

PROPOSED REGULATORY TEXT

Proposed Regulations for the Used Mattress Recovery and Recycling Program

PROPOSED REGULATIONS

USED MATTRESS RECOVERY AND RECYCLING PROGRAM

TITLE 14: NATURAL RESOURCES
DIVISION 7. DEPARTMENT OF RESOURCES RECYCLING AND RECOVERY
CHAPTER 11. PRODUCT STEWARDSHIP
ARTICLE 3. USED MATTRESS RECOVERY AND RECYCLING PROGRAM

§18959. Purpose.

The purpose of this Article is to clarify existing statute and establish administrative procedures to efficiently and effectively implement the department's responsibilities under the law and to provide a uniform competitive business environment to all mattress manufacturers, renovators, distributors, recyclers, and retailers pursuant to Chapter 21 (commencing with section 42985), Part 3, Division 30 of the Public Resources Code.

Authority cited: Sections 40401 and 40502, Public Resources Code, Reference: Sections 42985, 42985.1, 42986, 42987, 42987.1, 42987.2, 42987.3, 42987.4, 42987.5, 42988, 42988.1, 42988.2, 42989, 42989.1, 42989.2, 42989.2.1, 42989.3, 42990, 42990.1, 42990.2, 42991, 42992, 42993, 42993.1, 42993.2, 42993.3, 42993.4, 42994, Public Resources Code.

§18960. Definitions.

(a) Except as otherwise noted, the definitions of this Article supplement and are governed by the definitions set forth in Chapter 21 (commencing with section 42985), Part 3, Division 30 of the Public Resources Code:

PROPOSED REGULATORY TEXT

1 (b) "Brand" means a name, term, symbol, design, type, Universal Registry Number
2 (URN) or any other feature that attributes a mattress to the manufacturer or renovator of
3 such mattress.

4 (c) "Collection" means any method by which a service provider receives used
5 mattresses from a program participant.

6 (d) "Operational costs" means costs to operate a mattress recycling organization's
7 mattress recycling program, including, but not limited to, collection, transportation,
8 processing, disposal, and education and outreach costs.

9 (e) "Significant or material change" includes a change in a required element of the
10 used mattress recovery and recycling plan that affects the organization's costs or
11 revenues, such as a change that results in a modification of the recycling charge, a
12 change that requires a party other than the mattress recycling organization to make a
13 major change in how it participates in the program, or a change that reduces the goals
14 set for the organization in the existing approved recycling plan.

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16 Authority cited: Sections 40101 and 40502, Public Resources Code, Reference:
17 Sections 42985, 42985.1, 42986, 42987, 42987.1, 42987.2, 42987.3, 42987.4, 42987.5,
18 42988, 42988.1, 42988.2, 42989, 42989.1, 42989.2, 42989.2.1, 42989.3, 42990,
19 42990.1, 42990.2, 42991, 42992, 42993, 42993.1, 42993.2, 42993.3, 42993.4, 42994,
20 Public Resources Code..

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22 **§18961. Used Mattress Recovery and Recycling Plan Submittal.**

23

24 (a) A corporate officer, acting on behalf of a mattress recycling organization, shall
25 submit as part of the used mattress recovery and recycling plan (plan) the following
26 information:

27 (1) Contact information of the corporate officer responsible for submitting the
28 plan to the department and for overseeing used mattress recycling program
29 activities, including, but not limited to:

30 (A) Contact name

31 (B) Title

PROPOSED REGULATORY TEXT

1 (C) Name of mattress recycling organization

2 (D) Mailing address

3 (E) Phone number

4 (F) E-mail address

5 (G) Web address, if applicable

6 (2) List contact information for each manufacturer, renovator, and retailer the
7 mattress recycling organization is composed of, including, but not limited to:

8 (A) Name of Company

9 (B) Mailing or corporate address

10 (C) Upon request by the department, the following information shall be
11 provided, if available: individual Web address, contact name, title, phone
12 number, and e-mail address of participating manufacturers, renovators,
13 and retailers. The requested information shall be submitted within 30
14 days of the request unless extended as determined by the department.

15 (3) List of brands covered under the plan.

