Defect/Recall Report System User Acceptance Test Phase Summary

United States
Environmental Protection
Agency

Defect/Recall Report System User Acceptance Test Phase Summary

Compliance and Innovative Strategies Division
Office of Transportation and Air Quality
U.S. Environmental Protection Agency

United States Environmental Protection Agency

EPA-420-B-10-031
July 2010

Overview

Purpose and Goals of User Acceptance Test Phase

As a user of the new emission defect information and voluntary emission recall report (DR/VERR) system, it is important that you understand the process and functions of the system. Therefore, we are conducting "user acceptance testing." This will be the final testing phase before we implement the new DR/VERR system.

The purpose of the User Acceptance Test Phase is to allow users to evaluate portions of the new Defect and Recall Report System affecting you in a real-time dynamic environment including the ability to:

Download the forms to your desktop, input emission defect information, voluntary emission recall and quarterly recall update report (DR/VERR/QR) data into the EPA templates/forms, and save these forms on your desktop;

Submit completed DR/VERR/QR forms and attachments to the Verify Document Module;

Check the status of DR/VERR System forms/attachments submitted to the Verify Document Module in your Verify CDX inbox.

This document provides information on how to obtain testing materials, how to access the test environment and a step-by-step testing guide to assist you during the testing period.

Timing for User Acceptance Test Phase and Deployment/Implementation

The timing for EPA and manufacturer testing and Deployment/Implementation of the New Defect/Recall Report System is as follows:

Manufacturer User Acceptance Testing: ***July 12 – July 30, 2010***

EPA User Acceptance Testing: ***July 26 – August 6, 2010***

New DR/VERR System Deployment and Manufacturer Guidance Letter Announcing New DR/VERR System Implementation: ***August 9, 2010***

New DR/VERR System Implementation: ***September 1, 2010***

Contacts

If you have questions or concerns regarding test user accounts and access to the test environment, please direct questions to one of the following individuals:

Michael Heese	Sandra Somoza
202.343.9332	734.214.4704
heese.michael@epa.gov	somoza.sandra@epa.gov

For all other questions or concerns, please contact the DR/VERR System Team Leader, Arvon L. Mitcham (734.214.4522, mitcham.arvon@epa.gov).

User Acceptance Testing

Manufacturer Input Forms
The latest version of the manufacturer input forms for user acceptance testing can be downloaded at:

Manufacturer Input Forms
http://www.epa.gov/otaq/verify/publications.htm

We recommend that manufacturers use this version of the forms for user acceptance testing since the emissions defect information (DR) and the voluntary emissions recall report (VERR) forms have been slightly revised since the last distribution (the Quarterly Emission Recall Progress Report (QR) remains unchanged). Text from previous versions can be "cut and paste" in the latest versions but you will have to reselect the choices for fields with radio buttons and pull-down menus. If you are unsure of the correct version, check in the lower, left hand corner of each form for the date and version number as follows:

EDIR: 5/2010, Version 1.0, Beta 5
VERR: 5/2010, Version 1.0, Beta 5
QR: 4/2010, Version 1.0, Beta 4

Testers should submit at least one of each form to the Verify Document Module test environment, as well as mock attachments for applicable documents. ***This information is for testing purposes only and will not be used in the production version of the DR/VERR System nor made available to the public.***

Form Submittal to the Verify Document Module in the Test Environment
To access the test environment and submit the test forms, the following web address should be used:

Verify Document Module Test Environment
https://test.epacdx.net

This test environment mimics the appearance and functionality of the actual production environment, including a mock version of the Verify Document Module. This allows us to simulate how the system functions once the new DR/VERR System is implemented.

There is a guidance document for using the Verify Document Module to submit the DR/VERR System forms available at the link above for the "Manufacturer Input Forms."

Tracking and Submittal of Testing Issues
An excel spreadsheet for tracking of issues you discover during user acceptance testing is available the link above for the "Manufacturer Input Forms." Testers should input any issues that they encounter in this spreadsheet and submit it to the DR/VERR System Team Leader, Arvon L. Mitcham (734.214.4522, mitcham.arvon@epa.gov). You may submit this spreadsheet on a real-time basis or you may wait until the end of the testing period to send the full list of identified issues.

User Acceptance Testing:

A Step-By-Step Guide for Manufacturer Testers Evaluating the New DR/VERR Process

This part of the document provides step-by-step instructions on evaluating on the evaluation the proposed, new DR/VERR System process. It is important to note that this is the same process you will use once the new DR/VERR System is implemented. Therefore, testing the system and providing feedback on your experience is valuable in making implementation of the new DR/VERR System successful.

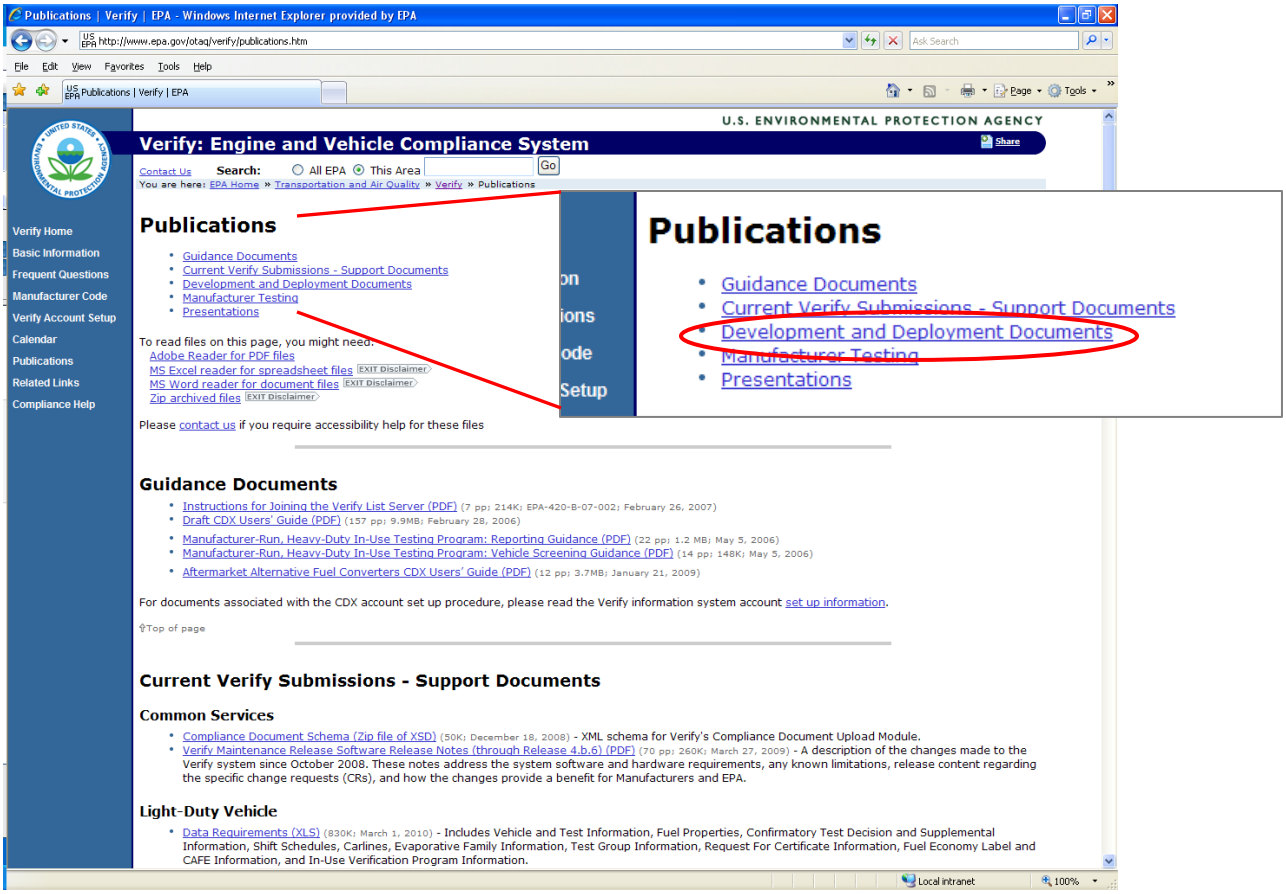
This step-by-step guide covers three steps at a high level:

Form download, access and data entry;
Verify Document Module form submittal;
Interaction with the user mailbox for form submittal status.

