCD staff reviews the OBD information submitted by the manufacturer which includes a copy of CARB's OBD approval letter. An OBD application may be for multiple test groups. This review will result in an OBD approval, denial, or a request for additional information. If an OBD application is approved, a copy of the first page of the OBD application that is signed and dated is sent to the manufacturer. An OBD approval indicator will be used to track the status of the OBD review. The OBD approval indicator will be used to prevent a certificate from being issued for any OBD systems that have not been approved by CCD.

Inputs: Validated OBD Information (Documents and Metadata)
 CARB OBD Approval Letter (Documents and Metadata)
 Outputs: OBD Approval Indicator
 Date OBD review completed
 Signed and dated page 1 of OBD application
 CCD request for updated OBD information
 Mechanisms: CCD Staff
 Controls: OBD Review Rules

2.7.4 CCD Staff Updates OBD Approval Log (currently LD only): CCD will maintain a simple log of the status of OBD reviews. The log will track the date the OBD review was completed, the CCD reviewer, the review outcome (approved, denied, request for additional information), etc.

Inputs: OBD Approval Indicator

Outputs: Date OBD review completed
Updated OBD approval log
Archive copy of log submission
Mechanisms: CCD staff
Controls: Log template
Update Rules

2.7.5 CCD Staff and/or Computer Notifies Manufacturer of Completed OBD Review (currently LD only): The manufacturer will be notified when an OBD review is completed. The notification will consist of receiving a copy of the first page of the OBD application that is signed and dated by the CCD reviewer.

Inputs: Signed and dated cover page of OBD Application
Date OBD review completed
Outputs: Manufacturer notification of OBD review decision
Mechanisms: CCD staff
CCD computer
Controls: Manufacturer contact list

2.8 Manufacturer Submits ORVR Application

Applicability: Currently light-duty manufacturers only

2.8.0 Manufacturer Submits ORVR Information: The manufacturer submits an On-board Refueling Vapor Recovery (ORVR) application to CCD's internal document index system for the evaporative family (or families) to be certified. Each ORVR application is either new or a carry-over request. The only difference between a new and carry-over request is the amount of information contained in the ORVR application. A carry-over ORVR application is abbreviated and refers back to a previously submitted ORVR application (either from a previous model year or from a different evaporative family from the current model year). A carry-over application also indicates whether there have been any in-use problems with the previously certified families and the fix (if any). Manufacturers will submit all ORVR documents to CCD's internal document index system along with the metadata that describes each document.

Inputs: ORVR Application (Documents and Metadata)
Manufacturer ORVR carry-over assessment
Outputs: Receipt and Error Report
Submitted ORVR Application (Documents and Metadata)
Submitted Manufacturer ORVR carry-over assessment

Archive copy of manufacturer submission
 Mechanisms: CCD Computer
 Controls: Validation Rules

2.8.1 CCD Computer and/or Staff Validates Manufacturer ORVR Information (LD only): Validation rules will be used to determine whether the document metadata and documents submitted by the manufacturer is complete and accurate (i.e.- the document file name in the metadata must match the actual document file name). This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a “receipt and error report” that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. The actual document content is not reviewed in this step (see step 2.8.3).

Inputs: Submitted ORVR Information (Documents and Metadata)
 Updated ORVR Application (Documents and Metadata)
 Submitted Manufacturer ORVR carry-over assessment
 Outputs: Receipt and Error Report
 Validated ORVR Application (Documents and Metadata)
 Validated Manufacturer ORVR carry-over assessment
 Mechanisms: CCD Computer
 Controls: Validation Rules

2.8.2 Manufacturer Submits Updates to ORVR Information (LD only): The manufacturer may decide to submit updated versions of ORVR documents. EPA may also request the manufacturer to submit updated documents. Updated documents should be a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original document) and should indicate the revision number in the file name. EPA will save all versions in the internal document index system.

Inputs: ORVR Information (Documents and Metadata)
 Receipt and Error Report
 Outputs: Updated ORVR Information (Documents and Metadata)
 Archive copy of manufacturer submission
 Mechanisms: Manufacturer
 Controls: Document Metadata Template
 Update Rules

2.8.3 CCD Staff Reviews Manufacturer ORVR Information (LD only): CCD reviews the ORVR application and if necessary requests additional information from the manufacturer. An ORVR application may be for multiple evaporative families. This review will result in an ORVR denial, an indication that EPA's review is complete, or a request for additional information. If the review of the ORVR application is complete, a copy of the first page of the ORVR application that is signed and dated by an ORVR team member and is sent to the manufacturer. An ORVR review complete indicator will be used to track the status of the ORVR review. The ORVR review complete indicator will be used to prevent a certificate from being issued for any ORVR systems that have not been approved by CCD. The manufacturer will indicate whether the ORVR application is a carry-over from a previous model year in which case there is an expedited review process. A certificate of conformity for a specific test group (see step 2.11.1 and 2.11.2) should not be issued unless the ORVR review has been completed for all applicable evaporative families. One test group may have one or multiple evaporative families.

Inputs: Validated ORVR Application (Documents and Metadata)
Validated manufacturer ORVR carry-over assessment

Outputs: ORVR Review Complete Indicator
Date ORVR review completed
Signed and dated page 1 of ORVR application
CCD request for updated ORVR information

Mechanisms: CCD Staff

Controls: ORVR Review Rules

2.8.4 CCD Staff Updates CCD's ORVR Approval Log (LD only): CCD will maintain a simple log of the status of ORVR reviews. The log will track the date the ORVR review was completed, the CCD reviewer, the review outcome (approved, denied, request for additional information), etc.

Inputs: ORVR Approval Indicator
Date ORVR review completed

Outputs: Updated ORVR approval log
Archive copy of log submission

Mechanisms: CCD staff
CCD computer

Controls: Log template
Update Rules

2.8.5 CCD Staff and/or Computer Notifies Manufacturer of Completed ORVR Review

(LD only): The manufacturer will be notified when an ORVR review is completed. The notification will consist of receiving a copy of the first page of the ORVR application that is signed and dated by the CCD reviewer.

Inputs: Signed and dated cover page of ORVR Application
Outputs: Manufacturer notification of ORVR review decision
Mechanisms: CCD staff
 CCD computer
Controls: Manufacturer contact information

2.9 Manufacturer Submits Information Required for a Certificate of Conformity

Applicability: All industries and manufacturers. The certification information that is required varies by industry.