16 (4) Any changes to the information in subsections (1), (2), and (3) of subdivision
17 (a) of this section shall be submitted to the department quarterly, or more
18 frequently as the mattress recycling organization desires, according to
19 instructions provided by the department.

20 (b) The plan may be submitted electronically according to instructions provided by the
21 department. If the plan is submitted electronically, the date of electronic submittal will be
22 considered the date of receipt by the department, provided that the organization also
23 submits to the department a hard copy submittal letter referencing the plan electronic
24 document with the signature of a corporate officer of a mattress recycling organization.

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26 Authority cited: Sections 40101 and 40502, Public Resources Code, Reference: Section
27 42985, 42986, 42987, 42987.1, 42987.2, 42987.3, Public Resources Code.

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PROPOSED REGULATORY TEXT

1 **§18962. Used Mattress Recovery and Recycling Plan.**

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3 (a) A used mattress recovery and recycling plan (plan) shall follow the standard outline
4 below and contain the following:

5 (1) Proof of Certification.

6 (2) Program Goals, Methods, and Activities. Identify program objectives
7 consistent with California's solid waste management hierarchy as required by
8 subdivision (a) of section 42987.1 of the Public Resources Code. Describe
9 how the program will meet the requirements of subdivisions (d), (g), (i), (j), (k),
10 (l), (m), (o), and (p) of section 42987.1 of the Public Resources Code. For
11 plans submitted after January 1, 2018, identify objectives and activities that
12 will comply with the state mattress recycling goals, pursuant to section
13 42987.5 of the Public Resources Code.

14 (3) Contact information per section 18961.

15 (4) Stakeholder Consultation Process per subdivision (c) of section 42987.1 and
16 42987.2 of the Public Resources Code.

17 (5) Performance Measurement. Include the requirements of subdivisions (f) and
18 (h) of section 42987.1 of the Public Resources Code.

19 (6) Financing Mechanism. Includes the requirements of subdivisions (e) of
20 section 42987.1 of the Public Resources Code, and audits per subdivision (b)
21 of section 42990 of the Public Resources Code. A mattress recycling
22 organization shall allocate revenues and expenses applicable to this program
23 in accordance with Generally Accepted Accounting Principles (GAAP).

24 (7) Education and Outreach. Describe education and outreach efforts as
25 required by subdivision (n) of section 42987.1 of the Public Resources Code,
26 including methods of distribution. The plan may also include a description of
27 education and outreach efforts to all parties affected by the program and may
28 include additional options available for consumers to dispose of their used
29 mattresses, such as mattress renovation.

30 (8) Advisory Committee Report. Include the report by the mattress recycling
31 organization advisory committee as required by subdivision (q) of section

PROPOSED REGULATORY TEXT

1 42987.1 of the Public Resources Code. The mattress recycling organization
2 may include a description of how it addressed the points or recommendations
3 raised in the Advisory Committee Report.

4 **(b)** The mattress recycling organization submitting the plan shall provide, upon
5 request, additional information that is reasonably related to compliance with the
6 recycling plan and that the organization can reasonably compile to assist the
7 department as may be necessary for the approval of the plan.

8 **(c)** The department shall determine if the plan is complete and notify the submitting
9 mattress recycling organization within 30 days of receipt of the plan. If the department
10 finds that the plan is complete, the department's 90-day review period for consideration
11 of approval of the plan, set forth in section 42987.3 of the Public Resources Code, will
12 commence upon the original date of receipt. If the plan is incomplete, the department
13 shall identify what additional information shall be submitted to make it complete and the
14 plan shall be resubmitted within not less than 30 days or as determined by the director.
15 If the department determines upon resubmittal that the plan is complete, the
16 department's 90-day review period for consideration of approval of the plan will
17 commence upon the original date of receipt of the resubmittal.

18 **(d)** If the department conditionally approves a plan, the department shall identify the
19 deficiencies in the plan and the mattress recycling organization shall comply with the
20 conditions of approval within not less than 60 days or as determined by the director of
21 the notice date. If the conditions are met, the department shall approve the plan.

22 **(e)** If the department conditionally approves a plan and the conditions are not met, the
23 department shall disapprove the plan.

24 **(f)** If the department disapproves a plan, the department shall identify the deficiencies
25 in the plan and the mattress recycling organization shall resubmit a plan or provide
26 supplemental information requested within not less than 60 days of the notice date or as
27 determined by the director.

