



Engines and Vehicles – Compliance Information System (EV-CIS)

Addition of Submission Management Features to Certification Modules

Informational Meeting

August 14, 2024 *(updated October 18, 2024)*

October 2024 Presentation Updates

Highlighting has been added to the following slides to note changes to this presentation:

- Slides 6, 13, 16, 19, and 27 received minor text changes and deletions
- Slides 7, 15, and 17 were struck out, since their content is not currently applicable
- Slide 14 was updated with a new Submission Status option
- Slide 21 was added to show the new process for downloading datasets
- Slide 31 was added to list known limitations with this deployment planned to be addressed in a future release

Agenda

- What's Happening
- Locomotive Update Overview
- Features and Screenshots
- Deployment Information
- Contact Information and Resources
- Questions

What's Happening?

- The Submission Management feature first introduced with the Production Volume Reporting Module is being added to the Locomotive Engines, Idle Control Systems, and Non-OEM Components (or just “Locomotive”) Certification Module, as a first step toward expanding these changes across all certification modules

Note: This presentation does not cover all aspects of the Locomotive certification module, just the changes planned for this upcoming release.

Locomotive Update Overview

- This new update is part of EPA's ongoing effort to improve and streamline the process of data reporting
- The goals of this update are to—
 - Reduce reporting burden on the regulated community
 - Streamline the certification data management process
 - Improve data availability
 - Improve data integrity through enhanced data validation and the leveraging of existing data to prevent the submission of duplicate data

Locomotive Update Feature Highlights

- Submission Management

- Users can see what has been submitted by any user within their company and the status of those submissions
- Users can create new reports, revise existing ones, and save and delete in-progress changes all with a couple of clicks
- Users can easily ~~copy or~~ download existing reports, including deleted ones (*new to Locomotive submission management!*)
- Locking protects data while it is being worked on

- Real-time Validation

- No tracking down submission processing reports to determine whether any business rules prevented your submission
- Information on triggered business rules can be preserved when leaving and returning to a submission, saving time by avoiding redundant validation

Locomotive Update Feature Highlights

- **Status Information**

- Easily view the certification status associated with any submitted dataset

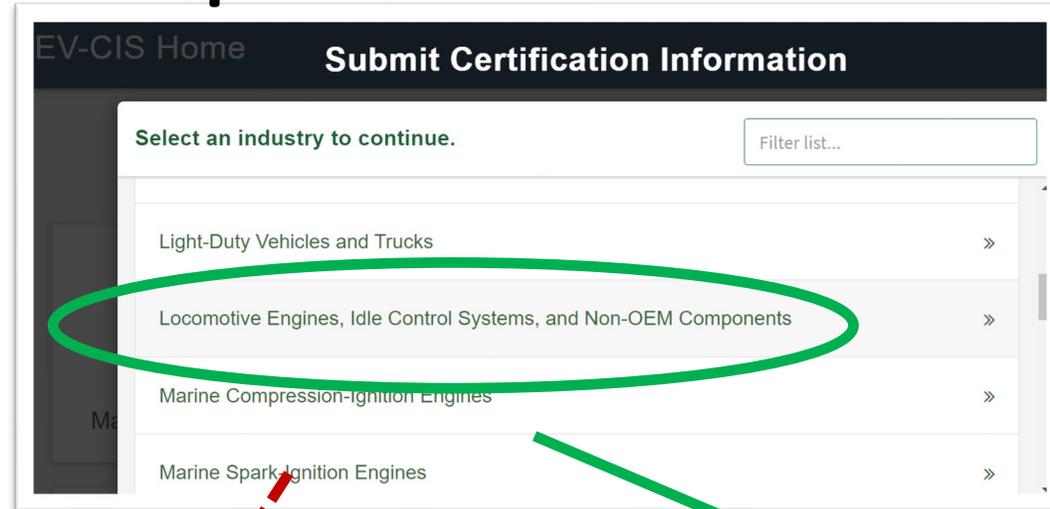
- **Batch Submission**

- Batch submission is being returned to the Locomotive module after previously being unavailable, and will now be an option in submission management