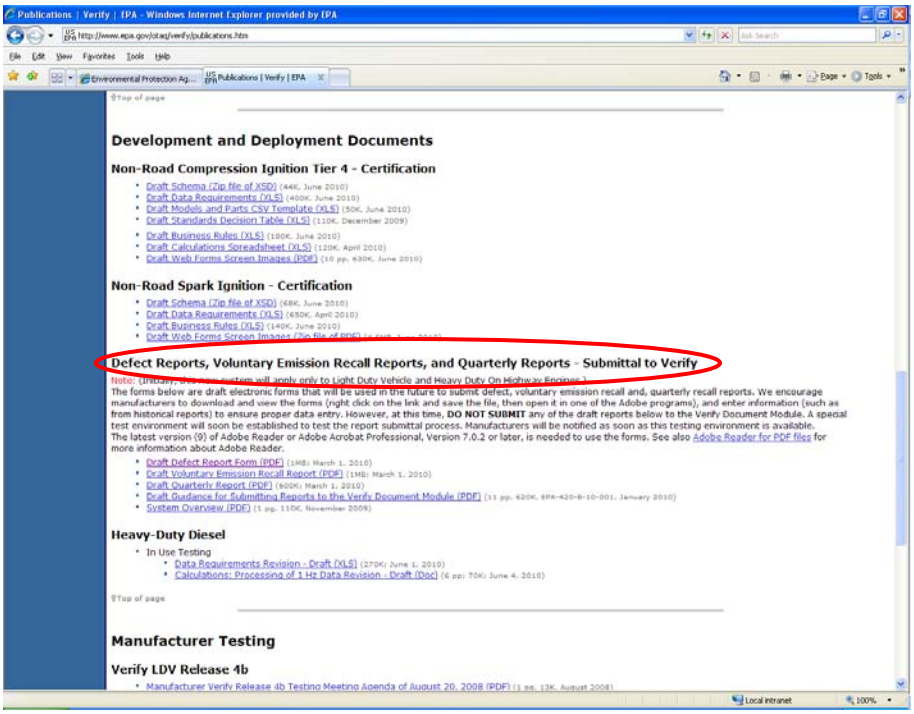
For more detail on data entry in the forms or the Verify Document Module, you can refer to the help text for each form or to the Verify Document Module Guidance document, respectively.

Step 1: Downloading DR/VERR System Forms

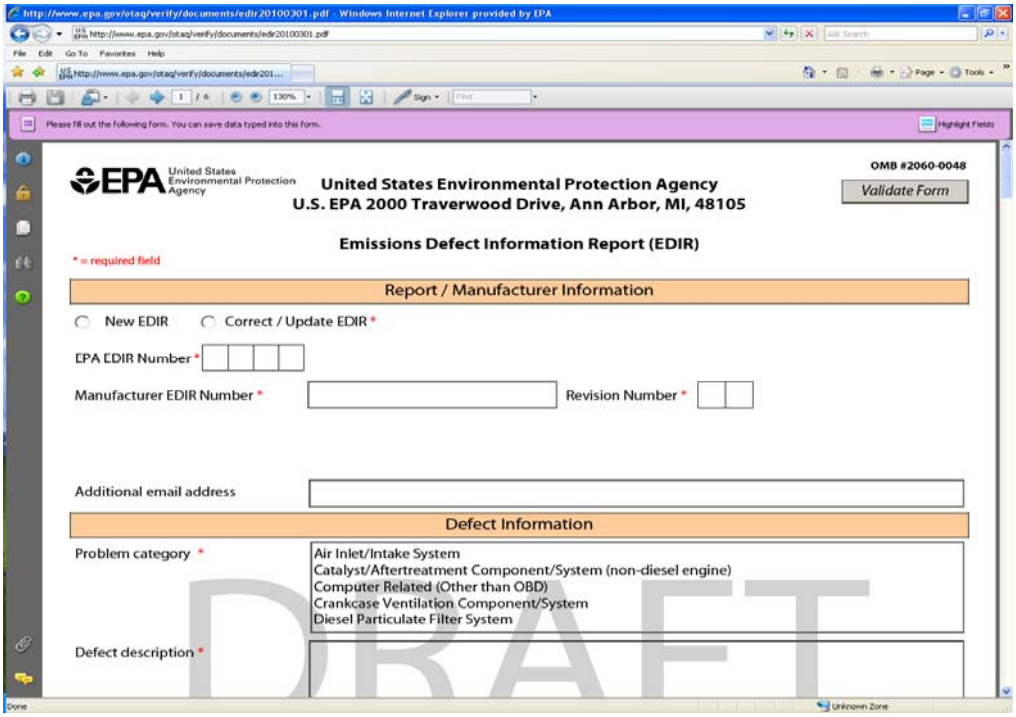
The forms can be downloaded from our website at http://www.epa.gov/otaq/verify/publications.htm. Once on the webpage, you can scroll down or click the link to "Development and Deployment Documents."



In this section of the webpage, you will see a subsection entitled “Defect Reports, Voluntary Emission Recall Reports, and Quarterly Reports - Submittal to Verify” which encompasses this document, the User Acceptance Test Phase Summary, the DR/VERR/QR forms, the Verify Document Module Guidance, and an overview of the DR/VERR System architecture.

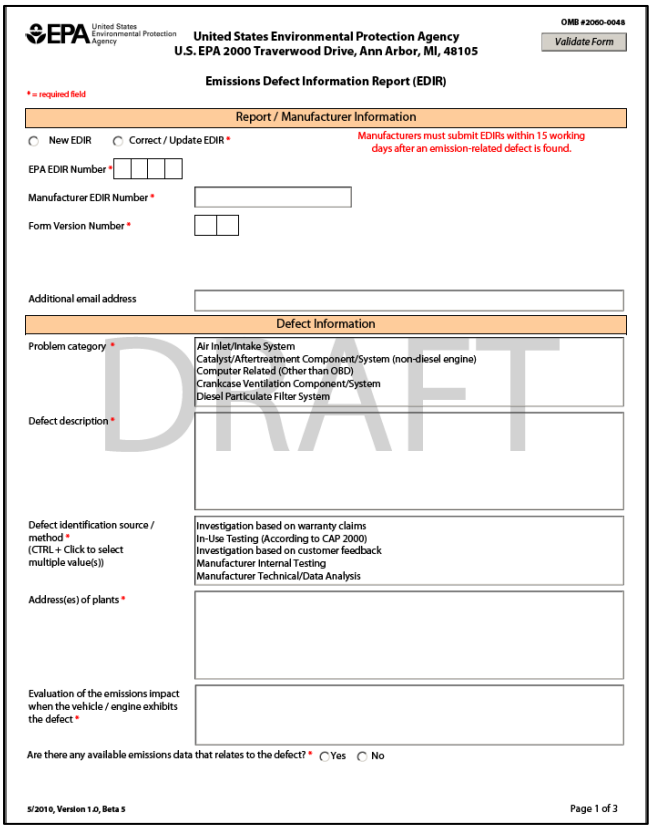


Simply click on the link for the forms and it will open the document in your web browser. Once the document is open in your web browser, you can select the save button and it will open up a window where you can select a location to save the forms.