28 **(g)** The mattress recycling plan shall be submitted for re-approval upon any significant
29 or material change, as defined. The department shall review the revised plan within 90
30 days of receipt. The department may approve, disapprove, or conditionally approve the
31 revised plan. The department may also require the mattress recycling organization to

PROPOSED REGULATORY TEXT

1 resubmit a revised mattress recycling budget if there is a significant or material change,
2 as defined.

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4 Authority cited: Sections 40401 and 40502, Public Resources Code, Reference:
5 Sections 42985, 42986, 42987, 42987.1, 42987.2, 42987.3, 42989.1, 42989.2,
6 42989.2.1, 42989.3, Public Resources Code.

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8 **§18963. Mattress Recycling Charge and Annual Budget.**

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10 (a) A corporate officer, acting on behalf of a mattress recycling organization, shall
11 submit a used mattress recycling program budget on or before July 1, 2015, and
12 on or before July 1 annually thereafter. The annual budget may be submitted
13 electronically according to instructions provided by the department. If the annual
14 budget is submitted electronically, the date of electronic submittal will be
15 considered the date of receipt by the department, provided that the organization
16 also submits to the department a hard copy submittal letter referencing the annual
17 budget electronic document with the signature of a corporate officer of a mattress
18 recycling organization.

19 (b) In addition to the requirements of subdivisions (a), (b), and (c) of section 42988 of
20 the Public Resources Code, the information submitted in the used mattress
21 recycling program budget shall contain the following:

- 22 (1) Contact information. Identify the corporate officer of the mattress recycling
23 organization responsible for annual used mattress program budget submittal.
- 24 (2) Anticipated revenues and costs. Describe anticipated revenues and costs of
25 implementing the program, including related programs, projects, contracts,
26 and administrative expenses.
- 27 (3) Mattress recycling charge and itemization. Identify the amount of the mattress
28 recycling charge, including an itemization of costs that each charge covers.
- 29 (4) For used mattress recycling program budgets submitted July 1, 2017 all
30 actual expenses incurred to date shall be included. For annual reports
31 submitted thereafter, previous two years of actual expenses shall be included.

PROPOSED REGULATORY TEXT

1 Authority cited: Sections 40101 and 40502, Public Resources Code, Reference:
2 Sections 42985, 42986, 42987, 42988, 42988.1, 42988.2, 42989, 42989.1, 42989.2,
3 42989.2.1, 42989.3, Public Resources Code.

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5 **§18964. Mattress Recycling Organization Annual Report.**

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7 (a) The mattress recycling organization annual report shall be submitted by a
8 corporate officer acting on behalf of a mattress recycling organization that is operating a
9 used mattress recycling program under a department-approved used mattress recovery
10 and recycling plan. The annual report may be submitted electronically according to
11 instructions provided by the department. If the annual report is submitted electronically,
12 the date of electronic submittal will be considered the date of receipt by the department,
13 provided that the organization also submits to the department a hard copy submittal
14 letter referencing the annual report electronic document with the signature of a
15 corporate officer of a mattress recycling organization.

16 (b) The annual report shall follow the outline below and contain the following:

17 (1) Contact information. Identify the corporate officer of the mattress recycling
18 organization responsible for annual report submittal.

19 (2) Executive Summary. The purpose of the Executive Summary is to provide a
20 broad understanding of the mattress recycling organization's program as a
21 whole and to put into context the data and information that will follow. Provide
22 a brief description of the mattress recycling organization's used mattress
23 recovery efforts during the reporting period pursuant to section 18962.

24 (3) A description of the methods used to collect, transport, and process used
25 mattresses in California.

26 (4) Include an updated list of participating manufacturers, renovators, and
27 retailers and any updates to their respective contact information per section
28 18961(a)(2) and an updated list of brands covered under the plan per section
29 18961(a)(3).