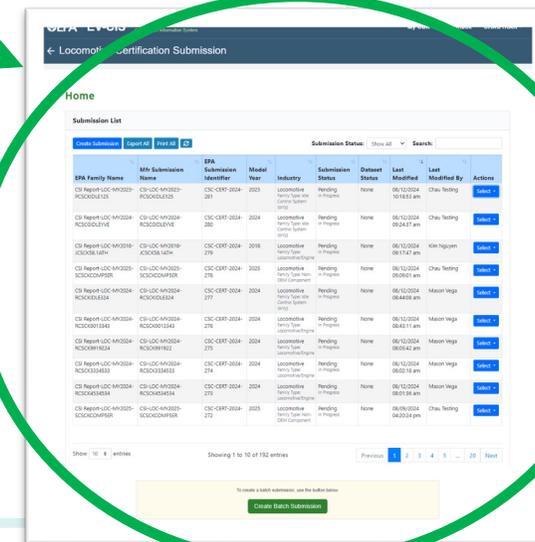
Locomotive Update Overview

No navigation changes to point of entry for users to access Locomotive module

Users will no longer be directed to a selection page showing options for different family types



Users directed to new submission management home screen, able to display and manage submissions for all family types



Features and Screenshots

Note: This demo will focus on the Locomotive changes due in our next major release, but similar changes are planned for all certification modules in the future

MyCDX*

*Screen may vary across users

Access EV-CIS using the “Submitter” role in order to have the ability to edit Locomotive submissions. The CAO and CROMERR Signer roles will only provide the ability to view submission.

The screenshot displays the MyCDX Central Data Exchange interface. At the top, there is a navigation bar with buttons for MyCDX, Inbox, My Profile, Role Sponsorship, Submission History, and Payments. Below this is a 'Services' section with a 'Manage' icon. A table lists three services, all for 'EV-CIS: Engines and Vehicles - Compliance Information System'. The roles listed are 'Company Approving Official (CAO)', 'CROMERR Signer', and 'Submitter'. The 'Submitter' role is highlighted with a red circle.

Status	Program Service Name	Role
	EV-CIS: Engines and Vehicles - Compliance Information System	Company Approving Official (CAO)
	EV-CIS: Engines and Vehicles - Compliance Information System	CROMERR Signer
	EV-CIS: Engines and Vehicles - Compliance Information System	Submitter

EV-CIS Home*

*Screen may vary across industries and user EV-CIS roles

Click the [“Submit Certification Information”](#) button on EV-CIS Home. Then, select “Locomotive Engines, Idle Control Systems, and Non-OEM Components” to access the Locomotive Certification submission management home page.

The screenshot shows the EV-CIS Home interface. At the top, there is a navigation bar with the EPA logo, the text 'EV-CIS Engines and Vehicles - Compliance Information System', and user options 'My CDX' and 'CDX Inbox'. Below this is a dark blue header with 'EV-CIS Home'. The main content area is titled 'What would you like to do?' and contains six white cards with green icons and text:

- Maintain Manufacturer Information
- Submit Certification Information (highlighted with a red circle)
- Request Certificate or CSI Update
- Submit Fuel Economy Label Information
- Submit Compliance Information
- Update Introduction to Commerce Date

Locomotive Submission Management- Home

Click the “[Create Submission](#)” button to create a new submission for any family type – Locomotive Engines, Idle Control Systems, or Non-OEM Components.

On existing submissions, the family type can be seen in the Industry column as subtext and the family name is included in the EPA Submission Name.

Submission List

[Create Submission](#) [Export All](#) [Print All](#) [Refresh](#)

