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# Recycler Operating and Recordkeeping Manual



California Department of Resources Recycling and Recovery

**June 17, 2014 (Revised)**

**S T A T E   O F   C A L I F O R N I A**

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# Introduction

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The Department of Resources Recycling and Recovery (CalRecycle), Division of Recycling (DOR) prepared this manual to ensure that certified participants understand the operating requirements of the California Beverage Container Recycling and Litter Reduction Act (Act) and Title 14 of the California Code of Regulations (Regulations/14CCR). This manual is intended to act as a reference tool on how to apply the recordkeeping and accounting requirements to the day-to-day operations of a recycling center. For specific instructions on how to complete various shipping reports, or how to file amended or supplementary reports, please refer to the [Participant Manual for Certified Processors & Certified Recycling Centers](#).

The Act and CCR are referenced throughout the manual. Please visit the CalRecycle website at [www.calrecycle.ca.gov](http://www.calrecycle.ca.gov) for the latest version of the Act and CCR. The manual is not intended to replace the Act or CCR. Please note that this manual may change with each revision of the Act and/or CCR. While efforts have been made to ensure accuracy, any errors or omissions in the manual do NOT relieve recycling centers from operating in full compliance with the Act and CCR. If there are any inconsistencies between this manual and the Act and/or CCR, the inconsistent language in this manual will be deemed void, and the Act and/or CCR will be controlling. It is the participants' responsibility to know and follow all regulations, information, and notices supplied to you by CalRecycle to assure your full compliance.

This manual and the [Participant Manual for Certified Processors & Certified Recycling Centers](#) are available on the CalRecycle website under Beverage Containers and Publications.

If you have any questions regarding the requirements contained in this manual or any other questions related to the California Beverage Container Recycling Program, please contact CalRecycle at the offices listed below.

## If you have specific questions, please contact:

<b>Certification Unit</b> 801 K Street, MS 15-59 Sacramento, CA 95814-3533 PH: (916) 324-8598 FAX: (916) 319-7153	<ul style="list-style-type: none"><li>▪ Certificates, certification signs and decals</li><li>▪ Operational and notification requirements (changes in operation, name, address, phone number, and/or hours of operation)</li></ul>
<b>Recycler Education and Examination Unit</b> 801 K Street, MS 15-59 Sacramento, CA 95814-3533 PH: (916) 324-8598 FAX: (916) 319-7153	<ul style="list-style-type: none"><li>▪ DORIIS Training</li><li>▪ Recycler Operational and Recordkeeping Training</li></ul>
<b>Technical Assistance and Review Unit</b> <b>Sacramento Field Office</b> 801 K Street, MS 15-59	<ul style="list-style-type: none"><li>▪ Receipts/logs, payments, reporting &amp; audits – contact the corresponding field office</li><li>▪ Predatory pricing complaints</li></ul>

<p>Sacramento, CA 95814 PH: (916) 327-7361</p> <p><b>Los Angeles Field Office</b> 5777 W. Century Blvd., Suite 1555 Los Angeles, CA 90045 PH: (310) 342-6111</p> <p><b>San Diego Field Office</b> 1350 Front Street, Room 6006 San Diego, CA 92101</p>	<ul style="list-style-type: none"> <li>▪ Recycler and processor operations and recordkeeping training</li> </ul>
<p><b>Recycler Inspections Unit</b> PH: (916) 324-5392</p>	<ul style="list-style-type: none"> <li>▪ Notices of Non-Compliance / Tickets</li> <li>▪ Recycler inspection procedure training</li> <li>▪ Complaints about noncertified and certified recyclers</li> </ul>
<p><b>1-800-RECYCLE</b> <a href="http://calrecycle.ca.gov/BevContainer/">http://calrecycle.ca.gov/BevContainer/</a></p>	<ul style="list-style-type: none"> <li>▪ Location of nearest beverage container programs</li> </ul>
<p><b>Convenience Zone Unit</b> Handling fee payment status PH: (916) 322-2234 Email: <a href="mailto:HfPaymentStatus@calrecycle.ca.gov">HfPaymentStatus@calrecycle.ca.gov</a> Handling fee site eligibility PH: (916) 322-2231 Email: <a href="mailto:HfSiteEligibility@calrecycle.ca.gov">HfSiteEligibility@calrecycle.ca.gov</a> Convenience zone (CZ) exemptions and general questions: PH: (916) 322-3909, Email: <a href="mailto:Kassandra.Pizzi@CalRecycle.ca.gov">Kassandra.Pizzi@CalRecycle.ca.gov</a> Supermarket and dealer status: PH: (916) 322-2582, Email: <a href="mailto:Kimberly.Walton@CalRecycle.ca.gov">Kimberly.Walton@CalRecycle.ca.gov</a></p>	<ul style="list-style-type: none"> <li>• Maintains the database that tracks dealers, supermarkets, and convenience zones</li> <li>• Determines handling fee eligibility</li> <li>• Evaluates convenience zone exemptions and revocations</li> <li>• Processes handling fee payments</li> </ul>
<p><b>Industry Services Section</b> Questions from existing/registered accounts Email: <a href="mailto:clientservices@CalRecycle.ca.gov">clientservices@CalRecycle.ca.gov</a> Questions from potential registration applicants Email: <a href="mailto:reg.crvlabeling@CalRecycle.ca.gov">reg.crvlabeling@CalRecycle.ca.gov</a> Reporting &amp; Payment PH: (916) 323-1837 Registration, Product Determination/Labeling Assistance PH: (916) 323-1835</p>	<ul style="list-style-type: none"> <li>▪ Beverage Manufacturers and Distributors</li> </ul>
<p><b>Field Survey Section</b> 801 K Street, MS 17-24 Sacramento, CA 95814 PH: (916) 327-2769 FAX: (916) 445-0645</p>	<ul style="list-style-type: none"> <li>▪ Information on individualized commingled rates</li> </ul>
<p><b>State Department of Food and Agriculture</b> PH: (916) 229-3000</p>	<ul style="list-style-type: none"> <li>▪ Scales – requirements to be certified or “sealed”</li> </ul>
<p><b>Grants/Regional Recycling Assistance Section</b> PH: (916) 322-0613 FAX: (916) 322-8758 Email: <a href="mailto:BevContainerGrants@CalRecycle.ca.gov">BevContainerGrants@CalRecycle.ca.gov</a></p>	<ul style="list-style-type: none"> <li>▪ Grants for recycling and litter abatement to organizations, governmental agencies, school districts, individual schools, special districts, joint powers authorities, and community conservation corps</li> </ul>
<p><b>Market Research Branch</b> PH: (916) 323-5778</p>	<ul style="list-style-type: none"> <li>▪ Quality Glass Incentive Payments</li> </ul>
<p><b>Market Development Section</b> PH: (916) 323-5878 FAX: (916) 445-0645</p>	<ul style="list-style-type: none"> <li>▪ Recycled aluminum, PET, glass, and steel market information “Market Connection” – Directory of equipment supplies,</li> </ul>