Step 2: Entering Data the into DR/VERR System Forms

Below are screenshots of the first page from blank versions of the DR/VERR System forms. The forms are writable, Adobe Acrobat PDFs that allow data entry and can be saved to your desktop. The forms allow you to partially fill in a form, stop work and save it so that you can continue work later. However, a partially filled in form will not be accepted by the DR/VERR System. Each form has a help text section that describes each field. For your convenience, there are screenshots of the DR/VERR System forms with sample data in the appendix of this document.



EPA United States Environmental Protection Agency

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

OMB #2060-0048

Validate Form

Emissions Defect Information Report (EDIR)

* = required field

Report / Manufacturer Information

New EDIR Correct / Update EDIR *

Manufacturers must submit EDIRs within 15 working days after an emission-related defect is found.

EPA EDIR Number *

Manufacturer EDIR Number *

Form Version Number *

Additional email address

Defect Information

Problem category *
Air Inlet/Intake System
Catalyst/Aftertreatment Component/System (non-diesel engine)
Computer Related (Other than OBD)
Crankcase Ventilation Component/System
Diesel Particulate Filter System

Defect description *

Defect identification source / method *
(CTRL + Click to select multiple value(s))
Investigation based on warranty claims
In-Use Testing (According to CAP 2000)
Investigation based on customer feedback
Manufacturer Internal Testing
Manufacturer Technical/Data Analysis

Address(es) of plants *

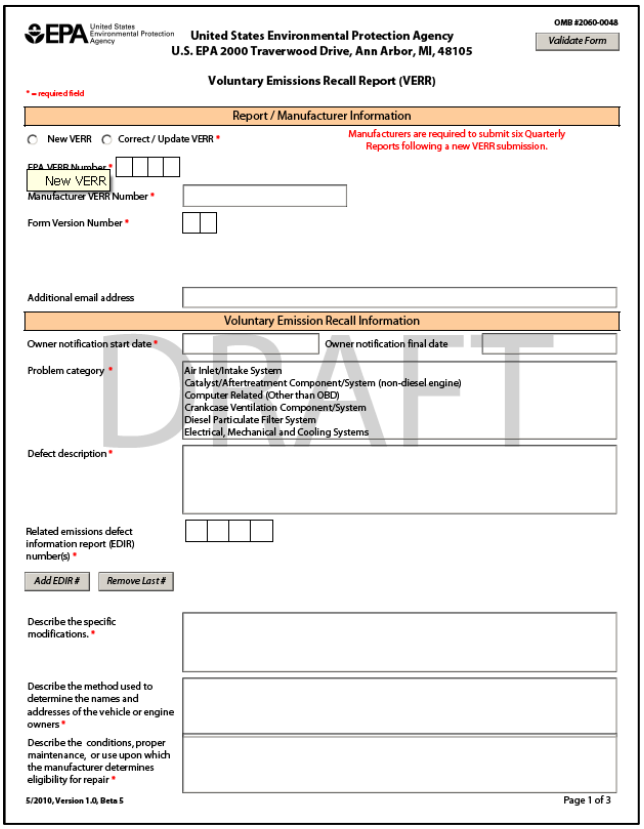
Evaluation of the emissions impact when the vehicle / engine exhibits the defect *

Are there any available emissions data that relates to the defect? * Yes No

DRAFT

5/2010, Version 1.0, Beta 5

Page 1 of 3



EPA United States Environmental Protection Agency

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

OMB #2060-0048

Validate Form

Voluntary Emissions Recall Report (VERR)

* = required field

Report / Manufacturer Information

New VERR Correct / Update VERR *

Manufacturers are required to submit six Quarterly Reports following a new VERR submission.

EPA VERR Number *

New VERR

Manufacturer VERR Number *

Form Version Number *

Additional email address

Voluntary Emission Recall Information

Owner notification start date * Owner notification final date

Problem category *
Air Inlet/Intake System
Catalyst/Aftertreatment Component/System (non-diesel engine)
Computer Related (Other than OBD)
Crankcase Ventilation Component/System
Diesel Particulate Filter System
Electrical, Mechanical and Cooling Systems

Defect description *

Related emissions defect information report (EDIR) number(s) *

Add EDIR # Remove Last #

Describe the specific modifications. *

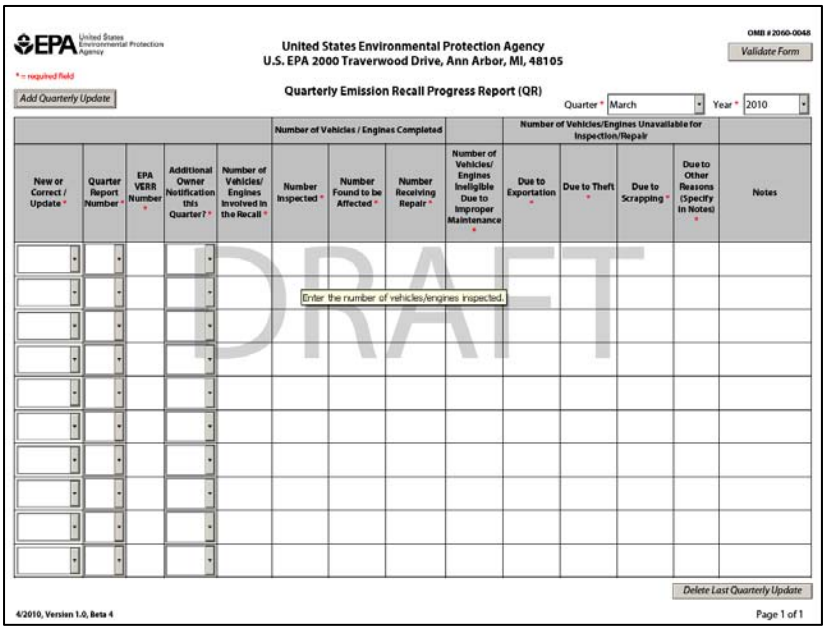
Describe the method used to determine the names and addresses of the vehicle or engine owners *

Describe the conditions, proper maintenance, or use upon which the manufacturer determines eligibility for repair *

DRAFT

5/2010, Version 1.0, Beta 5

Page 1 of 3



EPA United States Environmental Protection Agency

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

OMB #2060-0048

Validate Form

* = required field

Add Quarterly Update

Quarterly Emission Recall Progress Report (QR)

Quarter * March Year * 2010

					Number of Vehicles / Engines Completed				Number of Vehicles/Engines Unavailable for Inspection/Repair				
New or Correct / Update *	Quarter Report Number *	EPA VERR Number *	Additional Owner Notification this Quarter? *	Number of Vehicles/ Engines Involved in the Recall *	Number Inspected *	Number Found to be Affected *	Number Receiving Repair *	Number of Vehicles/ Engines Ineligible Due to Improper Maintenance *	Due to Exportation *	Due to Theft *	Due to Scrapping *	Due to Other Reasons (Specify in Notes) *	Notes

Enter the number of vehicles/engines inspected.