2.9.1 Manufacturer Submits Certification Information: The manufacturer must compile all the information that is required as part of the certification process and submit it to CCD's computer system. This information consists of numerous documents (and corresponding document metadata), and information that will be formatted to go into a database. Light-duty manufacturers will submit an application for certification that is divided into four separate sections: common CBI, common FOIA, test group/engine family CBI, test group/engine family FOIA. It is currently the plan to have the information required to be in the heavy-duty and nonroad applications for certification incorporated into the certification information database as opposed to being submitted in a separate document as with light-duty. The certification information that will be stored in a database includes a description of the test group to be certified, the emission standards that the test group will be certified to, the certification test results, the vehicle models and other information. Only official certification emission test results that demonstrate that the test group is in compliance with the applicable emission standards are to be submitted into the certification information system. A summary sheet report will be generated from this information for each test group/engine family that describes the basis for each certificate of conformity. The manufacturer certification review priority list is a new concept where manufacturers can specify the order in which CCD should conduct their certification reviews (this is only applicable when there are multiple certificates for a manufacturer that are ready to be reviewed at the same time). For all California-only test groups, the manufacturer must submit a ARB executive order and enter the executive order number into the certification information. A hard-copy of the executive order is currently faxed to EPA but could be submitted and stored electronically in the new system. Some of the information listed below will have already been submitted in an earlier step of the certification process and do

not have to be resubmitted for this step. The item “Other Certification Information” is a place holder for other documents or information that may have been left off this list. Motorcycle Small Volume Manufacturers (MC-SVM) are allowed to submit a statement of compliance, instead of whole set of testing data for certification application. Under current regulation, motorcycles with displacement less than 50cc are exempted from certification requirement. All of this certification information is CBI until after the release date entered by the manufacturer.

Inputs: Common CBI Certification Application (Docs and Metadata)
 Common FOIA Certification Application (Docs and Metadata)
 CBI Certification Application (Docs and Metadata)
 FOIA Certification Application (Docs and Metadata)
 EPA OBD Approval Letter (Docs and Metadata)
 CARB OBD Approval Letter (Docs and Metadata)
 CARB Executive Order (Docs and Metadata)
 Durability Group Information
 Test Group/ Engine Family Information
 Evaporative/ORVR Family Information
 Model/Engine Information
 Test Vehicle/Engine Information
 Test Information
 Part Number Information
 Signed Request for Certificate and Statements of Compliance
 (Docs and Metadata)
 Manufacturer Certification Review Priority List
 Manufacturer Certification Checklist
 Summary Sheet Information
 Certification Preview Meeting Information (Docs and Metadata)
 Other Certification Information

Outputs: Compiled Certification Information (Data, Docs and Metadata)
 Archive copy of manufacturer submission

Mechanisms: Manufacturer

Controls: Templates

2.9.2 CCD Computer and/or Staff Validates Certification Information: Manufacturers will submit all certification information CCD’s computer system. This information will not necessarily be submitted all at once. Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a

submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a “receipt and error report” that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. CCD staff may perform additional validation checks but in general, the actual document content is not reviewed in this step (see step 2.11.2). Several indicators will be tracked as certain information is submitted to CCD. The CARB Executive Order Indicator must track whether an executive order is required (California-Only Test group/ engine family) and if one is required whether it has been submitted to EPA. The request for certificate indicator will be used for the manufacturer to tell Verify (and the CCD certification representative) that they have submitted a complete application and are now ready for EPA to begin their review and issue a certificate. These indicators will be used to prevent a certificate from being generated via the automatic certification generation process unless all indicators are set to the proper value.

Inputs:	Compiled Certification Information
Outputs:	Receipt and error report
	Validated Certification Information
	Carry-over indicator
	Summary Sheet Pass/Fail Indicator
	Signed Request for Certificate Indicator
	CARB Executive Order Indicator
	Manufacturer Certification Checklist Indicator
	OBD Approval Indicator
	Revised certificate needed indicator?
Mechanisms:	CCD Staff
	CCD Computer
Controls:	Validation Rules

2.9.3 Manufacturer Submits Updates To Certification Information: The manufacturer may need to submit updated certification information prior to a certificate of conformity being issued. The ability to make corrections should be available in the new system. A description of the post-certification change process is included in step 2.12.1. EPA may also request the manufacturer to submit updated information. Any data that needs to be updated must follow applicable update rules. Any documents that are being updated should include a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original document) and should indicate the revision number in the file name. EPA will save all versions of a document in the internal document index system. Most HD/NR certification information will be stored in a database format- not as PDF documents. In order

to change a value of a submitted database field, a manufacturer would only submit the information being changed- not a complete replacement of their entire certification information submission. Alternatively, if a manufacturer is submitting a revised version of a document that is considered to be a supplement to the database information certification application, they should submit a complete replacement of the document (not just those parts of the document being modified).

Inputs: Certification Information (Data, Documents and Metadata)
 Receipt and Error Report
 Outputs: Updated Certification Information (Data, Documents and Metadata)
 Archive copy of manufacturer submission
 Mechanisms: Manufacturer
 Controls: Information Template
 Update Rules

2.10 Manufacturer Submits Application for Certification

Applicability: All industries and manufacturers.

The manufacturer submits a complete application for certification for every test group/engine family prior to being issued a certificate of conformity. For light-duty manufacturers, there is a Part 1 application that must be submitted prior to a certificate being issued and a Part 2 application which is submitted after a certificate is issued. The Part 1 and Part 2 applications are both divided into a CBI and FOIA version (the different versions are indicated by the document file name). The application may also consist of a common section application that applies to multiple test groups and a test group-specific application that only applies to one test group. The application type is again indicated by the document file name. All light-duty certification applications are submitted to EPA in the form of PDF documents. All applications must be stored somewhere so that they are accessible to CCD and OTAQ staff (i.e. on the PMN network or on an Intranet web site). The CBI version of the application must always be considered CBI that is exempt from public disclosure under 5 U.S.C. 552(b)(4). The FOIA version of the application must be treated as confidential until after the release date specified by the manufacturer. The PDF documents will be submitted into and stored by the new system. Manufacturers may submit updated versions of the Part 1 application for certification before, or after a certificate is issued for the corresponding test group. Data updates will be handled by the new system. The Application for Certification is submitted in section 2.9. The application for certification for heavy-duty and nonroad manufacturers is integrated into the certification database. They do not need to submit a separate document unless they have supporting information, charts, diagrams, etc. that are not submitted to the certification database. HD/NR manufacturers will have satisfied this requirement if they have submitted all required

information from step 2.9. They do not necessarily need to submit a separate application for certification document.