	<p>brokers, products made from recycled beverage container materials, and affiliated industry organizations</p> <ul style="list-style-type: none"> <li>▪ Curbside recycling and registration numbers</li> <li>▪ Approval of alternative methodology</li> <li>▪ Curbside supplement payment</li> </ul>
<p><b>DORIIS Support Section</b>  Recyclers &amp; Processors:  PH: (916) 322-1655  Beverage Manufacturers &amp; Distributors:  PH: (916) 445-1928  Email: <a href="mailto:Recyclers@calrecycle.ca.gov">Recyclers@calrecycle.ca.gov</a></p>	<ul style="list-style-type: none"> <li>▪ DORIIS Help Desk Questions</li> </ul>
<p><b>Recycler Enforcement</b>  PH: 1-866-CANLOAD (226-5623)  Email: <a href="mailto:investigations@calrecycle.ca.gov">investigations@calrecycle.ca.gov</a></p>	<ul style="list-style-type: none"> <li>▪ Fraud Tip Line</li> <li>▪ To report suspicious recycling activities</li> </ul>

# Requirements of a Certified Recycling Center

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## ***Notification Requirements – 14CCR, Section 2505(a)***

Operators of certified recycling centers must notify the Division of Recycling in writing within ten (10) calendar days prior to any of the following events:

1. Change of name under which the recycling center is doing business.
2. Change of business address, mailing address, or phone number of operator.
3. Separation from parent company, if applicable.
4. Merger with another company.
5. Discontinuance of operation.
6. Dissolution of the organization type identified in the application for certification.
7. Change in the type of redeemable beverage containers accepted.
8. Any change in the hours of operation as presented in the application for certification or by subsequent notification to the Division of Recycling.
9. For recycling centers which consist of reverse vending machines, a change in the method approved by the Division of Recycling for redeeming empty beverage containers which are odd-sized, made of materials other than aluminum, glass, and plastic, or otherwise not accepted by the reverse vending machine.
10. Change in the agent for service of process, if applicable.
11. Change in the type of organization.
12. Change in the name of the contact person for the operator.
13. Change in corporate officers, if applicable.
14. Change in the name of the organization.
15. Any change in business ownership.

If you operate a recycling center at a supermarket location, you must notify the Division of Recycling in writing within ten (10) working days if the supermarket or dealer closes. You also must notify the Division of Recycling in writing within five (5) calendar days if the recycling center moves within the supermarket or dealer's parking lot.

Written notification should be sent to the following address or FAX number:

Beverage Container Recycling Program  
Certification, Assistance, and Review Section  
801 K Street, MS 15-59  
Sacramento, CA 95814-3533  
FAX: (916) 319-7153

### ***Sign Posting Requirements – 14CCR, Section 2065(a) and 2500(b)(c)***

The signs for *Certification*, *Open for Business*, *Hours of Operation*, and *Price* should meet the following requirements.