Delete Last Quarterly Update

DRAFT

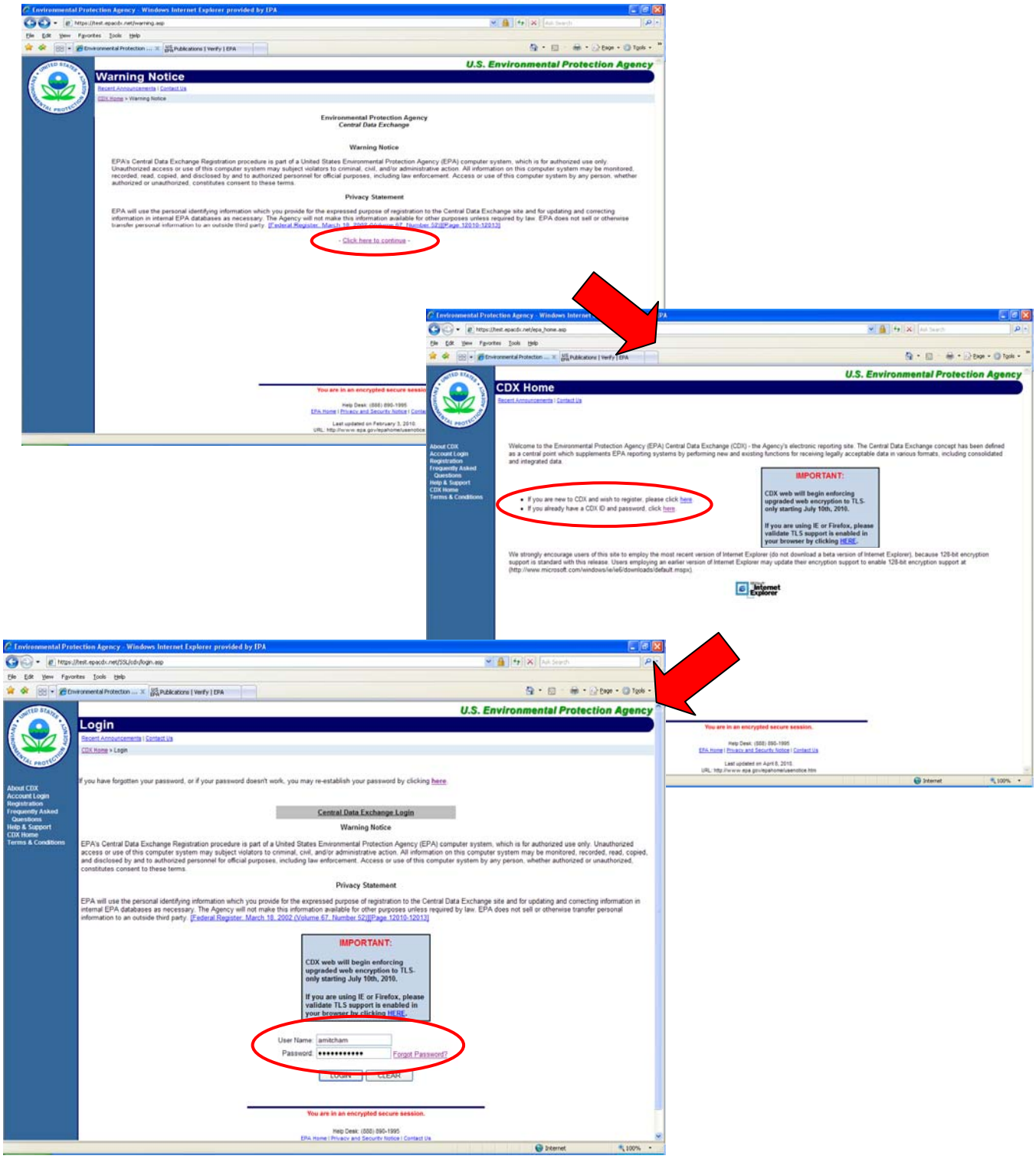
4/2010, Version 1.0, Beta 4

Page 1 of 1

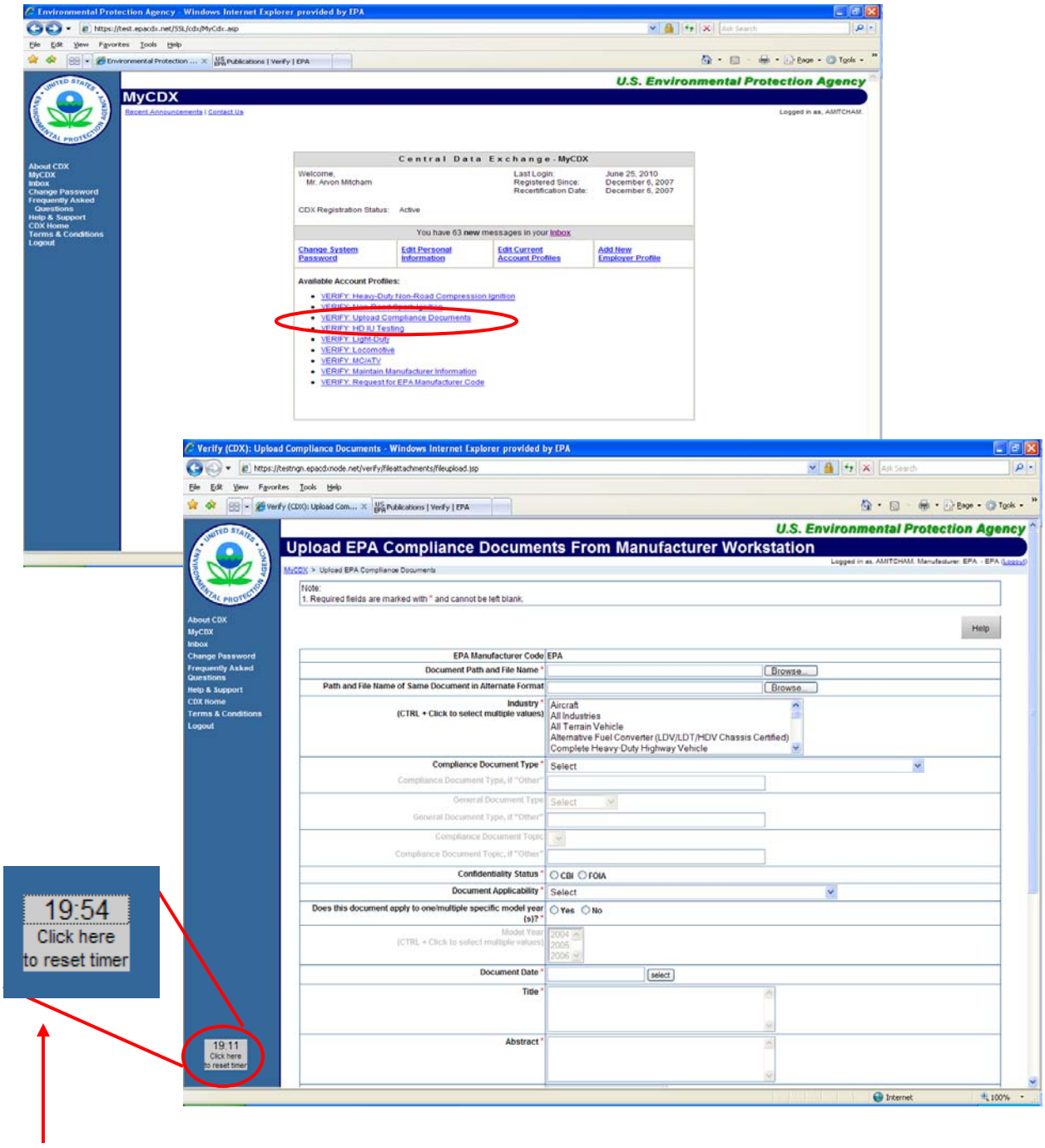
Blank versions (first page only) of the forms for the new DR/VERR System (shown clockwise, from top left): the emission defect information report (EDIR or DR), voluntary emission recall report (VERR) and the quarterly emission recall progress report (QR).