2.11 Manufacturer Requests A Certificate of Conformity from Verify

Applicability: All industries and manufacturers.

2.11.0.0 Manufacturer Submits Certificate Generation Request Information to CCD

Computer: A manufacturer will submit a request for a certificate after they have submitted all required certification information. A request for a certificate will identify the test group/ engine family for which a certificate is being requested and answers to EPA-defined questions (the questions currently asked of light-duty manufacturers are: Do all the tested vehicles meet all the applicable emission standards? Is this test group in compliance with all the applicable requirements of 40 CFR Parts 85 and 86? Have you received EPA [and ARB if applicable] approval for the OBD system? Have you received EPA approval for safety of ORVR system? Are the vehicles covered in this application free of defeat devices/strategies? Have you paid the full amount of the applicable certification fees? In the case of California-only certificates, have you received the applicable ARB executive order. Each industry may have its own unique list of questions. EPA may need to change the list of questions at any time. If the answers to the above questions are all affirmative, and if the test group has not been selected by the CCD certification representative to be manually audited and certified, the certificate is issued automatically by the new system. Certain test groups may be selected (either randomly or for some other reason) to be manually audited and certified by the CCD certification representative which will mean that the test group can not complete certification via the automatic certificate generation process. A special conditional certificate may need to be issued if the manufacturer requests a certificate prior to the completion of EPA confirmatory testing. If this is the case, the manufacturer must enter a specified code into the corresponding certification information system (summary sheet) that identifies the certificate as conditional. This will be done using the new system. If a manual audit is being done for a test group or engine family, the CCD certification representative develops a Certification review sheet checklist that describes all audits and reviews performed for this test group. Any HD/NR conditional certificates would be initiated by CCD certification staff- not the manufacturer. There should also be an option of specifying that a certificate should not go through the electronic signature process and should instead be printed out so that the DD could manually sign the certificate. Manufacturers should not complete this step until after they have submitted all required information including any database fields and a complete and accurate certification application.

Inputs: Manufacturer certificate generation request information
Outputs: Archive copy of manufacturer submission
Submitted certificate generation request information
Mechanisms: CCD Computer
CCD Staff
Controls: Validation Rules

2.11.0 CCD Computer and/or Staff Validates Manufacturer Certificate Generation

Request Information (ACGM): Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. Why except any errors if flag requires manufacturer actions. Reject all applications with errors? The manufacturer will receive a “receipt and error report” that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. If no errors are detected, The receipt and error report will also tell a manufacturer whether their certificate generation request qualifies for the automatic certificate process or whether a manual certification review will be required (see step 2.11.1). CCD staff may perform additional validation checks but in general, the actual document content is not reviewed in this step (see step 2.11.2).

Inputs: Submitted manufacturer certificate generation request information
Updated Manufacturer certificate generation request information
Outputs: Receipt and error report with automatic certificate generation status (same report as in 2.11.1)
Validated certificate generation request information
Mechanisms: CCD Computer
CCD Staff
Controls: Validation Rules

2.11.0.1 Manufacturer Submits Updates To Certificate Generation Request Information:

The manufacturer may need to submit updates to the certification generation request information. EPA may also request the manufacturer to submit updated information. Any data that needs to be updated must follow applicable update rules. These updates do not include updates to the actual certification information that supports a certificate of conformity.

Inputs: Receipt and error report with automatic certificate generation status

Outputs: Manufacturer certificate generation request information
 Updated manufacturer certificate generation request information
 Archive copy of manufacturer submission
 Mechanisms: Manufacturer
 Controls: Certificate generation request information template
 Update Rules

2.11.1 CCD's Computer Will Determine If Certificate Qualifies To Be Issued

Automatically (without manual review): The computer will verify that all questions and indicators are set to the required values that would allow a certificate to be automatically generated. If even one of the questions or indicators is set to a negative value, the certificate generation request does not qualify for automatic generation. CCD certification staff will be able to block test groups/engine families from using the automatic certificate generation process. A block may be for an entire industry, manufacturer, test group/engine family, specific technology, emission standard, carry-over status, etc. Any blocks would need to be entered into the system prior to a manufacturer request for a certificate. A designated compliance team member should have the ability of going to a web site and specifying any categories of certificates that should be tagged for manual review. The manufacturer and the CCD certification representative will be notified electronically about the status of their certificate generation request: whether it qualified for automatic generation or whether the generation request was denied and passed on to the certification representative to conduct begin their manual audit. An Automatic generation indicator will be used to trigger the generation of the certificate (put it in the queue to be electronically signed) or to trigger the need for a manual certification review.

Inputs: Validated manufacturer certificate generation request information
 Carry-over indicator (2.9.2)
 Manufacturer certification checklist indicator (2.9.2)
 Confirmatory test completion indicator
 Fee payment indicator (2.3.2)
 Certification application indicator (2.9.2)
 Summary sheet pass/fail indicator (2.9.2)
 CARB executive order indicator (2.9.2)
 Signed request for certificate indicator (2.9.2)
 ORVR approval indicator (2.8.1)
 Certificate audit required indicator (2.4.1)
 OBD approval indicator (2.9.2)
 Void certificate indicator (2.11.8)
 Outputs: CCD certification representative and Manufacturer notification of certification method (automatic or manual)

Automatic certificate generation indicator
 Conditional Certificate indicator
 Mechanisms: CCD computer
 Controls: Manufacturer contact information
 Automatic certificate generation rules

2.11.2 CCD Staff Conducts Manual Certificate Review: The CCD certification representative will be notified by CCD's computer system that a manufacturer has requested a certificate but did not qualify for the automatic certificate generation process. At that time, the certification representative can begin their manual review of the application. As part of a manual audit, the CCD certification representative sometimes determines that there is a need to request additional information from the manufacturer. This information may need to be entered into the certification database, or added to the Part I application for certification, or submitted to EPA as supplemental information. The additional information will be submitted into the new system. The information gathered for each certificate is CBI until the release date given by the manufacturer -- or until after the applicable vehicle models are introduced into commerce. The manual review for heavy-duty and nonroad certificates will include a review of their AECD information (Auxiliary Emission Control Device) which includes: type and location of sensors to directly measure design parameter or operating conditions for which limits may be exceeded; complete description of any parameters sensed; relationship between each parameter sensed and each parameter controlled; and summary of operational conditions expected to activate the AECD. The certification representative will use the manual review indicator to specify when they have completed their manual review. The manufacturer is notified when CCD's review has been completed or if additional information is needed.