Submission Status: Show All

EPA Submission Name	Mfr Submission Name	EPA Submission Identifier	Model Year	Industry	Submission Status	Last Modified	Last Modified By	Actions
CSI-LOC-MY2024-REPAKCOMPCC5	CSI-LOC-MY2024-REPAKCOMPCC5	EPA-CERT-2024-0000195	2024	Locomotive Family Type: Non-OEM Component	Submitted	10/10/2024 12:33:02 pm	Christi Thelen	Select
CSI-LOC-MY2024-REPAK58.1JM1	CSI-LOC-MY2024-REPAK0003JM4	EPA-CERT-2024-0000196	2024	Locomotive Family Type: Locomotive/Engine	Pending Rejected	10/10/2024 12:23:53 pm	Jordan McShan	Select
CSI-LOC-MY2024-REPAK58.1JMS	CSI-LOC-MY2024-REPAK58.1JMS	EPA-CERT-2024-0000118	2024	Locomotive Family Type: Locomotive/Engine	Submitted	10/10/2024 12:23:39 pm	Jordan McShan	Select
CSI-LOC-MY2024-REPAK0001JMZ	CSI-LOC-MY2024-REPAK0001JMZ	EPA-CERT-2024-0000160	2024	Locomotive Family Type: Locomotive/Engine	Submitted	10/10/2024 12:19:00 pm	Jordan McShan	Select
CSI-LOC-MY2024-RCCKIDLEJM4	CSI-LOC-MY2024-RCCKIDLEJM4	CSC-CERT-2024-0000045	2024	Locomotive Family Type: Idle Control System	Submitted	10/10/2024 12:16:54 pm	Jordan McShan	Select

Show 10 entries Showing 11 to 20 of 202 entries [Previous](#) 1 2 3 4 5 ... 21 [Next](#)

[Upload Locomotive Certification Documents](#)

When entering submission management for Locomotive, all reports of that industry by any user for the Manufacturer Code will be displayed. Type additional text in the [Search box](#) to filter which reports to display.

The page accessed through “[Create Submission](#)” also provides the option to upload a saved XML dataset.

Locomotive Submission Management- Home

Note: The year included in the [EPA Submission Identifier](#) is the calendar year the report was first created and not the model year of the report.

This submission management list will be pre-populated with all active submitted datasets from before the introduction of this feature.

Submission List

Create Submission Export All Print All

Submission Status: Show All Search:

EPA Submission Name	Mfr Submission Name	EPA Submission Identifier	Model Year	Industry	Submission Status	Last Modified	Last Modified By	Actions
CSI-LOC-MY2024-REPAKCOMPCC5	CSI-LOC-MY2024-REPAKCOMPCC5	EPA-CERT-2024-0000195	2024	Locomotive Family Type: Non-OEM Component	Submitted	10/10/2024 12:33:02 pm	Christi Thelen	Select
CSI-LOC-MY2024-REPAK58.1JM1	CSI-LOC-MY2024-REPAK0003JM4	EPA-CERT-2024-0000196	2024	Locomotive Family Type: Locomotive/Engine	Pending Rejected	10/10/2024 12:23:53 pm	Jordan McShan	Select
CSI-LOC-MY2024-REPAK58.1JMS	CSI-LOC-MY2024-REPAK58.1JMS	EPA-CERT-2024-0000118	2024	Locomotive Family Type: Locomotive/Engine	Submitted	10/10/2024 12:23:39 pm	Jordan McShan	Select
CSI-LOC-MY2024-REPAK0001JMZ	CSI-LOC-MY2024-REPAK0001JMZ	EPA-CERT-2024-0000160	2024	Locomotive Family Type: Locomotive/Engine	Submitted	10/10/2024 12:19:00 pm	Jordan McShan	Select
CSI-LOC-MY2024-RCSCKIDLEJM4	CSI-LOC-MY2024-RCSCKIDLEJM4	CSC-CERT-2024-0000045	2024	Locomotive Family Type: Idle Control System	Submitted	10/10/2024 12:16:54 pm	Jordan McShan	Select

Show 10 entries Showing 11 to 20 of 202 entries Previous 1 2 3 4 5 ... 21 Next

Upload Locomotive Certification Documents

Click [“Batch Submission”](#) to upload multiple XML datasets for submission at the same time.

Click the [“Select”](#) button and then select an action from the dropdown. Depending on the submission status and dataset status, actions may include [“Copy”](#), [“Download”](#), [“Edit”](#), [“Revise”](#), [“History”](#), [“Delete”](#), or [“View”](#). These are explained on later slides.