Step 3: Submitting the Completed DR/VERR System Forms and Related Attachments to the Verify Document Module

When you proceed to the web address, https://test.epacdx.net, you first be directed to a warning notice for U.S. EPA's Central Data Exchange (CDX) where the Verify Document Module is housed. You should select "Click here to continue." This will take you to the CDX welcome page. Since you have already registered, you should select that "you already have a CDX ID and Password." This will take you to the CDX log-in page where you enter your user name and password. If you are not a registered user, you should select the first link ("If you are new to CDX and wish to register, ….").



Once you have correctly entered your log in and password, the CDX account page will be displayed where you can manage the details of your CDX account. From here, you should select the link "VERIFY: Upload Compliance Documents" to proceed to the Verify Document Module. To properly enter data into the Verify Document Module, we recommend that you refer to the "Verify Document Module Guidance" document. For your convenience, there are screenshots of the Verify Document Module interface with sample data in the appendix of this document.



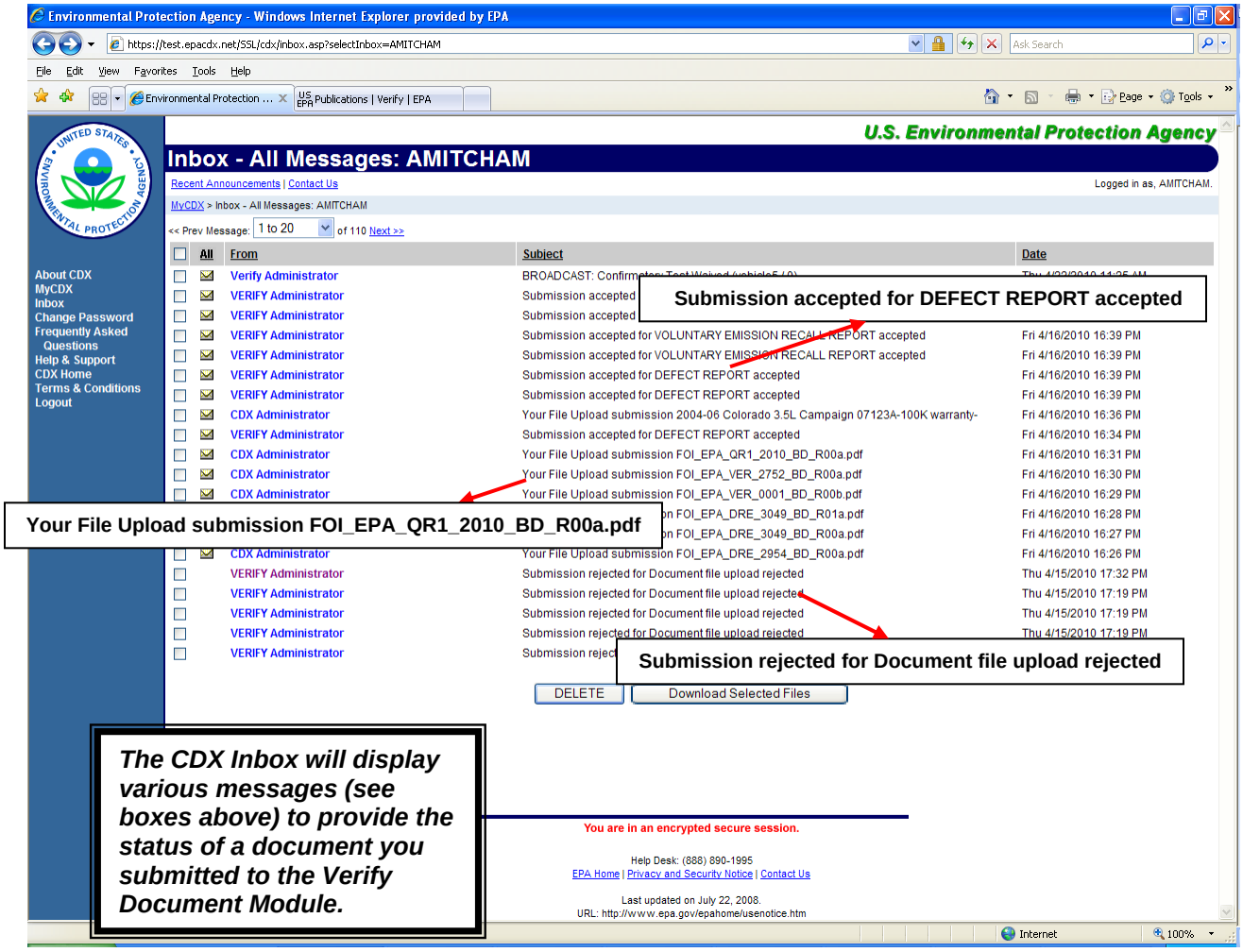
Note: In the lower left hand corner of the screen, there is 20-minute timer. This is a security measure to ensure unintended or unauthorized use of your CDX account and will automatically log you out of CDX after 20 minutes of inactivity. Certain screen selections will refresh the screen and reset the time automatically but you should periodically check and press this timer to ensure that you remain logged in.

Step 4: Interaction with Your User Mailbox to Check for Form Submittal Status

Once you have submitted a document to the Verify Document Module, you can use your CDX Inbox to track the progress/status of the document. Below is a screen shot of how the CDX Inbox appears on the screen.

Following submission of a document to the Verify Document Module via CDX, you will receive messages indicating:

> Confirmation that the system has or has not received the information you transmitted or attempted to transmit, respectively; and
> Acceptance or rejection of the transmitted document based on system validation checks according to data/formatting rules for the document.



To open the message, simply click on the link in the "From" column. On the next page are some examples of the message content depending on the outcome of your submission.

If you need to submit additional documents or other actions, click on the "My CDX" link to return to your CDX account page. If not, be sure to log out of the system using the "Logout" link in the blue navigation bar.

Your File Upload submission FOI_EPA_QR1_2010_BD_R00a.pdf

Your File Upload submission FOI_EPA_QR1_2010_BD_R00a.pdf - Message

From: CDX Administrator
Subject: Your File Upload submission FOI_EPA_QR1_2010_BD_R00a.pdf
Date: Fri 4/16/2010 4:31 PM

CDX has received your File Upload submission:

Document Name: FOI_EPA_QR1_2010_BD_R00a.pdf

The following transaction identifier has been assigned to this request:

_b85ab77a-13a1-43e6-aab7-2d06eec82c76

Please check your MyCDX InBox for the status of your request.

Thank you for submitting your request to Verify via CDX.

Submission accepted for DEFECT REPORT accepted

Submission accepted for DEFECT REPORT accepted - Message

From: VERIFY Administrator
Subject: Submission accepted for DEFECT REPORT accepted
Date: Fri 4/16/2010 4:39 PM

Your recent submission has been received by the EPA and you will be notified if any additional actions on your part are required.

Manufacturer Code: EPA

Document Name: FOI_EPA_DRE_3049_BD_R01a.pdf

Transaction Identifier: _9a649d0b-6876-4c0d-b23b-8773d040fddd

Click here to view the status history.

Thank you for submitting your request to Verify via CDX.