Inputs: Automatic generation indicator
 Validated certification information (2.9.2)
 Manufacturer request for certificate
 Certificate Indicators (see inputs into 2.11.1)
 Certification Documents/Information
 Outputs: EPA request for additional information from manufacturer
 Certificate generation indicator
 Review complete indicator
 Manufacturer notification of completed review
 Mechanisms: CCD computer
 CCD staff
 Controls: Certification checklist

2.12 CCD Issues Certificate of Conformity

Applicability: All industries and manufacturers.

2.12.0 CCD Computer and/or Staff Generates Certificate of Conformity: The automatic or manual certificate generation indicators will trigger the computer to generate a certificate (a PDF copy of the unsigned certificate). The computer will need to know which certificate template to use, the rules for the effective date on the certificate, and the rules for issuing revised certificates. The certificate of conformity for a specific test group is issued at the manufacturer's request via the Automatic Certificate Generation system or manually by the CCD certification representative using the certification system. In the cases where a manual audit and certification were conducted, the CCD certification representative prints the first page of the summary sheet which now includes the certificate issuance date and inserts it into the audit package for the corresponding test group. When a certificate is issued, the information in the certification database (summary sheet) is locked so that it cannot be altered without approval of the CCD certification representative. The certificate will be issued by the new system. If a conditional certificate is generated it will contain a statement specifying that it is conditional. In either case, the certificate is printed to the specified certificate printer and the designated CCD administrative staff and the CCD certification representative for that manufacturer are notified that a certificate of conformity has been issued via the new system. As soon as the certificate has been generated it goes into the queue for electronic signature by CCD's division director. An email should be sent to the manufacturer notifying them that the certification representative has issued their certificate and that it is in the queue waiting to be signed by CCD's division director.

Inputs: Automatic certificate generation indicator
 Validated certification information (2.9.2)
 Manual certificate generation indicator
 Conditional certificate indicator
 Review complete indicator

Outputs: Certificate generated indicator
 Unsigned certificate
 Manufacturer notification that certificate is in signature queue?

Mechanisms: CCD computer
 CCD staff

Controls: Certificate template
 Revised certification rules
 Effective date rules

2.12.1 Manufacturer Submits Updates To Certificate Information: The manufacturer may need to update any of the certification information (data and/or documents) after a certificate has been issued (due to a correction/update, running change, FEL change, or EPA request). The information update may or may not trigger the need for a revised certificate to be issued. The computer may automatically determine if a revised certificate is needed or the manufacturer may be asked to provide a Revised Certificate Needed Indicator which would tell CCD that a revised certificate is needed. Some information may not be able to be changed by the manufacturer after a certificate has been issued without the involvement of the CCD certification representative. The certification generated indicator will be used to determine whether a certificate has already been issued or not. Heavy-Duty/Nonroad manufacturers are allowed to submit FEL changes that require a revised certificate of conformity to be issued (old section 2.2 of HD/NR scope document). The system should allow these changes to be made and process them properly.

Inputs: Certification Information
 Running Change
 FEL Change
 CCD request for additional information
 Certificate generated indicator

Outputs: Updated certification information
 Notification to CCD staff that certification information has been updated
 Archive copy of manufacturer submission

Mechanisms: Manufacturer

Controls: Certification Information Template
 Certification Information Update Rules

2.12.2 CCD Division Director Reviews and Electronically Signs Certificate: Each certificate of conformity must be signed and dated by the CCD division director. Certificates can be signed manually or electronically. The electronic copy (PDF?) of the signed certificate must be stored somewhere that is accessible to CCD and OTAQ staff. If the certificate is manually signed, the signed document must be scanned in order to create a web-ready version (PDF?). The signed certificate must be stored somewhere that is accessible to CCD and OTAQ staff. If the CCD director wants to electronically sign the certificates, they will use a web browser to access the queue of all certificates waiting for signature. The director will be able to sign each certificate individually or in a batch. The director will have the ability to view the PDF copy of the unsigned certificate and/or the summary sheet report prior to signing the certificate. The electronic signature process must follow all EPA requirements and protocols.

Several backups must exist who are authorized to sign certificates when the division director is not in the office. After the director has electronically signed a certificate (i.e.- entered their password, checked a box, etc.), a graphic representation of the director's signature and a watermark that indicates the signed certificate is official will be added to the PDF certificate file.

Inputs: Unsigned certificate
Summary sheet information
Outputs: Signed certificate indicator
Signed certificate
Mechanisms: CCD Division Director (or acting director)
Controls: Signature rules

- 2.12.3 CCD Computer Sends PDF Copy of Signed Certificate to Manufacturer, CCD Certification Representative and CARB: An email that contains a PDF copy of the signed certificate will be sent to the manufacturer, the CCD certification representative, and CARB. A copy of the signed certificate will also be placed in the internal document index system where it will be accessible to all CCD employees.

Inputs: Signed certificate
Outputs: Copy of signed certificate
Mechanisms: CCD computer
Controls: Contact lists for Manufacturer, CCD, CARB

- 2.12.4 Manufacturer, CCD Staff or CARB Staff Reviews Signed Certificate: If a typo or inaccuracy is found on a signed certificate, the supporting certificate information may need to be updated and the certificate may have to be re-issued.