<b><i>Certification</i></b> Section 2065(a)	<b><i>Purpose</i></b> This sign is provided by the Division once the facility becomes operational. <b><i>Location</i></b> Must be prominently displayed where it can be viewed by consumers approaching the recycling center.
<b><i>Open for Business</i></b> Section 2500(b)	<b><i>Purpose</i></b> This sign must identify, for consumers, that you are open for business. <b><i>Location</i></b> Must be prominently displayed where it can be viewed by consumers approaching the recycling center. <b><i>Size</i></b> Two feet by two feet (2' x 2') or 576 square inches (minimum size) (see Figure 2).
<b><i>Hours of Operation</i></b> Section 2500(e)(1)	<b><i>Purpose</i></b> This sign must identify, for consumers, the hours during which your facility is open for business. <b><i>Location</i></b> Must be in a conspicuous place, easily viewed by consumers. A sign indicating your hours should be visible when your facility is not open. If this cannot be accomplished with one sign, you should use two <i>Hours of Operation</i> signs. <b><i>Size</i></b> No size requirements (see Figure 1).
<b><i>Price</i></b> Section 2500(e)(2)	<b><i>Purpose</i></b> This sign must identify, for consumers, the California Refund Value (CRV) prices paid by weight or per container and by material type, and provide information about adjustment of payment for contaminated loads. <b><i>Location</i></b> At the site where the weighing takes place. <b><i>Size</i></b> Two feet by two feet (2' x 2') or 576 square inches (see Figure 3).
<b><i>Additional Required Wording</i></b> Section 2500(e)(2)(B)	This sign must state the following: Refund is not paid for packaging, contamination such as dirt or moisture, nor for beverage containers not properly labeled with the "California Redemption Value," "CA Redemption Value," "California Cash Refund," or "CA CRV" message. <ul style="list-style-type: none"><li>• This recycler will discount the refund value, and may discount scrap value for loads of containers which include nonredemption material.</li><li>• The consumer has the right to:<ol style="list-style-type: none"><li>a. Accept a discounted refund and/or scrap price.</li><li>b. Separate refund from nonrefund material.</li><li>c. Take material back.</li></ol></li></ul>

The signs of *Open for Business*, *Hours of Operation* and *Price* may be combined into one sign, provided that the sign meets all of the above individual requirements. For any questions regarding notification requirements, sign posting requirements, and other issues, please call the Certification Unit at (916) 324-8598. You may also call this number for assistance by Spanish-speaking CalRecycle staff.

Business Hours	
Monday	8 a.m. to 5 p.m.
Tuesday	8 a.m. to 5 p.m.
Wednesday	8 a.m. to 5 p.m.
Thursday	8 a.m. to 5 p.m.
Friday	8 a.m. to 5 p.m.
Saturday	9 a.m. to 4 p.m.
Sunday	10 a.m. to 3 p.m.

Figure 1: Hours of Operation Sign



Figure 2: Open for Business Sign

MATERIAL TYPE	FULLY SEGREGATED PER POUND	CRV PER CONTAINER	
		UNDER 24 OZ \$0.05/each	24 OZ & OVER \$0.10/each
Aluminum	\$1.59	<ul style="list-style-type: none"> <li>Refund is not paid for packaging, contamination such as dirt or moisture, nor beverage containers not properly labeled with any of the following messages:               <ol style="list-style-type: none"> <li>“California Redemption Value”</li> <li>“CA Redemption Value”</li> <li>“California Cash Refund”</li> <li>“CA Cash Refund”</li> <li>“CA CRV”</li> </ol> </li> <li>This recycler will discount the refund value, and may discount scrap value for loads of containers which include non-redemption material,</li> <li>The consumer has the right:               <ol style="list-style-type: none"> <li>Accept a discounted refund and/or scrap price.</li> <li>Separate refund from non-refund material.</li> <li>Take material back.</li> </ol> </li> </ul>	
Glass	\$0.104		
Plastics:			
#1 PET (Polyethylene Terephthalate)	\$1.07		
#2 HDPE (High Density Polyethylene)	\$0.60		
#3 PVC (Vinyl)	\$1.33		
#4 LDPE (Low Density Polyethylene)	\$2.00		
#5 PP (Polypropylene)	\$0.60		
#6 PS (Polystyrene)	\$5.44		
#7 Other (Includes pouches and unspecified resins)	\$0.31		
Bimetal	\$0.32		
<b>REFUND VALUES AS OF 11/1/2013</b> <b>REFUND VALUES SUBJECT TO CHANGE</b>			

Figure 3: Price Sign

# Inspection and Purchase Procedures

## ***Beverage Container Eligibility Determination***

Before beverage containers are purchased from consumers, the recycling center must inspect loads and determine if the containers are eligible for any refund value. An empty beverage container is eligible for refund value if **ALL** of the following requirements are satisfied:

- 1. The container is made of aluminum, glass, plastic or bimetal**

Plastic container types are distinguished by code numbers 1 through 7 indicated inside the “swirling arrows” triangle on the bottom of each plastic container. **Unidentified resins (no “swirling arrows” triangle on container) should be receipted as code 7, OTHER.**



- 2. The container has been opened**

The seal or closure installed by the manufacturer has been broken or removed.

