

A Step-By-Step Guide to Submit 40 CFR Part 1068 Investigation, Defect, Remedial Plan, and Quarterly Reports to EPA

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Assessment and Standards Division
Office of Transportation and Air Quality
U.S. Environmental Protection Agency

Instructions for Submitting Defect and Remedial Plan Documents to EPA

Verify Document Module

1. Manufacturers submitting data must have a manufacturer's code established with Verify

EPA receives data and documents from manufacturers through its Verify system. Any manufacturer wishing to submit data or documents must have a valid manufacturer code, which can be obtained by following the instructions at <https://www.epa.gov/vehicle-and-engine-certification/company-registration-verify-system>. Please follow all instructions on this page completely. Any problems or questions regarding Verify should be directed to the Verify Help Desk at 1-888-890-1995 or evcishelpdesk@epacdx.net.

2. First time users of Verify need to follow Verify's setup instructions

Once the data submitter obtains a valid manufacturer code with Verify, they will need to set up user account(s) by following the instructions at <https://www.epa.gov/vehicle-and-engine-certification/account-setup-verify-system>. In order to submit data or documents, a user account is mandatory. As with obtaining a manufacturer code, any problems with setting up a user account should be directed to the Verify Help Desk at 1-888-890-1995 or evcishelpdesk@epacdx.net.

3. Download and fill out applicable plan reporting templates

Proceed to <https://www.epa.gov/vehicle-and-engine-certification/report-forms-and-guidance-defects-and-recalls-under-40-cfr-part> to download and complete the 40 CFR part 1068 templates. Please **do not** convert the Excel template to PDF, keep the template in Excel format for submission to Verify. For the filename to use for these forms, please refer to Appendix A.

4. Log in to Verify and submit completed data submission form to Verify's Document Module

To submit your documents, log in to Verify at <http://cdx.epa.gov/warning.asp>. Follow the instructions to log in. Once in the "MyCDX" page, click on the link titled "VERIFY: Upload Compliance Documents." The screen shots below with additional instructions superimposed

provides more details for what should be entered in the following screen. Note that there are four different screen shots and five different document types because the investigation reports and defect reports are submitted in the same way. The document types are:

- 1) Initial investigation reports (40 CFR 1068 only)
- 2) Defect reports (DR),
- 3) Remedial plans (RP),
- 4) Quarterly reports (QR), and
- 5) Supporting documents

Initial Investigation/Defect Reports

Anything not addressed in this screen can be found in the Help page at the top right.

EPA Manufacturer Code *	EPA
Document Path and File Name *	DR example.png Delete
Path and File Name of Same Document in Alternate Format	Choose File No file chosen
Industry *	<input type="checkbox"/> Aircraft <input type="checkbox"/> All Industries <input type="checkbox"/> All Terrain Vehicle <input type="checkbox"/> Alternative Fuel Converter (LDV/LDT/HDV Chassis Certified) <input type="checkbox"/> Complete Heavy-Duty Highway Vehicle
Compliance Document Type *	Defect Report
Compliance Document Type, if "Other"	
General Document Type	Select
General Document Type, if "Other"	
Compliance Document Topic *	Initial Report
Compliance Document Topic, if "Other"	
Confidentiality Status *	FOI
Document Applicability *	General Applicability (don't specify any EF/VF/TGs)
Does this document apply to one/multiple specific model year(s)? *	Yes
Model Year *	2017 2016 2015
Document Date *	06/01/2016 select
Title *	Defect report #00001 for model ABC
Abstract *	0001 - Defect report for Model ABC
Keyword(s) *	<input type="checkbox"/> Hybrid <input type="checkbox"/> Hybrid Electric <input type="checkbox"/> ICI <input type="checkbox"/> IUVP <input checked="" type="checkbox"/> In-Use
Document Owner	Select (Select a contact from the list to populate the Document Owner fields below)
Document Owner Name *	
Document Owner Phone *	
Document Owner E-Mail *	
Comments	

Select "Defect Report"

Select "Initial Report" for first submission or "Follow-up Report" for updates/corrections.