Submission rejected for Document file upload rejected

Submission rejected for Document file upload rejected - Message

From: VERIFY Administrator
Subject: Submission rejected for Document file upload rejected
Date: Thu 4/15/2010 5:32 PM

The document file name FOI_EPA_QR1_2010_BD_R00.pdf is not unique in the Verify system. The rejection occurred at Thu Apr 15 18:09:05 EDT 2010 while processing document _617b551c-7497-4009-bca6-2148d1e0c3f1.

Manufacturer Code: EPA

Document Name: FOI_EPA_QR1_2010_BD_R00.pdf

Transaction Identifier: _f241115e-ea81-4859-b9c5-02e909602dcc

Click here to view the status history.

Thank you for submitting your request to Verify via CDX.

DEFECT/RECALL REPORT SYSTEM
USER ACCEPTANCE TEST PHASE SUMMARY

APPENDIX

APPENDIX I
EXAMPLES OF DR/VERR SYSTEM FORMS WITH SAMPLE DATA

Example A:
Emission Defect Information Report (EDIR or DR) with Sample Data

EPA United States Environmental Protection Agency

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

OMB #2060-0048

Validate Form

Emissions Defect Information Report (EDIR)

* = required field

Report / Manufacturer Information

(•) New EDIR ( ) Correct / Update EDIR *

Manufacturers must submit EDIRs within 15 working days after an emission-related defect is found.

EPA EDIR Number * 2 8 1 3

Manufacturer EDIR Number * 2006-29a

Form Version Number * 0 0

Additional email address alm@annarbor.com

Defect Information

Problem category *
Monitoring/Measuring Sensor/System
NOx Absorber System
NOx Sensor
On-Board Diagnostic (OBD) System
On-Board Refueling and Vapor Recovery (ORVR) System

Defect description *
Vehicle On-Board Diagnostics (OBD) system will not indicate readiness for I/M emissions testing.

Defect identification source / method *
(CTRL + Click to select multiple value(s))
Investigation based on warranty claims
In-Use Testing (According to CAP 2000)
Investigation based on customer feedback
Manufacturer Internal Testing
Manufacturer Technical/Data Analysis

Address(es) of plants *
Mitcham Assembly Plant
Sterling Heights, MI.
48198

Evaluation of the emissions impact when the vehicle / engine exhibits the defect *
None.

Are there any available emissions data that relates to the defect? * ( ) Yes (•) No

5/2010, Version 1.0, Beta 5 Page 1 of 3

DRAFT

EPA United States Environmental Protection Agency

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

OMB #2060-0048

Validate Form

Emissions Defect Information Report (EDIR)

* = required field

Does the defect cause or result in On-Board Diagnostic Malfunction Indicator Lamp illumination? * (•) Yes ( ) No

Describe any drivability problems which a defective vehicle/engine would exhibit *
No impact.

Description of anticipated manufacturer follow up *
TSB #25-001-07 has been issues to instruct dealers to reprogram the affected vehicles.

Type of related documents to be submitted to the Verify Document Module *
(CTRL + Click to select multiple value(s))
No Related Documents to Submit
Available Emissions Data
Repair Instructions
Technical Service Bulletin
Other (Specify in 'Notes' field)

Number of related documents to be submitted to Verify Document Module * 1

Notes

5/2010, Version 1.0, Beta 5 Page 2 of 3

DRAFT

EPA United States Environmental Protection Agency

OMB #2060-0048

Validate Form

* = required field

Add Test Group / Engine Family

Emissions Defect Information Report (EDIR)
Affected Vehicles / Engines Description

Test Group / Engine Family Information — Delete Test Group / Engine Family

Test Group / Engine Family *	Certified Sales Area *	Total Production Volume Count *	Potential Number Affected *	Actual Number Identified *
5ALXT02.8MEO	FED (non-CA+177 States)	3,678	3,678	3,678

Add Vehicle / Engine — **Vehicle / Engine Information**

Make *	Model / Calibration *	Model Year *	Displacement (Liters) *	
Cheap	SuperCar 3.0	2005	3.2	Delete This Vehicle / Engine

Test Group / Engine Family Information — Delete Test Group / Engine Family

Test Group / Engine Family *	Certified Sales Area *	Total Production Volume Count *	Potential Number Affected *	Actual Number Identified *
6ALXT03.95N0	50-State (CA+177 States+FED)	72,440	72,440	72,440

Add Vehicle / Engine — **Vehicle / Engine Information**

Make *	Model / Calibration *	Model Year *	Displacement (Liters) *	
Cheap	Wheels 4U	2006	3.7	Delete This Vehicle / Engine
Cheap	Transport A2B	2006	3.7	Delete This Vehicle / Engine
Cheap	Seats	2006	3.7	Delete This Vehicle / Engine

5/2010, Version 1.0, Beta 5 Page 3 of 3

Example B:
Voluntary Emission Recall Report (VERR) with Sample Data

EPA United States Environmental Protection Agency

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

OMB #2060-0048

Validate Form

Voluntary Emissions Recall Report (VERR)

* = required field

Report / Manufacturer Information

(●) New VERR ( ) Correct / Update VERR *

Manufacturers are required to submit six Quarterly Reports following a new VERR submission.

EPA VERR Number * 2 7 5 2

Manufacturer VERR Number * 06E-A03

Form Version Number * 0 0

Additional email address gkim4@bmwv.com

Voluntary Emission Recall Information

Owner notification start date * Feb 23, 2010 Owner notification final date Feb 24, 2010

Enter the owner notification start date

Problem category
- Monitoring/Measuring Sensor/System
- NOx Absorber System
- NOx Sensor
- On-Board Diagnostic (OBD) System
- On-Board Refueling and Vapor Recovery (ORVR) System

Defect description * Communication between the Transmission Control Module and certain generic scan tools may be interrupted. Some customers may not be able to pass OBD I/M emissions testing.

Related emissions defect information report (EDIR) number(s) * 2 9 5 4

Add EDIR # Remove Last #

Describe the specific modifications. * Vehicles will have there ECU reflashed/reprogrammed to correct this issue.

Describe the method used to determine the names and addresses of the vehicle or engine owners * We will use an internal customer database and RL.Polk & Co supplied names, addresses, and license plate numbers from DMV records. Notifications were sent via First Class Mail.

Describe the conditions, proper maintenance, or use upon which the manufacturer determines eligibility for repair * The vehicle must be within the applicable warranty period (5 years/50,000 miles).

5/2010, Version 1.0, Beta 5 Page 1 of 3

DRAFT

EPA United States Environmental Protection Agency

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

OMB #2060-0048

Validate Form

Voluntary Emissions Recall Report (VERR)

* = required field

Describe the procedure for the vehicle or engine owners to correct the nonconformity * A consumer can call any of our dealerships and setup a repair appointment date, and a time, for a free repair.

Describe any authorized warranty agents or persons other than dealers who will remedy the defect * Not applicable.

Describe the system used to assure an adequate supply of parts will be available to perform the repair * A service CD will be supplied to all dealers to ensure reprogramming.

Describe the impact of the proposed changes on fuel economy * There is no impact on fuel consumption.

Describe the impact of the proposed changes on drivability * There is no impact on driveability other than remedying any drivability issues on the vehicle prior to the repair.

Describe the impact of the proposed changes on safety * There is no impact on safety other than remedying the potential safety issue on the vehicle prior to the repair that is the subject of this recall.