PROPOSED REGULATORY TEXT

- 1 (5) Description of how consumers of mattresses in California had an opportunity
2 to recycle and properly manage their used mattresses, including the number,
3 location, and type of collection points in the program.
- 4 (6) May include a description of activities followed by program participants to
5 ensure proper collection and management of used mattresses.
- 6 (7) A description of methods used by the mattress recycling organization to
7 coordinate with existing used mattress collection and recycling programs with
8 regard to the proper management or recycling of discarded or abandoned
9 mattresses.
- 10 (8) Description of objectives and activities based on the used mattress recovery
11 and recycling plan. State objectives from the approved plan and report on
12 achievement during the reporting period. Describe any adjustments to
13 objectives stated in the approved plan that may be made for the upcoming
14 reporting period and accompanying rationale for those changes. If any changes
15 are significant or material, as defined, the mattress recycling organization shall
16 amend and resubmit its plan for approval by the department. The annual report
17 shall include:
- 18 (A) Quantitative information on subdivisions (b), (c), (d), (e), (f), (g), and (j)
19 section 42990.1 of the Public Resources Code, including conversion
20 factor(s), if used.
- 21 (B) Qualitative and/or quantitative information on subdivisions (g), (l), and
22 (m) of section 42987.1 of the Public Resources Code.
- 23 (9) Financing Mechanism. Include the mattress recycling organization's total
24 expenses and revenues associated with the implementation of the used
25 mattress recycling program. Changes to the mattresses recycling charge shall
26 be reflected in the annual program budget for approval by the department. If a
27 mattress recycling organization changes the amount of the mattress recycling
28 charge in the first 12 months during which the mattress recycling charge is
29 being collected per subsection (1) of subdivision (c) of section 42989 of the
30 Public Resources Code, the mattress recycling organization shall provide the
31 department no less than 90 days' notice before the change in the amount of the

PROPOSED REGULATORY TEXT

1 mattress recycling charge takes place. If a mattress recycling organization
2 conducts activities that are separate from the implementation and management
3 of the California used mattress recycling program, then the annual report shall
4 include documentation on how the collection and use of funds from the
5 California mattress recycling charge were kept separate from other activities of
6 the mattress recycling organization, including the methodology for distribution
7 of shared costs. Consistent with subdivision (a) of section 42990.1 of the Public
8 Resources Code, the annual report shall include the following:

9 (A) Mattress recycling charge per mattress size

10 (B) Capital costs

11 (C) Education/Outreach costs

12 (D) End-of-life used mattress management costs with line items, if
13 applicable, for collection, transportation, recycling, renovating, reuse,
14 and proper disposal

15 (E) Program administration costs including, but not limited to, the
16 department's costs pursuant to subdivision (a) of section 42988.2 of the
17 Public Resources Code, and third party legal costs. Surplus funds, if
18 any, and detailed rationale for the specified level of surplus.

19 (F) For the first 12 months during which the mattress recycling charge was
20 collected, include a description of any changes to the amount of the
21 mattress recycling charge, and how implementation of the change
22 complied with subsection (1) or (2) of subdivision (c) of section 42989 of
23 the Public Resources Code, if applicable. The mattress recycling
24 organization may also include a description of why the change was
25 made.

26 (10) Education and Outreach. Provide a description of educational materials that
27 were provided to program participants, including electronic examples of these
28 materials. Identify any method(s) used to determine the effectiveness of
29 educational and outreach efforts (e.g., surveys, hits on specific web pages,
30 number of participants at events, etc.), if applicable. Describe any changes to
31 those materials that are planned for subsequent years, if applicable.

PROPOSED REGULATORY TEXT

1 (11) Audits. The annual report shall include an independent financial audit of the
2 used mattress recovery and recycling program funded from the mattress
3 recycling charge. The audit shall be conducted in accordance with auditing
4 standards generally accepted in the United States of America, and standards
5 set forth in Government Auditing Standards issued by the Controller General of
6 the United States. The financial audit submitted to the department shall be
7 prepared by an Independent Certified Public Accountant (CPA). The CPA shall
8 not perform non-audit services for the mattress recycling organization that
9 would impair independence as defined in the Government Auditing Standards
10 issued by the Controller General of the United States (e.g., accounting
11 services, development of internal controls, management decisions). The
12 independent financial audit shall include:

13 (A) Mattress recycling program financial statements, as required by GAAP.