Inputs: Signed certificate (2.12.2)
Outputs: Request for update to certificate information
Request for updated certificate
Mechanisms: Manufacturer
CCD Staff
CARB Staff
Controls: Certificate Rules

- 2.12.5 CCD Staff Voids A Signed Certificate: If CCD staff determines that a certificate must be voided, several things must happen: it must be indicated in CCD's certification computer system which certificate is being voided; a "void" copy of the certificate must be generated that will replace the original certificate in the internal and external document index systems; and the manufacturer must be

notified in writing of EPA's justifications for voiding the certificate.

Inputs: Signed certificate (2.12.2)
Validated certificate information (2.9.2)
Reason for void

Outputs: Void certificate indicator
Voided copy of signed certificate
Manufacturer notification of void justification

Mechanisms: CCD staff
CCD computer

Controls: Void criteria
Manufacturer contact information

2.13 Manufacturer May Request Certification Fee Refund

Applicability: All industries and manufacturers.

2.13.0 Manufacturer Submits Fee Refund Request: The manufacturer may request a fee refund from CCD if they determine that they have over-paid. A refund request may be for a full or partial fee payment.

Inputs: Manufacturer fee refund request

Outputs: Submitted fee refund request

Mechanisms: Manufacturer

Controls: Refund request procedures

2.13.1 CCD Staff Approves A Manufacturer Fee Refund Request: After reviewing the manufacturer's refund request, CCD staff will determine if the manufacturer qualifies for a fee refund. The manufacturer is notified of CCD's refund determination. If the refund is approved, CCD staff will request the bank to issue a refund check. The fee refund is logged into CCD's fee database.

Inputs: Submitted manufacturer fee refund request

Outputs: Approved/denied fee refund notification
CCD request to bank for manufacturer fee refund check

Mechanisms: CCD staff

Controls: Fee refund rules

2.14 Manufacturer Submits Running Change Information

Applicability: All industries and manufacturers.

If the manufacturer conducts a running change that requires the locked certification information to be modified, the manufacturer requests their CCD certification representative to unlock the certificate and corresponding information. The new system should provide a way to modify the locked certification information. The manufacturer makes revisions to the data and/or the application for certification and notifies their CCD certification representative when completed via the new system. Some information submitted as part of the running change may be CBI if requested by the manufacturer. If any of the information that is included on the certificate of conformity has been modified (such as the applicable vehicle models or emission standards), CCD must issue a revised certificate of conformity. As soon as the certificate is re-issued by the new system, the certification information is re-locked by the computer system. If no information on the certificate has been modified a revised certificate does not need to be issued, however, the certificate information would still need to be re-locked. If a revised certificate is issued, by the new system, it must be signed and dated following the same process described above in section 2.12 Certificate of Conformity Is Issued (an electronic copy of the signed revised certificate must be stored somewhere accessible to CCD and OTAQ staff and must be emailed to the manufacturer). If an original certificate was conditional, it does not need to be reissued after the EPA confirmatory test results are entered into the certification system. However, the certificate information must be re-locked.

See section 2.12.1 for running change submissions.

2.15 Manufacturer Submits Part II Application for Certification (Light-Duty only)

Applicability: Light-duty manufacturers only.

- 2.15.1 Manufacturer Submits Part 2 Application for Certification and Updates to Part 1 Application (Light-Duty Only): Light-duty manufacturers must submit their certification applications at three different times: the initial Part 1 must be submitted prior to receiving a certificate of conformity; the initial Part 2 and updated Part 1 must be submitted by January 1st of the applicable model year or within 90 days of the effective date on the applicable certificate if the certificate was issued less than 60 days prior to January 1st; the final Part 1 and Part 2 applications must be submitted by January 1st of the subsequent model year. Each part of the application may be split into four parts: a FOIA version of the common section that applies to multiple test groups/engine families; a CBI version of the common section that applies to multiple test groups/engine families; a FOIA version of the test group/engine family specific application; a CBI version of the test group/engine family specific application. All of these applications will be submitted as PDF documents following EPA's prescribed

naming protocol. Each document must be accompanied by a predefined list of metadata that describes the document so that it can be placed in CCD's document index system. Updated versions of a document will have the same file name as the original document except for a revision number. All versions of documents will be saved in the document index system.

Inputs: Common CBI Part 1 certification application
 Common FOIA Part 1 certification application
 CBI Part 1 certification application (for a one TG/EF)
 FOIA Part 1 certification application (for a one TG/EF)
 Common CBI Part 2 certification application
 Common FOIA Part 2 certification application
 CBI Part 2 certification application (for a one TG/EF)
 FOIA Part 2 certification application (for a one TG/EF)
 Updated Part 1 certification application information

Outputs: Submitted common CBI Part 1 certification application
 Submitted common FOIA Part 1 certification application
 Submitted CBI Part 1 certification application (for one TG/EF)
 Submitted FOIA Part 1 certification application (for a one TG/EF)
 Submitted common CBI Part 2 certification application
 Submitted common FOIA Part 2 certification application
 Submitted CBI Part 2 certification application (for a one TG/EF)
 Submitted FOIA Part 2 certification application (for a one TG/EF)
 Archive copy of manufacturer submission

Mechanisms: Manufacturer

Controls: Application submission timing requirements

2.15.3 CCD Computer and/or Staff Validates Part 2 Application for Certification and Updates to Part 1 Application Submitted by Manufacturer (Light-Duty Only): Manufacturers will submit all certification information CCD's computer system. This information will not necessarily be submitted all at once. Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a "receipt and error report" that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. CCD staff may perform additional validation checks but in general,

the actual document content is not reviewed in this step (see step 2.11.2).

Inputs: Submitted common CBI Part 1 certification application
Submitted common FOIA Part 1 certification application
Submitted CBI Part 1 certification application (for one TG/EF)
Submitted FOIA Part 1 certification application (for a one TG/EF)
Submitted common CBI Part 2 certification application
Submitted common FOIA Part 2 certification application
Submitted CBI Part 2 certification application (for a one TG/EF)
Submitted FOIA Part 2 certification application (for a one TG/EF)

Outputs: Validated common CBI Part 1 certification application
Validated common FOIA Part 1 certification application
Validated CBI Part 1 certification application (for one TG/EF)
Validated FOIA Part 1 certification application (for a one TG/EF)
Validated common CBI Part 2 certification application
Validated common FOIA Part 2 certification application
Validated CBI Part 2 certification application (for a one TG/EF)
Validated FOIA Part 2 certification application (for a one TG/EF)

Mechanisms: CCD Computer
CCD Staff

Controls: Validation Rules

2.15.4 Manufacturer Submits Updates To Part 1 and Part 2 Application for Certification (Light-Duty Only): The manufacturer may need to submit updated versions of any or all of their certification application documents they have submitted to EPA. EPA may also request the manufacturer to submit updated information. Any documents that are being updated should include a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original document) and should indicate the revision number in the file name (the file name should be the same as the original file name except for the version number). EPA will save all versions of a document in the internal document index system. Any data that needs to be updated must follow applicable update rules.