- 3. Contamination has been removed**

Beverage containers should not contain foreign materials such as rocks, sand, cigarettes, etc., other than the residue of the beverage originally packaged. Refund value is not payable for excess moisture and/or residue. If the beverage containers are dirty or contaminated, be sure to either tell the consumer to take the containers back or reduce the amount of refund value paid by a percentage of shrinkage (see Calculate/Record shrinkage on pages 19-21).

- 4. The CRV message is on the beverage container**

One of the following messages must be printed or embossed on the container or a clear stamp or label must be affixed to the container. Aluminum and bimetal containers typically have the message on the lid. Glass and plastic bottles usually have the message on the product label.

Example of CRV label below



- *California Redemption Value*
- *CA Redemption Value*
- *California Cash Refund*
- *CA Cash Refund*
- *CA CRV*

If a container is labeled but does not contain an eligible beverage product, please pay the consumer the CRV payment appropriate for the material type and size of the container. Contact the Registration Unit immediately. Please send your questions on any product determination or labeling inquiries to: [reg.crvlabeling@calrecycle.ca.gov](mailto:reg.crvlabeling@calrecycle.ca.gov), via fax transmittal at (916) 319-7400, or contact (916) 323-1835. You may submit actual samples of beverage containers or product labels to:

CalRecycle  
Attn: Registration Unit  
801 K St, MS 17-03  
Sacramento, CA 95814

You will be requested to provide the product name, manufacturer, and other identifying information about the product that is available to the Division.

For details about which beverage products are subject to CRV, please refer to *Beverage Products Subject to CRV*, which is available at <http://calrecycle.ca.gov/BevContainer>.



An empty beverage container is NOT eligible for refund value if:

- ✓ There are pieces of broken, densified bales, or biscuits of aluminum or plastic.
- ✓ It is a rejected container — CRV-labeled beverage containers, which a container manufacturer or beverage manufacturer elects to recycle or dispose of without paying any applicable processing fee, or which a distributor elects to recycle or dispose of without paying the redemption payment. Rejected containers also includes components which bear the message as required.
- ✓ It is line breakage — pre-consumer material that is recycled or disposed of by a container manufacturer, beverage manufacturer, distributor or dealer.

If you receive any of the materials mentioned above, you must prepare and maintain a copy of a scrap transaction receipt. Please refer to **Receipting Transactions** section on pages 18-19 for more information.

If you encounter questionable material, immediately contact CalRecycle's Toll-Free Fraud Hotline at **1-866-CANLOAD (226-5623)**.

### ***Basis Determination***

Inspection procedures include removing the containers from any bag, box, or other receptacle used to deliver the material to the recycling center. You must visually inspect the containers prior to determining the basis for payment and paying the consumer. In no case must a certified recycling center pay or claim the refund value for any material not inspected by the

recycling center. The basis for payment must be recorded on **ALL** receipts and logs for beverage containers, including donations and scrap material transactions, regardless whether refund value is paid.

### Type of Basis

#### Segregated and Weighed (SW) or Segregated and Counted (SC)

A segregated load consists of **100 Percent California Refund Value** beverage containers of the same material type. *A consumer can request that you count the containers up to 50 of each material type rather than weigh them, and you must comply.*

#### Scrap (SP) or Non-CRVV

A scrap load may consist of any recyclable container, including food or drink packaging material, other beverage containers, other nonredeemable containers, line breakage or rejected containers, of the same material type.



*Beverage containers from airlines, passenger trains, or cruise ships are to be handled as non-CRV, California post-consumer scrap, regardless of the container labeled with CRV. You must inform your processor if you have this material in your load.*

Effective Nov. 1, 2013, recycling centers must pay consumers segregated rates only and only for loads of CRV-eligible containers. The CRV container(s) should be separated and paid at the segregated rate. If you receive a mix of CRV and non-CRV containers of the same material type, one portion of the load may be purchased as segregated, and the remainder purchased as scrap. A separate weight for each basis must be obtained. An alternative would be to ask the consumer to take the material back or reject the load.

For example, CRV PET #1 and non-CRV PET could be shown separately on one line item on the receipt or log. The basis for payment for CRV bottles would be segregated (SW); the basis for payment for non-CRV bottles would be scrap (SP) (see sample on the next page).

Certification # RC00001001		Basis Legend		GBC's (Other Beverage Containers)		Date: November 1, 2013	
Recycler Name Recycle Me		SW - Segregated by Weight		Bimetal			
Address (optional)		SC - Segregated by Count		P82-HDPE (High Density Polyethylene)		P86-PS (Polystyrene)	
		SP - Scrap Only (Non-CRV Containers)		P83-PVC(Vinyl)		P87-Other (Include pouches and unspecified resins)	
				P84-LDPE (Low Density Polyethylene)		P85-PP (Polypropylene)	

Aluminum			Glass			Plastic #1			OBC's			Printed Name or ID	Signature				
CRV	Total		CRV	Total		CRV	Total		CRV	Total	Total						
Weight	Paid		Weight	Paid		Weight	Paid	Comm	Weight	Paid	Paid						
SW	SC	SP	SW	SC	SP	SW	SC	SP	Code	SW	SC	SP	DBC's				
						9.0		1.0	5	9.83				5	9.83	Recycle Res	Regula Res
Line Item 1 CRV PET			Line Item 2 NON-CRV PET														

Please note that different colors of glass may be treated separately for sorting, storage, sales, and recordkeeping purposes only. You may also separate the glass (regardless of color) into CRV glass and non-CRV glass and record it as two line items on the receipt or log. The basis for payment for CRV bottles would be segregated (SW); the basis for payment for non-CRV bottles would be scrap (SP).