Type of related documents to be submitted to the Verify Document Module * (CTRL + Click to select multiple value(s))
- No Related Documents to Submit
- Owner Notification
- Dealer Notification/Bulletin
- Repair Instructions
- Technical Service Bulletin
- Sample Repair Label
- Other (Specify in 'Notes' field)

Number of related documents to be submitted to Verify Document Module * 4

Notes

5/2010, Version 1.0, Beta 5 Page 2 of 3

DRAFT

EPA United States Environmental Protection Agency

OMB #2060-0048

Validate Form

* = required field

Add Test Group / Engine Family

Voluntary Emissions Recall Report (VERR)
Affected Vehicles / Engines Description

Test Group / Engine Family Information — Delete Test Group / Engine Family

Test Group / Engine Family *	Certified Sales Area *	Number Covered by Recall *
5EPA03.0SMGS	50-State (CA+177 States+FED)	1,101

Add Vehicle / Engine — **Vehicle / Engine Information**

Make *	Model / Calibration *	Model Year *	Displacement (Liters) *	
EPA	925iX, 930iX	2005	3.1	Delete This Vehicle / Engine

DRAFT

5/2010, Version 1.0, Beta 5 Page 3 of 3

Example C:
Quarterly Emission Recall Progress Report (QR) with Sample Data

EPA United States Environmental Protection Agency

OMB #2060-0048

Validate Form

United States Environmental Protection Agency
U.S. EPA 2000 Traverwood Drive, Ann Arbor, MI, 48105

* = required field

Add Quarterly Update

Quarterly Emission Recall Progress Report (QR)

Quarter * March Year * 2010

					Number of Vehicles / Engines Completed				Number of Vehicles/Engines Unavailable for Inspection/Repair				
New or Correct / Update *	Quarter Report Number *	EPA VERR Number *	Additional Owner Notification this Quarter? *	Number of Vehicles/ Engines Involved in the Recall *	Number Inspected *	Number Found to be Affected *	Number Receiving Repair *	Number of Vehicles/ Engines Ineligible Due to Improper Maintenance *	Due to Exportation *	Due to Theft *	Due to Scrapping *	Due to Other Reasons (Specify in Notes) *	Notes
New	3rd	0001	No	17,263	17,263	17,263	1,005	0	0	0	0	0	Reference Recall B016 US Part573.pdf
Correct/Upc	1st	4555	No	3,500	2,500	2,155	2,150	5	2	1	0	2	Unavailable for inspection/repair: 2 vehicles totalled i