Inputs: EPA request for manufacturer to update their Part1/Part2 certification application
Part1/Part 2 certification application information receipt/error report

Outputs: Updated Part1/Part2 certification application information
Archive copy of manufacturer submission

Mechanisms: Manufacturer
Controls: Information Template
Modification Rules

2.15.2 CCD Staff Reviews Part 2 Application for Certification and Updates to Part 1 Application Submitted by Manufacturer (Light-Duty Only): CCD staff may review any or all of the submitted manufacturer certification applications (before or after a certificate has been issued).

Inputs: Validated common CBI Part 1 certification application
Validated common FOIA Part 1 certification application
Validated CBI Part 1 certification application (for one TG/EF)
Validated FOIA Part 1 certification application (for a one TG/EF)
Validated common CBI Part 2 certification application
Validated common FOIA Part 2 certification application
Validated CBI Part 2 certification application (for a one TG/EF)
Validated FOIA Part 2 certification application (for a one TG/EF)

Outputs: EPA request for manufacturer to update their Part1/Part2 certification application

Mechanisms: CCD Staff

Controls: Certification application review checklist

2.16 Manufacturer Submits Final Application for Certification (light-duty only)

Applicability: Light-duty manufacturers only.

2.16.1 Manufacturer Submits Final Part 1 and Part 2 Application for Certification (Light-Duty Only): The final Part 1 and Part 2 applications must be submitted by January 1st of the subsequent model year. The manufacturer submits a final, end-of-year certification application for each certified test group using the new system (both FOIA and CBI versions). This final application contains all of the Part 1 and Part 2 information as well as some additional information that is required for the first time. Each part of the application may be split into four parts: a FOIA version of the common section that applies to multiple test groups/engine families; a CBI version of the common section that applies to multiple test groups/engine families; a FOIA version of the test group/engine family specific application; a CBI version of the test group/engine family specific application. All of these applications will be submitted as PDF documents following EPA's prescribed naming protocol. Each document must be accompanied by a predefined list of metadata that describes the document so that it can be placed in CCD's document index system. All applications must be

stored somewhere so that they are accessible to CCD and OTAQ staff. The CBI version of the application must always be considered CBI that is exempt from public disclosure under 5 U.S.C. 552(b)(4). Updated versions of a document will have the same file name as the original document except for a revision number. All versions of documents will be saved in the document index system.

Inputs: Common CBI Part 1 certification application
Common FOIA Part 1 certification application
CBI Part 1 certification application (for a one TG/EF)
FOIA Part 1 certification application (for a one TG/EF)
Common CBI Part 2 certification application
Common FOIA Part 2 certification application
CBI Part 2 certification application (for a one TG/EF)
FOIA Part 2 certification application (for a one TG/EF)
Updated Part 1 certification application information

Outputs: Submitted common CBI Part 1 certification application
Submitted common FOIA Part 1 certification application
Submitted CBI Part 1 certification application (for one TG/EF)
Submitted FOIA Part 1 certification application (for a one TG/EF)
Submitted common CBI Part 2 certification application
Submitted common FOIA Part 2 certification application
Submitted CBI Part 2 certification application (for a one TG/EF)
Submitted FOIA Part 2 certification application (for a one TG/EF)
Archive copy of manufacturer submission

Mechanisms: Manufacturer

Controls: Application submission timing requirements

2.16.3 CCD Computer and/or Staff Validates Final Part 1 and Part 2 Application for Certification Submitted by Manufacturer (Light-Duty Only): Manufacturers will submit all certification information CCD's computer system. This information will not necessarily be submitted all at once. Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a "receipt and error report" that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. CCD staff may perform additional validation checks but in general, the actual document content

is not reviewed in this step (see step 2.11.2).

Inputs: Compiled common CBI Part 1 certification application
 Submitted common FOIA Part 1 certification application
 Submitted CBI Part 1 certification application (for one TG/EF)
 Submitted FOIA Part 1 certification application (for a one
 TG/EF)
 Submitted common CBI Part 2 certification application
 Submitted common FOIA Part 2 certification application
 Submitted CBI Part 2 certification application (for a one TG/EF)
 Submitted FOIA Part 2 certification application (for a one
 TG/EF)

Outputs: Validated common CBI Part 1 certification application
 Validated common FOIA Part 1 certification application
 Validated CBI Part 1 certification application (for one TG/EF)
 Validated FOIA Part 1 certification application (for a one TG/EF)
 Validated common CBI Part 2 certification application
 Validated common FOIA Part 2 certification application
 Validated CBI Part 2 certification application (for a one TG/EF)
 Validated FOIA Part 2 certification application (for a one TG/EF)

Mechanisms: CCD Computer
 CCD Staff

Controls: Validation Rules

2.16.2 CCD Staff Reviews Final Part 1 and Part 2 Application for Certification (Light-Duty Only): CCD staff may review any or all of the submitted manufacturer certification applications (before or after a certificate has been issued).

Inputs: Validated common CBI Part 1 certification application
 Validated common FOIA Part 1 certification application
 Validated CBI Part 1 certification application (for one TG/EF)
 Validated FOIA Part 1 certification application (for a one TG/EF)
 Validated common CBI Part 2 certification application
 Validated common FOIA Part 2 certification application
 Validated CBI Part 2 certification application (for a one TG/EF)
 Validated FOIA Part 2 certification application (for a one TG/EF)

Outputs: EPA request for manufacturer to update their Part1/Part2
 certification application

Mechanisms: CCD Staff

Controls: Certification application review checklist

2.16.4 Manufacturer Submits Updates To Final Part 1 and Part 2 Application for Certification (Light-Duty Only): The manufacturer may need to submit updated versions of any or all of their certification application documents they have submitted to EPA. EPA may also request the manufacturer to submit updated information. Any documents that are being updated should include a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original document) and should indicate the revision number in the file name (the file name should be the same as the original file name except for the version number). EPA will save all versions of a document in the internal document index system. Any data that needs to be updated must follow applicable update rules.