Select "General Applicability"

If "CBI", a separate "FOI" version would need to be submitted

Abstract must start with the defect report number (for defect reports), along with other details regarding this submission

At least "In-Use" must be selected, in addition to other applicable keywords

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Remedial Plan

EPA Manufacturer Code *	EPA	Anything not addressed in this screen can be found in the Help page at the top right.
Document Path and File Name *	FOI_EPA_RP#_0001_BD_R00.xlsx Delete	
Path and File Name of Same Document in Alternate Format	Choose File No file chosen	
Industry *	<div> <div>All Terrain Vehicle</div> <div>Alternative Fuel Converter (LDV/LDT/HDV Chassis Certified)</div> <div>Complete Heavy-Duty Highway Vehicle</div> <div>Electric Motorcycle</div> <div>Heavy-Duty Highway Clean Fuel Fleet</div> </div>	Select "Voluntary Emission Recall Reports"
Compliance Document Type *	Voluntary Emission Recall Report	
Compliance Document Type, if "Other"		Select "Notification of Voluntary Recall" for first time submission, or "Follow-up Report" for update/correction
General Document Type	Select	
General Document Type, if "Other"		Select "General Applicability"
Compliance Document Topic *	Notification of Voluntary Recall	
Compliance Document Topic, if "Other"		If "CBI", a separate "FOI" version would need to be submitted
Confidentiality Status *	FOI	
Document Applicability *	General Applicability (don't specify any EF/VF/TGs)	
Does this document apply to one/multiple specific model year(s)? *	Yes	
Model Year +	<div> <div>2017</div> <div>2016</div> <div>2015</div> </div>	
Document Date *	<input type="text"/> select	
Title *	Remedial Plan #0001 for model ABC	
Abstract *	0001 - Remedial Plan for model ABC's OBD issue	Abstract must start with the Remedial Plan number, along with other details regarding this submission
Keyword(s) *	<div> <div>Hybrid Electric</div> <div>ICI</div> <div>IUVP</div> <div>In-Use</div> <div>Liquid cooled</div> <div>Maintenance</div> </div>	
Document Owner	Select (Select a contact from the list to populate the Document Owner fields below)	At least "In-Use" and "Recall" must be selected, in addition to other applicable keywords
Document Owner Name *		
Document Owner Phone *		
Document Owner E-Mail *		
Comments		

50:08
Click here to reset timer

Quarterly Report

EPA Manufacturer Code *	EPA	<div>Anything not addressed in this screen can be found in the Help page at the top right.</div> <div>Help</div>
Document Path and File Name *	FOI_EPA_QR_0001_BD_R00.xlsx Delete	
Path and File Name of Same Document in Alternate Format	Choose File No file chosen	
Industry *	<div>Heavy-Duty Highway Steam Turbine</div> <div>Heavy-Duty Highway Gas and Diesel Engines</div> <div>Heavy-Duty Highway Evaporative</div> <div>Heavy-Duty Highway Tractors & Vocational Vehicles</div> <div>Highway Motorcycle</div> <div>UCI</div>	<div>Select "Voluntary Emission Recall Reports"</div>
Compliance Document Type *	Voluntary Emission Recall Report	
Compliance Document Type, if "Other"	<input type="text"/>	<div>Select "Quarterly Progress Reports"</div>
General Document Type	Select	
General Document Type, if "Other"	<input type="text"/>	<div>Select "General Applicability"</div>
Compliance Document Topic *	Quarterly Progress Reports	
Compliance Document Topic, if "Other"	<input type="text"/>	
Confidentiality Status *	FOI	<div>If "CBI", a separate "FOI" version would need to be submitted</div>
Document Applicability *	General Applicability (don't specify any EF/VF/TGs)	
Does this document apply to one/multiple specific model year(s) *	Yes	
Model Year *	<div>2017</div> <div>2016</div> <div>2015</div>	
Document Date *	06/02/2016 select	
Title *	Quarterly report for Model ABC	
Abstract *	QR	
Keyword(s) *	<div>Phase 2</div> <div>Phase 3</div> <div>Recall</div> <div>Regulation</div> <div>Small Volume</div>	<div>At least "In-Use" and "Recall" must be selected, in addition to other applicable keywords</div>
Document Owner	Select (Select a contact from the list to populate the Document Owner fields below)	
Document Owner Name *		
Document Owner Phone *		
Document Owner E-Mail *		
Comments	<input type="text"/>	

[Refresh](#)

[Review & Submit](#)

Defect or Remedial Plan Supporting Documents

Anything not addressed in this screen can be found in the Help page at the top right.