Understanding Statuses

- Submission Status relates to whether the report has been submitted to EPA

Submission Status	Description
Pending (In Progress)	The dataset has not been submitted to EPA yet
Pending (Validating)	The dataset is being checked against business rules and will progress to Processing status if no business rule violations are found
Pending (Rejected)	The dataset encountered business rules while validating, and could not be submitted
Processing	The dataset passed validation and is being sent to EPA
Submitted	The dataset has been submitted to EPA
Submitted (Deleted)	The dataset was deleted after being submitted to EPA
Superseded	The dataset has had a revision submitted, meaning this version is no longer active

Understanding Statuses

- Dataset Status will be used to determine which actions are allowed for a given submission. A pending status does not restrict any actions, a certified status means deletion is not possible, and any other non-null dataset status means that neither deletion nor revision is possible.

Dataset Status	Description
Pending	The dataset has been submitted to EPA but no Request for Certificate has been submitted
Certified	The family associated with this dataset has been certified by EPA
Deleted	The dataset was deleted after being submitted to EPA
Expired	This revised dataset for a certified family expired since no RFC/RUC was submitted for it
Locked — Request Pending	The family associated with this dataset has been used in a Request for Certificate, and is locked while the request is being processed by EPA
Inactive	The dataset had a revision submitted, and the associated family was not certified at the time of that revision
Superseded	The dataset had a revision submitted, and the associated family was certified at the time of that revision
Revoked	The certificate associated with this dataset has been revoked
Suspended	The certificate associated with this dataset has been suspended
Void	The certificate associated with this dataset is void

Submission Management- Actions

- The Submission Management Home screen shows all “Pending” (not yet submitted to EPA), “Processing” (in the process of being submitted to EPA), and “Submitted” submissions for all model years that were created by any users for your Manufacturer Code
- Any user can view, edit, revise, or delete any submission regardless of who initially created it, with a few exceptions
 - Cannot edit or delete a submission if another user is currently doing so
 - Ability to edit, revise, or delete a submission may be restricted by its Submission Status and Dataset Status (even though this field is not yet visible)
- The list will initially include all Locomotive Engines, Idle Control Systems, and Non-OEM Components submissions, but can be further filtered to only display reports of interest

Submission Management- Copy and Download

- The “Copy” option in the “Actions” column will create a new report sharing the same data
 - When selecting “Copy”, the user will be required to change the Engine Family metadata field to make the new report distinct from the original
 - The new copy cannot be used to make changes to the dataset being copied from
 - The new copy will have a Pending status and can be fully edited
- The “Download” option in the “Actions” column will download an XML version of the dataset to the user’s system, just as “Request Dataset” currently works

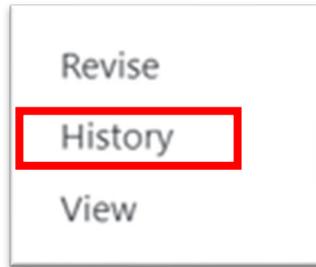
Submission Management- Edit and Revise

- Pending reports can continue to be updated using the “Edit” option in the “Actions” column until they have been submitted
- Once a report has been submitted, the “Edit” option is unavailable in the “Actions” column and instead it can be updated using the “Revise” option
 - When “Revise” is selected, a new Pending copy of the Submitted report is created. This means that two versions of the report will then be visible in the Submission List—one Pending and one Submitted—with the same EPA Submission Identifier. When submitted, that Pending copy supersedes the previously submitted one, removing that previously submitted one from the list. All previous versions will still be visible in the History.

Submission Management- Delete

- The “Delete” action in submission management performs different functions depending on the submission status of the associated report, and in either case, a warning box will appear explaining the action and asking for confirmation to continue
 - A Pending report that is deleted will be irrecoverably removed from the system and will no longer be accessible in submission management
 - A Submitted report that is deleted will have its status changed to Deleted, but it will remain visible in the Submission Management display and can still be **copied,** downloaded and viewed

Submission Management- History



Click “[History](#)” in the Actions dropdown menu on the main Submission List screen to see information about previous versions of the submission. (i.e., all submissions with the same EPA Submission Identifier”).

The screenshot provided here shows the History page from another module.