If broken glass is received, the basis for payment should be indicated as scrap (SP).

### ***Out-of-State Vehicles – 14CCR, Section 2501(b)(3)(A)***

In order to accommodate tourists and out-of-state residents who purchase their beverages in California, refund value may be paid to consumers delivering the material in a vehicle with an out-of-state license plate if **ALL** of the following conditions are satisfied; otherwise, **NO** refund value is payable.



- ✓ The customer is not a noncertified recycler.
- ✓ The total refund value payable for ALL materials purchased from the same consumer is **\$50.00 or less**.

A noncertified recycler should not be confused with a consumer. A noncertified recycler is a person, entity, or operation which is not certified by the Division of Recycling and which purchases empty beverage containers from consumers, or from drop-off or collection programs (PRC 14520.6). The key difference between a noncertified recycler and a consumer is that a noncertified recycler purchases the empty beverage containers, and does not purchase the product for consumption.

It is important for the recycling center to inspect containers thoroughly. If you encounter a questionable load, please immediately contact CalRecycle's Toll-Free Fraud Hotline at **1-866-CANLOAD (226-5623)**.

**Daily Allowable Weight Limit – Split Loads – 14CCR, Section 2535(f)**

A certified recycler cannot pay **any** refund value to or claim refund value for any material from any person, operation, or entity that brings in more than daily allowable weight limits in one day (see Figure 5).

Material Type	Daily Allowable Weight Limit
Aluminum	100 pounds
Glass	1,000 pounds
Plastics:	
#1 PET	100 pounds
#2 HDPE	100 pounds
#3 PVC	100 pounds
#4 LDPE	100 pounds
#5 PP	100 pounds
#6 PS	100 pounds
#7 OTHER	100 pounds

Figure 5: Daily Allowable Weight Limits

If a load of any material exceeding the daily allowable weight limit is offered for sale, the recycling centers should not pay more than scrap value for the **ENTIRE** load. For example, if 140 pounds of aluminum CRV beverage containers are presented to your recycling center, the entire load should be either rejected or paid as scrap only. It is **NOT** permissible to pay 99 pounds for refund value and the remaining 41 pounds for scrap value.

Recycling centers should implement procedures to track multiple deliveries by the same person or the same vehicle in one day. Assurances should be made that individuals are not attempting to circumvent the regulations by delivering material throughout the day, delivering material in different vehicles, or sending other persons in the same vehicle to the scale with **split loads**. Also, two or three people in one vehicle may NOT individually sell material exceeding the daily allowable weight limits.

Multiple transactions by the same person should raise a **red flag** to the recycling center. You should question the individual regarding the source of the material.

- 🚩 Where is all the material coming from?
- 🚩 Is the individual bringing more than one load per day because he/she is aware of the daily allowable weight limit and is trying to circumvent the regulations?

No refund value may be paid or claimed for empty beverage containers received from a noncertified recycler, regardless of whether the weight is under the daily allowable weight limit. If CalRecycle discovers that a recycling center paid refund value to a noncertified recycler, the refund value received may be disallowed and civil penalties may be assessed.

Please see CalRecycle Notices for more information on Certified Recycling Center Responsibility to Prevent Illegal Payment of CRV at:

<http://www.calrecycle.ca.gov/BevContainer/Notices/2011/IllegalPmt.pdf>

***Off-Site Purchases – 14CCR, Section, 2500(h) and 2525(a)-(k)***

Operators of recycling centers may go off-site and pay refund value for empty beverage containers at churches, schools, businesses, and other community service organizations where beverages are consumed. Daily allowable weight limits apply to material purchased off-site. A certified recycler may only accept up to **1,000** pounds of glass, **100** pounds of aluminum, or **100** pounds of each plastic for one day. A written agreement between the parties must be in place prior to the pick-up.

The agreement should be typed or legibly handwritten in English and must be retained with other business records and contain, at minimum, the following:

- The name, address, and certification number of the recycling center, as well as the name and phone number of a contact person at the recycling center.
- The name and address of the organization to be served by the recycling center, as well as the name and phone number of a contact person at the organization.
- The material type and the method of determining the weight of beverage containers to be picked up.

In addition, a receipt must be prepared and issued, regardless of the amount of the transaction.

The receipt must be pre-numbered and include **all of the following information**:

- ✓ Total weight or count of beverage containers received by material type
- ✓ Total payment made or the amount paid for each material
- ✓ Basis for payment (SW, SC, or SP)
- ✓ Certification number of recycling center
- ✓ Date of sale or donation
- ✓ Printed name and signature of the contact person of organization
- ✓ The name, address, and phone number of the organization

Under no circumstances may operators of a recycling center go off-site to pick up materials and pay refund value to **individuals**.