14 (B) An opinion on the mattress recycling organization's compliance with the
15 financial aspects of Chapter 21 (commencing with section 42985), Part
16 3, Division 30 of the Public Resources Code and Title 14, Division 7,
17 Chapter 11, Article 3 of the California Code of Regulations.

18 (C) Findings and recommendations as they relate to the financial aspects of
19 the program.

20 (D) Management Letter, if issued, by the mattress recycling organization's
21 CPA.

22 (12) Advisory Committee Report. The annual report shall include the report of the
23 Advisory Committee required by subdivision (k) of section 42990.1 of the Public
24 Resources Code.

25 (13) Good faith effort. For annual reports submitted on and after July 1, 2019, a
26 demonstration of good faith effort with the state mattress recycling goals
27 established pursuant to section 42987.5 (b) of the Public Resources Code.

28 (c) The department shall determine if the annual report is complete and notify the
29 submitting mattress recycling organization within 30 days. If the department finds
30 that the plan is complete, the department's 60-day review period for consideration of
31 approval of the annual report will commence upon the original date of receipt. If the

PROPOSED REGULATORY TEXT

1 annual report is incomplete, the department shall identify what additional information
2 shall be submitted to make it complete and the annual report shall be resubmitted
3 within not less than 60 days or as determined by the director. If the department
4 determines upon resubmittal that the annual report is complete, the department's 60-
5 day review period for consideration of approval of the annual report will commence
6 upon the original date of receipt of the resubmittal. The department may adopt a
7 determination of compliance or non-compliance by approving, disapproving, or
8 conditionally approving the annual report.

9 (1) If the department conditionally approves the annual report, the department
10 shall identify the deficiencies in the annual report and the mattress recycling
11 organization shall comply with the conditions of approval within not less than
12 60 days of the notice date or as determined by the director. If the conditions
13 are met, the department shall approve the annual report.

14 (2) If the department disapproves the annual report, the department shall identify
15 the deficiencies in the annual report and the mattress recycling organization
16 shall resubmit an annual report or provide supplemental information
17 requested within not less than 60 days of the notice date or as determined by
18 the director.

19 (3) If the department conditionally approves an annual report and the conditions
20 are not met, the department shall disapprove the annual report.

21
22 Authority cited: Sections 40401 and 40502, Public Resources Code, Reference:
23 Sections 42985, 42986, 42987.5, 42990, 42990.1, 42990.1, Public Resources Code.

24 25 **§18965. Used Mattress Recycler Annual Report.**

26
27 (a) An annual report shall be submitted to the department and the mattress recycling
28 organization by a person that is engaged in business as a used mattress recycler. The
29 annual report may be submitted electronically according to instructions provided by the
30 department. A hard copy, signed by a corporate officer of a mattress recycler shall be
31 submitted to the department upon request.

PROPOSED REGULATORY TEXT

1 (b) The annual report shall contain the following:

2 (1) Contact information. Identify the corporate officer of the mattress recycler
3 responsible for annual report submittal.

4 (2) Quantitative information on the number of used mattresses received from
5 California sources and out of state sources and recycled in the state during the
6 preceding calendar year. Conversion factor(s), if used, shall also be provided.

7 (3) Quantitative information on the number of used mattresses from California
8 sources and sent out of state for recycling or other method of disposition.

9 (4) Other information deemed necessary by the department that is reasonably
10 related to compliance with this chapter and that can be reasonably compiled.

11

12 Authority cited: Sections 40401 and 40502, Public Resources Code, Reference:
13 Sections 42985, 42986, 42987, 42991, Public Resources Code.

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15 **§18966. Used Mattress Renovator Annual Report.**

16

17 (a) An annual report shall be submitted to the department and the mattress recycling
18 organization by a person that is engaged in business as a used mattress renovator. The
19 annual report may be submitted electronically according to instructions provided by the
20 department. A hard copy, signed by a corporate officer of a mattress recycler shall be
21 submitted to the department upon request.

22 (b) The annual report shall contain the following:

23 (1) Contact information. Identify the corporate officer of the mattress renovator
24 responsible for annual report submittal.

25 (2) Quantitative information on the number of used mattresses received from
26 California sources and out of state sources and renovated in the state during
27 the preceding calendar year. Conversion factor(s), if used, shall also be
28 provided.