Delete Last Quarterly Update

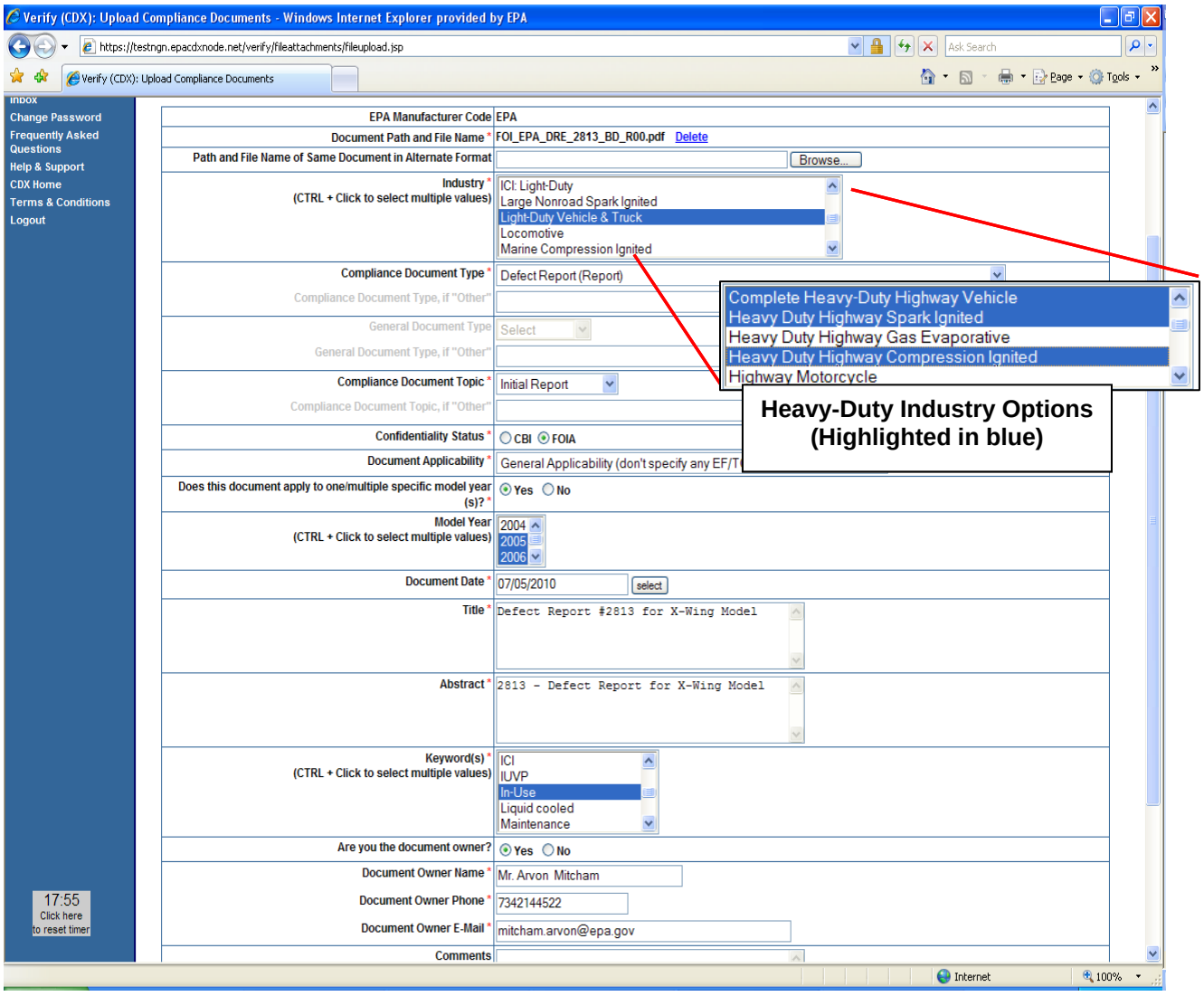
DRAFT

4/2010, Version 1.0, Beta 4

Page 1 of 1

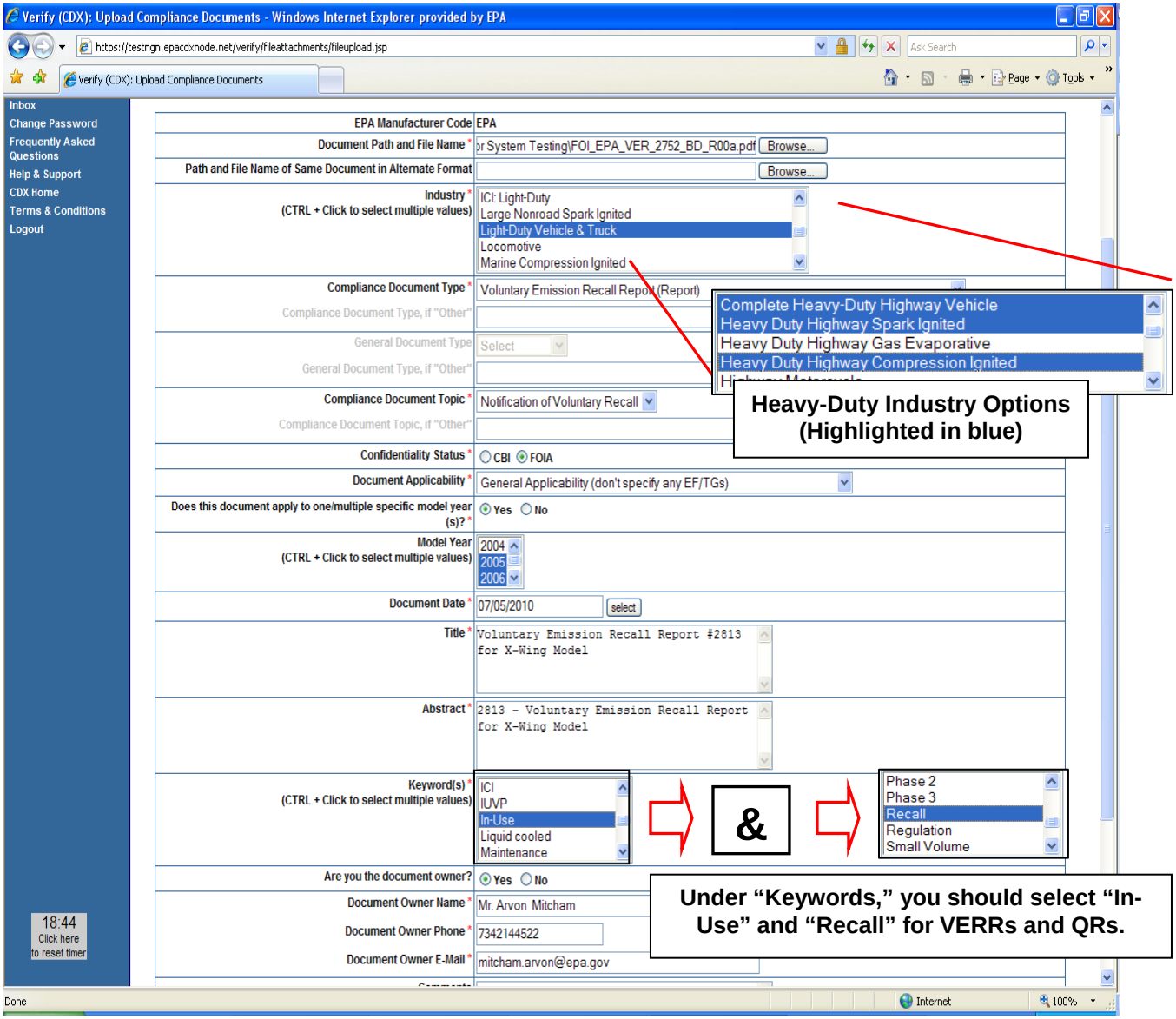
APPENDIX II
EXAMPLES OF THE VERIFY DOCUMENT MODULE INTERFACE WITH SAMPLE DATA

Example A:
Verify Document Module interface with entries for an Emission Defect Information Report (EDIR or DR)



Note: This example assumes a Light-duty industry submission. See the box above for the applicable Heavy-Duty industry submission options (highlighted in blue) and select the most appropriate one or more for your industry.

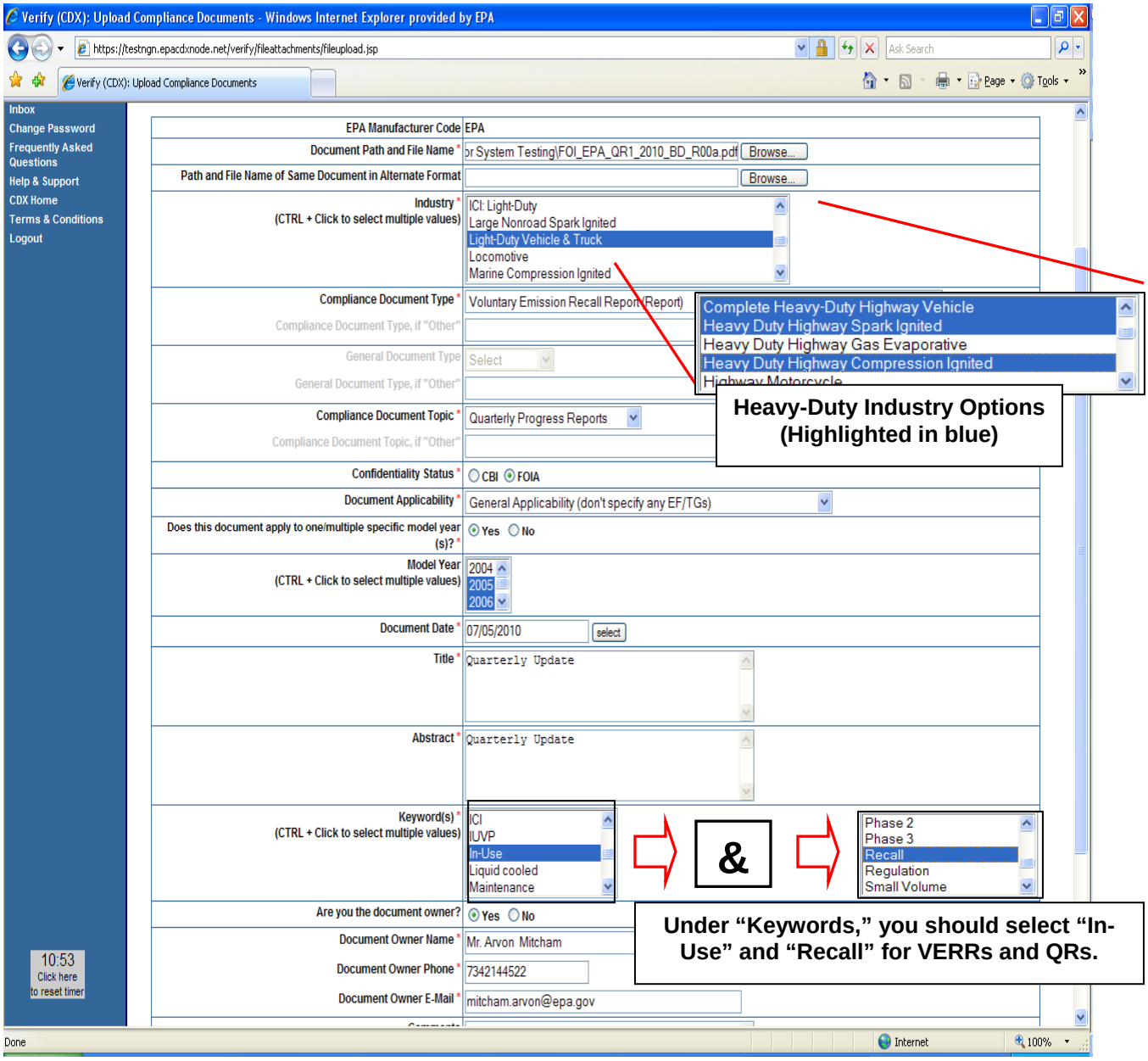
Example B:
Verify Document Module interface with entries for a Voluntary Emission Recall Report (VERR)



Note: This example assumes a Light-duty industry submission. See the box above for the applicable Heavy-Duty industry submission options (highlighted in blue) and select the most appropriate one or more for your industry.

In addition, for VERRs and QRs, you should make two selections under "Keywords": "In-Use" and "Recall."

Example C:
Verify Document Module interface with entries for a Quarterly Emission Recall Progress Report (QR)



Note: This example assumes a Light-duty industry submission. See the box above for the applicable Heavy-Duty industry submission options (highlighted in blue) and select the most appropriate one or more for your industry.

In addition, for VERRs and QRs, you should make two selections under "Keywords": "In-Use" and "Recall."