## ***Rejected Containers – 14CCR, Section 2525(h) and 2530(f)(4)***

Rejected containers are those containers that are either:

- ✓ Broken on the line
- ✓ Broken while the container is being made or broken while the bottle/can is being filled on the production line (line breakage)
- ✓ Defective and discarded by the container manufacturer
- ✓ Out-of-code or outdated beverages which must be emptied
- ✓ Damaged in a warehouse awaiting sale to a retailer
- ✓ Damaged prior to sale and returned to the distributor for credit



Figure 6: Rejected/Line Breakage Containers

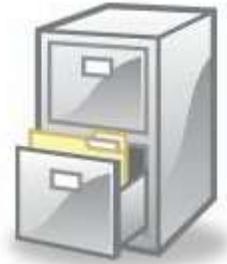
No refund value is payable for rejected containers by any certified recycling center. When rejected containers are purchased or accepted for recycling, a receipt must be issued indicating the weight of material received, the date received, any payment made as scrap, and a notation that the containers received were rejected material. The recycling center must keep the original receipt, and a copy must be provided to the seller. The weight of the rejected material must NOT be included in the received weight shown on the shipping report.

## ***Dual Certified Entities (Processor and Recycling Center) – 14CCR, Section 2105(a)***

If you are certified to operate both a recycling center and a processing facility at the same location, you **may not** receive material from other certified entities, which are other recycling centers, drop-off or collection programs, community service organizations, and curbside programs, as a **recycler**. Material received from certified entities must be receipted as a processor, showing the “PR” certification number on all supporting documentation (including receipts and shipping reports).

### ***Record Retention – 14CCR, Section 2085(a) & (b)***

Records of certified recycling centers and certified processors must be kept at the business address identified in the application for certification. Records must be maintained for at least **five years** following their preparation.



Please be advised that if a computer-generated receipting / recordkeeping system is used, a recycler must be able to provide the receipting / recordkeeping information in electronic form to CalRecycle upon request, pursuant to an inspection, audit, or investigation (PRC Section 14552(c)).

### ***Receipts and Logs – 14CCR, Section 2525(a)(1-7) and 2525(b)***

Receipts and logs are the basis for substantiation of claims for reimbursement of refund value paid out by recycling centers to consumers. Therefore, properly recording the basis for payment, weight, and payment information for individual transactions is essential. Every receipt issued and/or log entry completed must contain the consumer's printed first and last name and signature or statement explaining why such could not be obtained.

Every receipt issued and/or log entry completed **must contain all of the following:**

- ✓ Total weight or count
- ✓ Total payment made or amount paid for each material type
- ✓ Basis for payment
  - SW = segregated and weighed (100 percent CRV beverage containers)
  - SC = segregated and counted (100 percent CRV beverage containers)
  - SP = scrap (non-CRV containers – same material type)
- ✓ Certification number of recycling center
- ✓ Date of sale or donation
- ✓ Printed name and signature of consumer

Aluminum			Glass			Plastic #1			Plastic #2			OBC's			Printed Name or ID	Signature			
CRV	Total	Paid	CRV	Total	Paid	CRV	Total	Paid	CRV	Total	Paid	CRV	Total	Paid					
Weight	Alum		Weight	Glass		Weight	Plastic		Weight	OBC's		Weight	OBC's						
SW	SC	SP	SW	SC	SP	SW	SC	SP	SW	SC	SP	SW	SC	SP					
3.5			10.0			8.0			2.0	5	4.80	5	10.87		Reese Cycle	Reese Cycle			
TOTAL WEIGHT For Each Material Type			AMOUNT PAID For Each Material Type			BASIS FOR PAYMENT			PRINTED NAME & SIGNATURE			DATE OF SALE							
SW	SC	SP	TP-AL	SW	SC	SP	TP-GL	SW	SC	SP	TP-PL	***	SW	SC	SP	TP			
3.5			5	5.57		10.0		5	0.50				8.0		2.0	5	4.80	5	10.87

Sample of Purchase Log

### Receipting Transactions

The recycling center must prepare and maintain a copy of a receipt for any purchase of empty beverage containers in the amount of \$100.00 or more in refund value, scrap only, and/or off-site transactions. A receipt is required in accordance with Sections 2525(a)(1-6) of the regulations (referenced on page 17) and **additional** identifying information for the following transactions:

**\$100.00 or more in refund value for all material purchases**

- ✓ Press pre-numbered (or computer generated using an unalterable numbering system\*).
- ✓ Valid driver's license number and state of issuance or valid vehicle license number and state issuance.
- ✓ California identification number (only if driver or vehicle license number not available).
- ✓ If none of the above is available, an explanation of why must be provided for each applicable transaction.

**Scrap only purchases (regardless of the amount)**

- ✓ The receipt must indicate whether the scrap transaction is for rejected or line breakage.

**Off-site purchases (regardless of the amount)**

- ✓ Press pre-numbered (or computer generated using an unalterable numbering system\*).
- ✓ Name, address, and name of the contact person for the church, school, or business, and other community service organizations where beverages are consumed.