Inputs: EPA request for manufacturer to update their Part1/Part2 certification application
Part1/Part 2 certification application information receipt/error report

Outputs: Updated Part1/Part2 certification application information
Archive copy of manufacturer submission

Mechanisms: Manufacturer

Controls: Information Template
Modification Rules

2.17 Manufacturer Submits Averaging, Banking, And Trading Report

Applicability: Select industries as required by the regulations.

Any averaging, banking, and trading information will be collected in the form of documents (i.e.- word processor, spreadsheet, or PDF) using CCD's internal document index system. The initial phases of the new Verify system will not include any analytical support beyond collection of required documentation. Additional IT support of ABT compliance may be included in a later phase of the Verify project.

Light-Duty: Each manufacturer must submit, using the new system, an end-of-year report that complies with all averaging, banking, and trading requirements. CCD enters averaging, banking, and trading data into a spreadsheet file. CCD verifies that the manufacturer is in compliance with the averaging, banking, and trading regulations.

Heavy-Duty/Nonroad: (section 2.1, 2.3 and 2.4 of HD/NR scope document) As part of the certification process the manufacturer indicates that a particular engine family will meet Family Emission Limits (FEL) rather than a standard. The application must include a canned statement about meeting AB&T. Within 30 days of the end of the model year production, the manufacturer

submits an AB&T report, which includes engine families, FELs, credits, etc. The system should provide an electronic means for the manufacturer to submit this report. The manufacturer has 270 days from the end of the model year to submit a final report which will need to be submitted and stored electronically.

2.18 Manufacturer Submits EOY Phase-in Report

Applicability: Select industries as required by the regulations.

Each manufacturer must submit an end-of-year report, using the new system, which complies with all phase-in requirements for all applicable new regulations. CCD verifies that the manufacturer is in compliance with phase-in regulations.

Any end-of-year phase-in information will be collected in the form of documents (i.e.- word processor, spreadsheet, or PDF) using CCD's internal document index system. The initial phases of the new Verify system will not include any analytical support beyond collection of required documentation. Additional IT support of phase-in compliance may be included in a later phase of the Verify project.

2.19 CCD Posts Certificates, Summary Sheets, And Applications On The Web

Applicability: Select, non-CBI compliance documents and data.

2.19.1 CCD Staff and/or Public Queries CCD Computer For Desired Compliance

Information: Queries will be able to be performed on all the compliance information submitted by the manufacturers. Confidential information will only be made available to EPA staff; non-confidential information will be made available to EPA staff and the public. Some information is always confidential while other information is only confidential until after a public release date that is provided by the manufacturer. A subset of the compliance data will be placed on OTAQ's public web site where it can be downloaded. Queries on the full set of compliance data will be performed by CCD staff or a contractor. One example of a report that is generated each year is the annual certification results report that provides the public with a summary of all the test results that are used as the basis for certificates of conformity issued by EPA each year. Electronic copies of all non-confidential certificates, summary sheets and certification applications will also be placed on OTAQ's public internet site via OTAQ's document index system.

Inputs: Search criteria
 User access level

Outputs: Release Date
List of certified models (i.e.- Tier 2)
CAFE reports
Green Vehicle Guide data
Certified test results data
Other ad hoc data requests

Mechanisms: CCD/OTAQ staff
Public

Controls: Information release rules

2.19.2 CCD Staff Posts Selected Compliance Information on Public Web Site: Some non-confidential compliance documents and data files will be posted on OTAQ's public Web site (i.e.- signed certificates, certification applications). Confidential documents will be made available only to EPA staff via an internal document index system. Some information is always confidential while other information is only confidential until after a public release date that is provided by the manufacturer.

Inputs: Copies of signed certificates
Summary Sheet reports
Certification applications
Validated Certification Information
CARB Executive Orders?

Outputs: Documents posted on the OTAQ public Web site
Data files posted on the OTAQ public Web site

Mechanisms: CCD Staff

Controls: Web posting process

2.20 Manufacturer Conducts In-Use Verification Testing

Applicability: Select industries as required by the regulations (currently light-duty with new requirements soon for heavy-duty highway gas and diesel industries).

If EPA determines that a manufacturer's approved durability process does not accurately predict emission levels or compliance with applicable emission standards (for example, if the in-use test results exceed the emission standards), CCD can withdraw its approval of that durability process (this approval process is described in section 2.1 CCD Approves Manufacturer's Durability Processes of this document). If this happens, the manufacturer would then have to evaluate and possibly modify their durability process in order to get EPA approval of the new durability process. The in-use process is explained in detail in section 4 In-Use of this document.

2.21 CCD Compiles Data For EPA Headquarters Press Release

Applicability: Select light-duty emissions and fuel economy data.

CCD compiles a list of the best and worst models based on emission performance for each vehicle class as well as overall.

Security: All ranking lists are confidential until EPA's press release is issued.

2.21.1 CCD Staff Compiles List of Best And Worst Models Based On Emission

Performance: Every year, EPA issues a press release that provides the public with the best and worst vehicles based on emissions and fuel economy performance. The list is compiled manually using validated compliance information because the criteria of how to group and order vehicle models changes from year to year. Only non-confidential data may be included in these lists.

Inputs: Validated certification information
List of vehicle classes
Outputs: Compiled data for EPA press release
Mechanisms: CCD staff
Controls: Press release format

2.22 CCD Compiles Annual Certification Test Results Report

Applicability: All industries as required by the CAA.

The Clean Air Act required CCD to publish the Annual Certification Test Results Report. The certification database is queried a few times a year to generate a list of certified emissions data. The data is then FTP'd to the OTAQ Web site. The new system will incorporate these queries.

See section 2.19.

2.23 Data Security Requirements

Applicability: All industries and manufacturers.

All information submitted by the manufacturer is confidential (CBI) until after the release date that is provided by the manufacturer. Some information will always remain CBI.

2.24 Compliance Document Collection and Management

Applicability: All documents collected as part of the compliance process for all industries.