Home

Submission History

Submission Status: Show All Search:

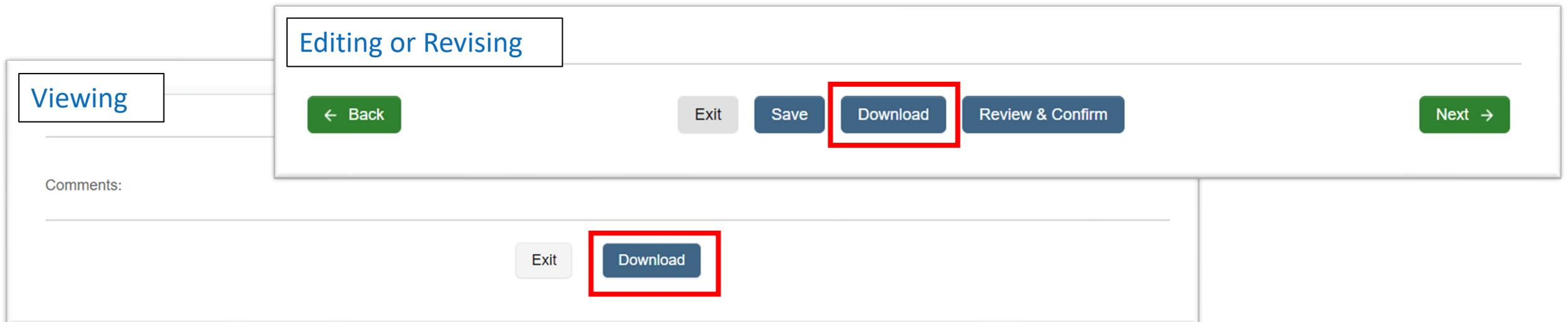
Mfr Submission Name	EPA Submission Identifier	Model Year	Submission Status	Submission Date	Submitted By	Actions
PWRT-MY2024-REPA5PWRTABC-JM6	EPA-PWRT-2023-0000025	2024	Pending In Progress	11/07/2023 08:51:41 am	Jordan McShan	Select
PWRT-MY2024-REPA5PWRTABC-JM6	EPA-PWRT-2023-0000025	2024	Submitted	11/07/2023 08:51:01 am	Jordan McShan	Select
PWRT-MY2024-REPA5PWRTABC-JM6	EPA-PWRT-2023-0000025	2024	Superseded	11/07/2023 08:44:22 am	Jordan McShan	Select
PWRT-MY2024-REPA5PWRTABC-JM6	EPA-PWRT-2023-0000025	2024	Superseded	11/01/2023 01:30:45 pm	Jordan McShan	Select

Show 10 entries Showing 1 to 4 of 4 entries Previous 1 Next

Close

Downloading submissions

- The “Download” action will be available while viewing, editing, or revising a submission, instead of in the Actions dropdown on the Submission Management home page. If editing or revising, the option is only available after leaving the Setup screen.



Submission Management- Report Setup

Enter the required metadata for the submission. This includes the Family Type, Engine Family, and Model Year. These fields will be locked after leaving the page for the first time.

Enter a unique [Manufacturer Submission Name](#) for this report or press the “[Use Default Submission Name](#)” button to generate a name from the unique identifying information provided above.

← Locomotive/Engine Certification Information

Home Setup

Setup Red asterisk denotes required field. *

Manufacturer Code: CSC Manufacturer Name: Chill Street Crew

Industry: * Family Type: *

Locomotive Engines, Idle Control Systems, and Non-OEM Components E = Locomotive Engine Family

Engine Family: * Model Year: *

PCSCK58.1YES 2023

Manufacturer Submission Name: * Use Default Submission Name Manufacturer Submission ID:

CSI-LOC-MY2023-PCSCK58.1YES PCSCK58.1YES-A0100

Comments (3933 characters available):

Submitting new certification dataset for engine family PCSCK58.1YES

Upload Existing Dataset Warning: Uploading an existing dataset will replace any data you have entered on this screen.

Exit Next →

Business rules will warn users if the same Manufacturer Submission Name already exists for a different report of the same manufacturer code.

Once all the necessary information has been entered, select Next to save this as a pending report and go to the details screen where the rest of the data can be provided.