Recycler				Receipt No.:	00001																																																																																				
Certification No.:	RCXXXX																																																																																								
Recycler Name & Address (Optional)	California Certified Recycler		Date:	11/1/2013																																																																																					
<table border="1"> <thead> <tr> <th>Material</th> <th>Basis</th> <th>Total Weight or Count</th> <th>Price Per Pound (Optional)</th> <th>Total Refund Value (Optional)</th> <th>Total Paid</th> <th>Indicate if Rejected or Line Breakage</th> </tr> </thead> <tbody> <tr> <td>AL</td> <td>SW</td> <td>65.0</td> <td>\$1.90</td> <td>\$103.35</td> <td>\$123.50</td> <td></td> </tr> <tr> <td>GL</td> <td>SW</td> <td>53</td> <td>\$0.104</td> <td>\$5.51</td> <td>\$5.51</td> <td></td> </tr> <tr> <td colspan="7">BIMETAL</td> </tr> <tr> <td>#1 (PETE)</td> <td>SC</td> <td>5 (lg)</td> <td></td> <td></td> <td>\$0.50</td> <td></td> </tr> <tr> <td>#2 (HDPE)</td> <td>SC</td> <td>4 (sm)</td> <td></td> <td></td> <td>\$0.20</td> <td></td> </tr> <tr> <td>#3 (PVC)</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>#4 (LDPE)</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>#5 (PP)</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>#6 (PS)</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>#7 (OTHER)**</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="5"><b>Grand Total:</b></td> <td>\$129.71</td> <td></td> </tr> </tbody> </table>						Material	Basis	Total Weight or Count	Price Per Pound (Optional)	Total Refund Value (Optional)	Total Paid	Indicate if Rejected or Line Breakage	AL	SW	65.0	\$1.90	\$103.35	\$123.50		GL	SW	53	\$0.104	\$5.51	\$5.51		BIMETAL							#1 (PETE)	SC	5 (lg)			\$0.50		#2 (HDPE)	SC	4 (sm)			\$0.20		#3 (PVC)							#4 (LDPE)							#5 (PP)							#6 (PS)							#7 (OTHER)**							<b>Grand Total:</b>					\$129.71	
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	SP - Scrap		Name: Ray Huse																																																																																						
			I.D. # CA DL# N611111																																																																																						

**Sample of Receipt**

\* Receipts produced by an automatic computer-generated numbering system that cannot be altered by the operator or any employees of the recycling center are also acceptable, provided all required information is included.

**Record Anonymous Donated Material – 14CCR, Section 2525(d)**

Donated materials are those beverage containers for which the recycling center does not pay either CRV or scrap. These materials are usually left anonymously while the center is closed or specifically donated to the recycler at other times. Donated beverage containers must be recorded on logs and/or receipts. The recycling center may only claim scrap value.

**Calculate/Record Shrinkage**

Certified recycling centers must inspect each load of beverage containers to determine CRV eligibility. If a load is contaminated, the recycling center or consumer should attempt to remove any visible debris. For any remaining contamination that cannot be removed, such as dirt or moisture, the recycling center should estimate the percentage of contamination of the load and inform the consumer that the refund payment is going to be reduced. The recycling center should refer to 14CCR, Section 2500(e)(2)(B) and make the consumer aware of the reduction of payment and their right to take back the containers. The **shrinkage must be applied to the CRV rate per pound** and may be applied to the scrap rate pound.

This example illustrates how to apply the shrinkage to both the CRV and scrap rate.

On Nov. 1, 2013, a consumer, John Doe, brought in a 25-pound load of segregated aluminum, and the load was determined to be 5 percent (0.05) contaminated after the debris was removed. The recycling center paid \$1.70 per pound for CRV aluminum, and the segregated rate was \$1.59 per pound.

**Step one:**

Calculate the scrap rate

$$\begin{aligned} \text{Scrap Rate} \\ &= \text{Recycling Center Rate} - \\ &\quad \text{Segregated Rate} \\ &= \$1.70 - \$1.59 = \$0.11 \end{aligned}$$

**Step two:**

Calculate the adjustments of CRV and scrap rate by applying shrinkage

$$\begin{aligned} \text{CRV Rate Adjustment} \\ &= \text{CRV Rate} \times \text{Shrinkage} \\ &= \$1.59 \times 0.05 = \$0.08 \\ \\ \text{Scrap Rate Adjustment} \\ &= \text{Scrap Rate} \times \text{Shrinkage} \\ &= \$0.11 \times 0.05 = \$0.01 \end{aligned}$$

**Step three:**

Calculate the adjusted rates

$$\begin{aligned} \text{Adjusted CRV Rate} \\ &= \text{CRV Rate} - \text{CRV Rate} \\ &\quad \text{Adjustment} \\ &= \$1.59 - \$0.08 = \$1.51 \end{aligned}$$

$$\begin{aligned} \text{Adjusted Scrap Rate} \\ &= \text{Scrap Rate} - \text{Scrap Rate} \\ &\quad \text{Adjustment} \\ &= \$0.11 - \$0.01 = \$0.10 \end{aligned}$$