2.24.0 Manufacturer Submits Documents And Document Metadata to CCD: As part of CCD's compliance programs, CCD needs an electronic document filing system for documents received from external sources such as manufacturers and CARB as well as documents generated by CCD. There are two categories of documents that need to be managed: confidential and public. Therefore there will be two separate document index systems- an internal one and an external one. All compliance documents (confidential and non-confidential) will be submitted to and permanently stored in CCD's internal document index system (for purposes of this document only will be referred to as the iDIS). The iDIS will only be available to EPA (and probably CARB since manufacturers no longer want to submit compliance documents to both EPA and CARB). The external document index system (for purposes of this document only will be referred to as the eDIS) will be made available to the public on OTAQ's public Web site. Most documents that are collected or generated as part of the compliance process are confidential and will only be stored in the iDIS. Some documents however, such as signed certificates of conformity, non-confidential portions of manufacturer applications for certification will eventually be releasable to the public. These documents will be copied from the iDIS to the eDIS so that they will be available to the public. Manufacturers, other external parties, and EPA employees should all be able to submit documents to the iDIS. Each document must be accompanied by a predefined list of metadata that describes the document (i.e.- title, abstract, key words, file name, etc.). There will be two options for external parties submitting documents and corresponding metadata to the iDIS: web-interactive screens or batch files. The web-interactive screen will prompt the submitter to enter or select a value for each metadata field. The batch file option will allow a submitter to create and submit a file that contains all the metadata information in a specific, predefined format. Most likely this batch file will be generated by querying a separate database. The document submitter (ID of whomever logged into the system to submit the document) and submission date should be automatically assigned and stored with the metadata.

Inputs:	All compliance documents submitted by manufacturers Document metadata
Outputs:	Submitted compliance documents Submitted document metadata Archive copy of manufacturer submission
Mechanisms:	Metadata template Document Rules
Controls:	Manufacturer

2.24.1 CCD's Computer Validates The Submitted Document and Document Metadata:

Manufacturers will submit all compliance documents and each document's associated metadata to CCD's computer system. This information will not necessarily be submitted all at once. Validation rules will be used to determine whether the information submitted by the manufacturer is complete and accurate. This initial validation done by the computer will check to make sure that no required fields have been left blank and that the values of certain critical fields are of a valid type or length. Some errors will result in a submission being rejected while others will allow the submission to be processed but with an error flag. The manufacturer will receive a "receipt and error report" that confirms that CCD received their submission and that specifies any corrections and/or updates the manufacturer must make. CCD staff may perform additional validation checks but in general, the actual document content is not reviewed in this step (see step 2.11.2).

Inputs: Submitted compliance documents
Submitted document metadata
Outputs: Validated compliance documents
Validated document metadata
Receipt and Error Report
Mechanisms: Validation Rules
Controls: CCD Computer

2.24.2 Manufacturer Submits Updates To A Submitted Document and/or Document Metadata:

The manufacturer may need to submit updated versions of any or all of their compliance documents they have submitted to EPA. EPA may also request the manufacturer to submit updated information. Any documents that are being updated should include a complete replacement of the original document (the revised document should contain all the unchanged and revised information from the original document) and should indicate the revision number in the file name (the file name should be the same as the original file name except for the version number). EPA will save all versions of a document in the internal document index system. Any document metadata that needs to be updated must follow applicable update rules. There will be specific rules for version control, document naming conventions, etc. based on the type of document being submitted and the document submitter. For example, if a manufacturer has submitted a document and later needs to submit an updated version of that document, both the original and updated versions must be retained in the iDIS. The file name should be the same except for a unique version control number (i.e.- "filename1-1.pdf"). If EPA is submitting an updated document to the iDIS, it may need to replace a previous document version or it may be assigned a subsequent version number. A comment field

should be filled out by the document submitter that explains what changes have been made to this version of the document.

Inputs: Document
 Document metadata
 Receipt and error report
 Request to update document or document metadata
 Outputs: Updated compliance documents
 Updated document metadata
 Archive copy of manufacturer submission
 Mechanisms: Metadata template
 Document Rules
 Controls: Manufacturer

2.24.3 CCD Staff Reviews Document and/or Document Metadata: The iDIS and the eDIS will both have their own web-based search interface to allow users to search for documents. The values entered for the search criteria will be used to search through the metadata to identify all documents that met the specified search criteria. The iDIS search interface should only be made available to EPA employees (and CARB) on an internal-EPA server and should only search for documents saved in the iDIS document storage location. The eDIS search interface should be available to the general public via OTAQ's public web site (www.epa.gov/OTAQ) and should only search for documents saved in the eDIS document storage location. The two search interfaces may have different search criteria or functionality. The search results pages for both the internal and external systems should follow a similar display format. There may be some additional reports in addition to the basic search results that are needed by EPA employees in the iDIS. A release date should be stored for all documents in the iDIS that would not allow a document to be copied to the eDIS until after the release date. Another field in the iDIS metadata should indicate whether a document will always be confidential and should therefore never be copied to the eDIS. The document files and metadata for the iDIS and eDIS should be saved in separate locations to ensure high-level security protection for confidential documents. A lot of the internal documents collected from the manufacturers (and possibly amended by CCD employees) will not ever be eligible for public release.

Inputs: Validated compliance documents
 Validated document metadata
 Manufacturer ready-for-document-review indicator
 Outputs: EPA approval notification
 Document and document metadata review indicator

EPA request to update document or document metadata
Mechanisms: Metadata template
Document Rules
Controls: CCD Staff

2.24.4 Manufacturer Compliance Documents will be stored in CCD's internal Document Index System (iDIS): All compliance-related documents will be submitted electronically to EPA via an internal document index system where they will be stored. Documents in the iDIS will be accessible to CCD and CARB compliance staff. Only EPA employees will be able to submit documents and metadata to the public eDIS. There will be three options for doing this: web-interactive screens, batch or by selecting a document(s) from the iDIS to be copied to the eDIS. The document submitter (ID of whomever logged into the system to submit the document) and submission date should be automatically assigned and stored with the metadata.

Inputs: Validated compliance documents
Validated document metadata
EPA approval notification
Outputs: Stored compliance documents
Stored document metadata
Mechanisms: Metadata template
Document Rules
Controls: CCD Computer