29 (3) Quantitative information on the number of used mattresses generated in
30 California and sent out of state for renovation or other method of disposition.

PROPOSED REGULATORY TEXT

1 (4) Other information deemed necessary by the department that is reasonably
2 related to compliance with this chapter and that can be reasonably compiled.

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4 Authority cited: Sections 40401 and 40502, Public Resources Code, Reference:
5 Sections 42985, 42986, 42987, 42991, Public Resources Code.

6 7 **§18967. Solid Waste Facility Annual Report.**

8
9 (a) An annual report shall be submitted by a person that is engaged in business as an
10 operator of a solid waste facility to the department and the mattress recycling
11 organization. The annual report may be submitted electronically according to
12 instructions provided by the department. A hard copy, signed by a designated
13 representative of a solid waste facility shall be submitted to the department upon
14 request.

15 (b) The annual report shall contain the following:

16 (1) Contact information. Identify the designated representative of the solid waste
17 facility responsible for annual report submittal.

18 (2) The number of used mattresses disposed of at the site in the preceding
19 calendar year and the number of mattresses the facility recycled, renovated, or
20 sent away to be recycled or renovated in the preceding calendar year. Facility
21 operators are required to count, track, and report on each mattress they
22 observed during the normal operation of the facility. Facility operators are not
23 required to do additional sorting or processing to find a mattress that was an
24 incidental part of a load, or that could not be counted or observed upon receipt.

25
26 Authority cited: Sections 40401 and 40502, Public Resources Code, Reference:
27 Sections 42985, 42986, 42987, 42991, Public Resources Code.

PROPOSED REGULATORY TEXT

1 **§18968. Mattress Recycling Organization Advisory Committee Annual Report.**

2
3 (a) An annual report shall be submitted by a designee of the mattress recycling
4 organization advisory committee, established pursuant to subsection (3) of subdivision
5 (a) of section 42987 of the Public Resources Code to the mattress recycling
6 organization no later than 30 days prior to when the annual report is due to the
7 department. The annual report may be submitted electronically according to instructions
8 provided by the department. A hard copy, signed by a designated representative of the
9 advisory committee shall be submitted to the mattress recycling organization.

10 (b) The annual report shall contain the following:

11 (1) Contact information. Identify the designated representative of the advisory
12 committee responsible for annual report submittal and each member of the
13 advisory committee, including member name and company/affiliation.

14 (2) A summary of the consultative process between the advisory committee and
15 the mattress recycling organization relating to the ongoing implementation of
16 the plan, as well as any other information deemed pertinent by the advisory
17 committee to maximize the recovery and recycling of used mattresses in the
18 state, per subdivision (k) of section 42990.1 the Public Resources Code.

19
20 Authority cited: Sections 40401 and 40502, Public Resources Code, Reference:
21 Sections 42985, 42986, 42987, 42990.1, Public Resources Code.

22 23 **§18969. Records.**

24
25 Each mattress recycling organization, manufacturer, renovator, retailer, recycler, and
26 distributor required to comply with Chapter 21 (commencing with section 42985), Part 3,
27 Division 30 of the Public Resources Code shall:

28 (a) Maintain records to support the requirements in this Article.

29 (1) Mattress recycling organizations shall maintain records to support section
30 18962.

PROPOSED REGULATORY TEXT

1 (2) Retailers, renovators, recyclers and distributors shall provide access to existing
2 records on all mattresses sold or offered for sale in the state including:

3 (A) The manufacturer of the mattress.

4 (B) The date(s) the retailer purchased the mattress from the manufacturer.

5 (C) The date(s) the retailer sold the mattress.

6 (D) Certification letter(s) from the department, if provided by a manufacturer,
7 to demonstrate that the mattress from the manufacturer is or was subject
8 to a department-approved mattress recycling plan. A retailer shall
9 provide access to a certification letter only if it is being used as proof of
10 compliance, pursuant to subdivision (b) of section 42993 of the Public
11 Resources Code that a manufacturer not listed on the department's
12 internet website is in compliance and may sell or offer for sale
13 mattresses in California.

14 (b) Provide the department with reasonable and timely access, as determined by the
15 department, to its facilities, operations, and any relevant records necessary to
16 determine compliance with this Article, upon request.