Submission Management- Report Setup

Select the “Upload an Existing Dataset” button to upload an XML file of an existing dataset. Once the data from the file is imported, the form will be automatically filled with the corresponding data.

If this feature is used when first creating a new dataset, all data will be imported but can continue to be edited, both on the Setup page and the following Details page. If this feature is used when returning to the Setup page after it has been previously filled out (e.g., when editing/revising an existing submission), then the Family Type of the uploaded file must match the previously-entered value in the form and the locked metadata fields cannot be changed by the uploaded data.

Industry: *
Locomotive Engines, Idle Control Systems, and Non-OEM Components

Family Type: *
E = Locomotive Engine Family

Engine Family: *
PCSCK58.1YES

Model Year: *
2023

Manufacturer Submission Name: *
CSI-LOC-MY2023-PCSCK58.1YES Use Default Submission Name

Manufacturer Submission ID:
PCSCK58.1YES-A0100

Comments (3933 characters available):

Submitting new certification dataset for engine family PCSCK58.1YES

↑ Upload Existing Dataset

Warning: Uploading an existing dataset will replace any data you have entered on this screen.

Exit

Next →

Locomotive Reporting- Details

The dataset details section closely resembles the legacy version, with the only notable difference being that none of the fields on the Setup tab need to be completed in this section anymore (e.g., Model Year is no longer entered on this page).

Once all required information has been provided, click the “[Review & Confirm](#)” button to go to screen where this submission report can be validated and submitted.

The screenshot shows the EPA EV-CIS interface for Locomotive/Engine Certification Information. The page is titled "Locomotive/Engine Certification Information" and includes a navigation menu with tabs: Home, Setup, General Information (selected), Engine Family, Models / Parts, Adjustment Factors, Test, and Technical Description. Below the navigation menu, there are sub-tabs: Non-Locomotive Specific Engine, Idle Control System, and Review & Confirm. The main content area is divided into three sections: Submission Information, General Information, and Engine Family Information. The Submission Information section contains a table of fields and values. The General Information section contains a note: "Red asterisk denotes required field. *". The Engine Family Information section contains several required fields with dropdown menus.

Submission Information			
Manufacturer Code:	CSC	Manufacturer Name:	Chill Street Crew
Industry:	Locomotive Engines, Idle Control Systems, and Non-OEM Components	Family Type:	E = Locomotive Engine Family
Engine Family:	RCCK58.1934	Model Year:	2024
Process Code:	N = New Submission	Manufacturer Submission Name:	CSI-LOC-MY2024-RCCK58.1934
Manufacturer Submission ID:	RCCK58.1934 A0100	EPA Submission ID:	-

General Information Red asterisk denotes required field. *

Engine Family Information

Engine Service Class: *	LH = Line Haul	Manufacturer Engine Family Name: *	Engine Family Name 500
Carryover Indicator: *	N = No	Carryover Engine Family Name:	
Locomotive or Engine Indicator: *	ENG = Engine for a Locomotive	Locomotive Engine Category: *	F = Fresh

Locomotive Reporting – Review & Confirm

Click the “[Validate & Submit](#)” button to validate your submission and attempt to submit it. Once this button is pressed, users may choose to remain on this page and wait for the processing to complete, or they may leave the page.

If there are business rule errors, they will be displayed at the top of the screen, both for users who remained on the page and who returned to the page afterward. The business rules will also be visible at the top of each tab when editing, and they will remain until “[Validate and Submit](#)” is clicked again to re-run the validation.

The screenshot shows the EPA EV-CIS interface for Locomotive/Engine Certification Information. The page has a navigation menu with tabs: Home, Setup, General Information, Engine Family, Models / Parts, Adjustment Factors, Test, and Technical Description. The 'Review & Confirm' tab is active. A red-bordered box highlights three error messages:

- ⚠️ LOC-CERT-LC-BR001 - If Process Code (LOC-LC-12) equals 'N' (New Submission), then an active dataset must not exist in Verify for this Engine Family Name (LOC-LC-3) and Model Year (LOC-LC-5).
- ⚠️ LOC-CERT-LC-BR167 - If Engine Category (LOC-LC-7) equals 'F' (Fresh) or Locomotive Category (LOC-LC-361) equals 'F' (Fresh), then the fifth character of the Engine Family Name (LOC-LC-3) must equal 'G'.
- ⚠️ LOC-CERT-LC-BR489 - Standards Tier (LOC-LC-9) must be greater than or equal to the matching Lowest Allowed Tier in the Standards Decision Table. (Lowest Allowed Tier : 4)

Below the errors is the 'Submission Information' section:

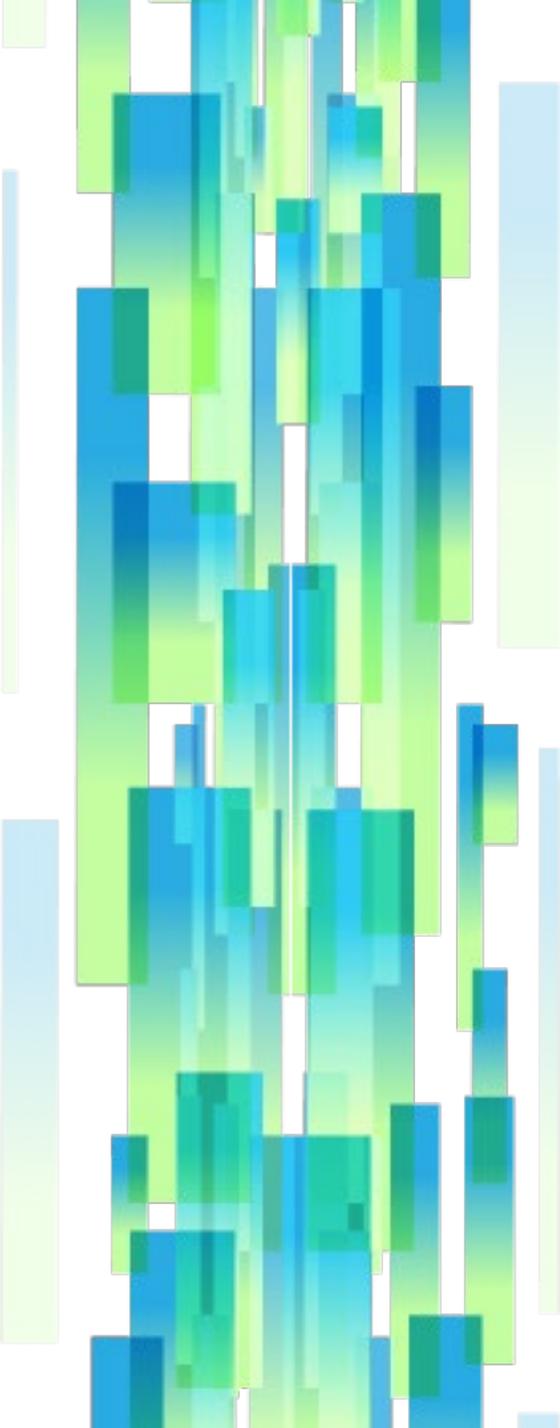
Manufacturer Code:	CSC	Manufacturer Name:	Chill Street Crew
Industry:	Locomotive Engines, Idle Control Systems, and Non-OEM Components	Family Type:	E = Locomotive Engine Family
Engine Family:	RCSCCK58.1794	Model Year:	2024
Process Code:	N = New Submission	Manufacturer Submission Name:	CSI-LOC-MY2024-RCSCCK58.1794

Locomotive Reporting – Complete

- If no business rule errors occur, the report will be submitted, and users who remained on the screen during validation will be shown a Complete screen displaying any non-blocking warning business rules and the CDX Transaction ID
 - Record the CDX Transaction ID for each report submission in case there are any issues with the submission
- Users that left the submission before seeing the Transaction ID or any applicable warning business rules can find them in the View option for this submission later

Deployment Information

- The production release of these changes is currently planned for **October 18th, 2024** ~~fall 2024~~
- ~~The exact date will be communicated via list server message when available~~