[Help](#)

EPA Manufacturer Code *	EPA
Document Path and File Name *	VERR Supporting Documentation.png Delete
Path and File Name of Same Document in Alternate Format	Choose File No file chosen
Industry *	<div style="border: 1px solid black; padding: 2px;"> Aircraft All Industries All Terrain Vehicle Alternative Fuel Converter (LDV/LDT/HDV Chassis Certified) Complete Heavy-Duty Highway Vehicle </div>
Compliance Document Type *	Other
Compliance Document Type, if "Other" *	0021 - VERR attachment
General Document Type *	Presentation
General Document Type, if "Other" *	
Compliance Document Topic *	
Compliance Document Topic, if "Other" *	
Confidentiality Status *	FOI
Document Applicability *	General Applicability (don't specify any EF/VF/TGs)
Does this document apply to one/multiple specific model year(s)? *	Yes
Model Year *	<div style="border: 1px solid black; padding: 2px;"> 2017 2016 2015 </div>
Document Date *	06/02/2016 select
Title *	Supporting Documentation for <u>VERR</u> 0021
Abstract *	0021 - This file is supporting documentation for <u>VERR</u> 0021
Keyword(s) *	<div style="border: 1px solid black; padding: 2px;"> IUVP In-Use Liquid cooled Maintenance </div>
Document Owner	<div style="border: 1px solid black; padding: 2px;"> Select </div> <small>(Select a contact from the list to populate the Document Owner fields below)</small>
Document Owner Name *	
Document Owner Phone *	
Document Owner E-Mail *	
Comments	

[Refresh](#)
[Review & Submit](#)

After the submission page is correctly filled out, select “Review & Submit.” After submitting the document, if Verify accepted the submission, you will receive a message in your inbox stating so. If your submission was rejected, the inbox will also notify you with a reason for why it was reject. The inbox message may take a few minutes before arriving in your inbox. Your CDX inbox can be accessed through the left navigation bar through the “Inbox” link.

APPENDIX A

Naming a DR/RP attachment for submittal to the Verify Document Module

A name of a document file consists of four sections:

Confidentiality_ Applicability_ Information Type_ Version Indicator. suffix [file type]

Each section has multiple -elements as listed in the following table:

<p><u>Section 1</u> Confidentiality (3 characters + underscore)</p>	<p><u>Section 2</u> Applicability (3 characters + underscore)</p>	<p><u>Section 3</u> Information Type (9 characters + 3 underscores)</p>	<p><u>Section 4</u> Version Indicator (3 characters)</p>
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file after remove confidential information from a CBI file so that it is readily releasable to the public after your vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • Manufacturer Code_: the three character code used by the manufacturer in <i>VERIFY</i> 	<ul style="list-style-type: none"> • DRE_XXXX_BD_: Defect Report (1) (4) • RP#_ZZZZ_BD_: Remedial Plan (1) (4) • QR#_YYYY_BD_: Remedial Plan Quarterly Report (2)(3)(4) <p><i>Notes:</i></p> <p>(1) “XXXX_” or “ZZZZ_” should be the four digits of the DR or RP number assigned by the manufacturer.</p> <p>(2) “#” should be 1, 2, 3 or 4 indicating the quarter of the calendar year that the report applies to.</p> <p>(3) “YYYY_” should be the calendar year the report applies to.</p> <p>(4) “BD_” (Base Document) should only be changed to one of the following when a document is an <u>attachment</u> to a DR or an RP:</p> <p>ED: Emissions Data DN: Dealer Notification ON: Owner Notification RI: Repair Instructions SB: Technical Service Bulletin SL: Sample Repair Label OT: Other</p>	<ul style="list-style-type: none"> • R00: original • R01: 1 revision • R02: 2 revision • etc.