17 (1) Manufacturers, renovators, retailers, distributors, and recyclers will maintain
18 and provide access to records required by this Article for 3 years.

19 (2) Mattress recycling organizations will maintain and provide access to records
20 required by this Article for 3 years after submission of the annual report which
21 relies upon those records.

22 (c) The department may take enforcement action against any mattress recycling
23 organization, manufacturer, renovator, retailer, recycler, or distributor who fails to
24 provide the department with access pursuant to this section and subdivision (c) of
25 section 42993.3 of the Public Resources Code.

26 (d) In addition to the provisions in subdivision (c) of section 42987.3 of the Public
27 Resources Code, records supplied to the department pursuant to this Article that are, at
28 the time of submission, claimed to be proprietary, confidential, or trade secret shall be
29 subject to the provisions in Title 14, California Code of Regulations, Division 7, Chapter
30 1, Article 4 (commencing with section 17041).

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PROPOSED REGULATORY TEXT

1 Note: Authority cited: Sections 40401 and 40502, Public Resources Code; and Section
2 6253, Government Code. Reference: Sections 42985, 42986, 42987. 42987.1, 42987.2,
3 42987.3, 42987.4, 42987.5, 42988, 42988.1, 42988.2, 42990, 42990.1, 42990.2, 42991,
4 42993.2, 42993.3, Public Resources Code and Sections 6250 et seq., Government
5 Code.

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7 **§18970. Criteria to Impose a Civil Penalty.**

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9 In assessing or reviewing the amount of civil penalty imposed for a violation of this
10 article, the department or the court shall consider the totality of the circumstances,
11 which may include, but is not limited to, the following:

12 (a) The nature, circumstances, extent, and gravity of the violation(s).

13 (b) The number and severity of the violation(s).

14 (c) Evidence that the violation was intentional, knowing, or negligent.

15 (d) The size of the violator.

16 (e) History of violation(s) of the same or similar nature.

17 (f) The willfulness of the violator's misconduct.

18 (g) Whether the violator took good faith measures to comply with this chapter and the
19 period of time over which these measures were taken.

20 (h) Evidence of any financial gain resulting from the violation(s).

21 (i) The economic effect of the penalty on the violator.

22 (j) The deterrent effect that the imposition of the penalty would have on both the
23 violator and the regulated community.

24 (k) Any other factor that justice may require.

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26 Note: Authority cited: Sections 40401 and 40502, Public Resources Code. Reference:
27 Sections 42985, 42986, 42993, 42993.1, 42993.2, 42993.3, Public Resources Code.

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PROPOSED REGULATORY TEXT

1 **§18971. Procedure for Imposing Civil Penalties.**

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3 (a) Civil penalties may be administratively imposed in accordance with the procedures
4 outlined in the Administrative Procedure Act at Article 10 of Chapter 4.5 (commencing
5 with section 11445.10) of Part 1 of Division 3 of Title 2 of the Government Code.

6 (b) The accusation or complaint and all accompanying documents may be served on
7 the respondent by the following means:

8 (1) Personal service.

9 (2) Substitute service by using the same service procedures as described in
10 section 415.20 of the Code of Civil Procedure.

11 (3) Certified Mail: For respondents who have submitted a mattress recycling plan,
12 certified mail or registered mail if the letter containing the accusation or
13 complaint and accompanying material is mailed, addressed to the respondent
14 at the latest facility or mailing address(es) on file with the department. Proof of
15 service of the accusation or complaint shall be the certified mail receipts or
16 registered mail receipts proving the accusation or complaint and
17 accompanying materials were sent to respondent by certified mail or
18 registered mail. For respondents who have not submitted or are not required
19 to submit a mattress recycling plan to the department, certified mail or
20 registered mail pursuant to the procedures indicated in the Administrative
21 Procedure Act at subdivision (c) of section 11505 of the Government Code
22 applies.

23 (c) Civil penalties may be imposed pursuant to subdivision (a) of section 42993.1 of
24 the Public Resources Code.

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26 Note: Authority cited: Sections 40401 and 40502, Public Resources Code. Reference:
27 Sections 42985, 42986, 42993, 42993.1, 42993.2, 42993.3, Public Resources Code;
28 and Section 11500, Government Code.

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