Contact Information

EV-CIS Help Desk

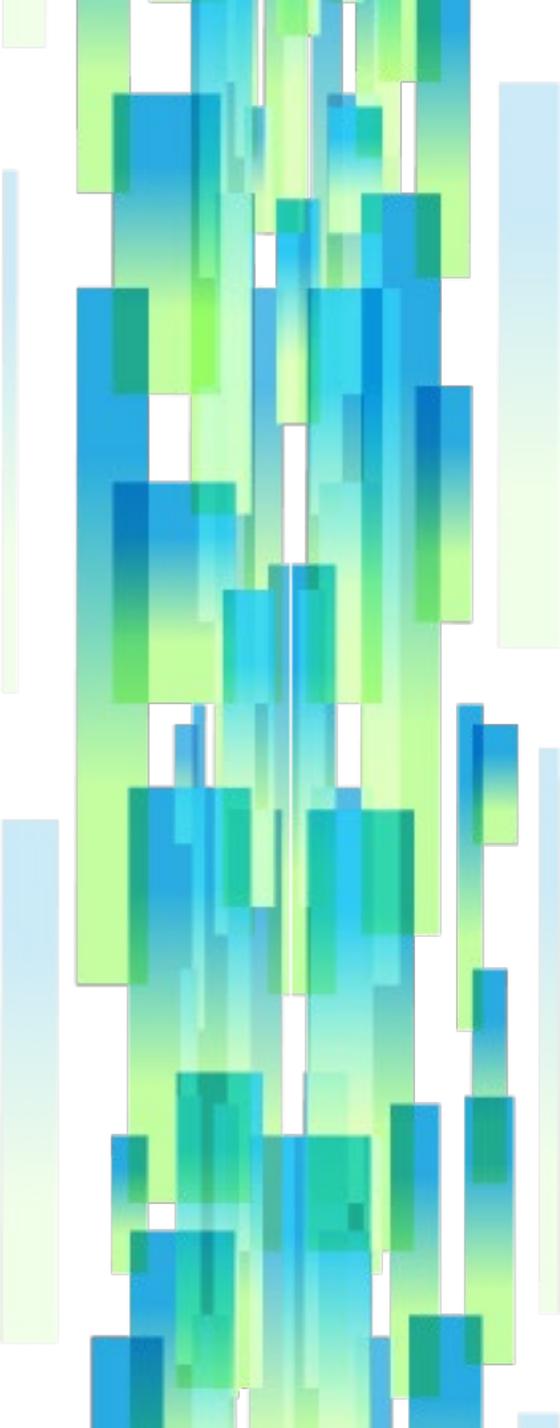
Direct all system-related questions to the EV-CIS Help Desk—
Email evcishelpdesk@epacdx.net

EV-CIS Listserver

To sign up for the EV-CIS list server, send email to evcis-subscribe@lists.epa.gov

Manufacturer Information and Guidance Listserver

To be notified when new manufacturer information letters, guidance letters, and advisory circulars are issued for vehicle, engine, and equipment programs, join the Manufacturer Information list server by sending email to manufacturer-info-subscribe@lists.epa.gov.



Resources

EV-CIS Website

<https://www.epa.gov/vehicles-and-engines>

EV-CIS User Registration

<https://www.epa.gov/ve-certification/how-register-engines-and-vehicles-compliance-information-system-ev-cis>

System Documentation and Guidance for Locomotive Certification

<https://www.epa.gov/ve-certification/certification-locomotives>



Questions?

Known Limitations in Locomotive Submission Management

The following system limitations are planned to be addressed in a subsequent release:

- The originally-planned Dataset Status column is not currently visible.
- Currently, the Delete and Revise actions may be available for submissions that are not eligible to be deleted or revised. The system will prevent these actions if appropriate.
- Batch submission functionality is not currently available.
- The Copy action is not currently available. This can be worked around by downloading a given dataset and re-uploading it into a new submission.
- Currently, revising a certified family dataset must be done from the most recently-submitted version of that dataset. This means that if a user has deleted or let expire the most recent revision to a certified family dataset, any further revisions must be done from that deleted or expired submission.
 - Note: Once a revision to a certified family dataset is submitted, the original one will be shown as “Superseded”, but the certification status of the family will not be affected until an RFC/RUC has been submitted for it.