**Step four:**

Calculate adjusted payment

$$\begin{aligned} &= \text{Weight} \times \text{Adjusted CRV rate} \\ &= 25 \times \$1.51 = \text{[redacted]} \end{aligned}$$

$$\begin{aligned} \text{Adjusted Scrap Payment} \\ &= \text{Weight} \times \text{Adjusted Scrap} \\ &\quad \text{Rate} \\ &= 25 \times \$0.10 = \$ 2.50 \end{aligned}$$

**Step five:**

Calculate the total payment

$$\begin{aligned} \text{Total Payment} \\ &= \text{Adjusted Refund Value} \\ &\quad + \text{Adjusted Scrap Value} \\ &= \$37.75 + \$2.50 = \$40.25 \end{aligned}$$

**Final Step**

Calculate the redemption weight

$$\begin{aligned} &= \text{Adjusted Refund Value} \\ &\quad \div \text{CRV Rate} \\ &= \$37.75 \div \$1.59 = \text{[redacted]} \end{aligned}$$

( [redacted] : You will use the Adjusted Redemption Weight on your Daily Summaries)

Applying the shrinkage **adjustment to the rate** as opposed to the weight will be reflected in the total refund value on the daily summary. For shipping report completion, the recycling center should sum the refund value for the materials shipped. The redemption weight is the total refund value paid in the shipment period divided by the CRV rate per pound. See example below on how it should be recorded on a purchase log and daily summary.

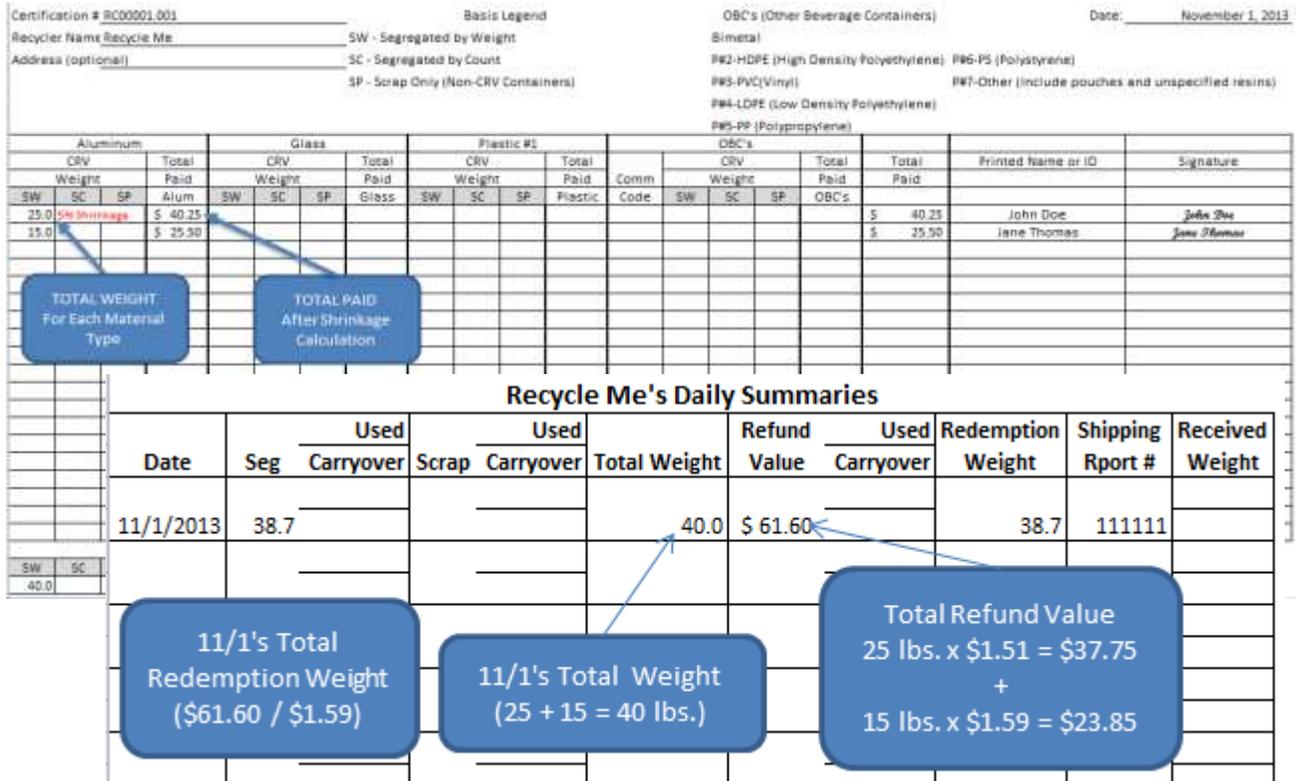


Figure 7: Sample of Shrinkage on purchase log and daily summary

### Daily Summary - 14CCR, Section 2525(i)

The recycling center **must** prepare and maintain daily summaries of all receipts and log transactions, including donations, for all shipping reports. The **total weight and corresponding refund value** must be recorded each day of the shipping report period, in order to show that shipping reports are based upon receipts and logs as required by Title 14 of the California Code of Regulations (14CCR) Section 2530(c).

Daily Summary Reports are to be prepared daily and must include:

- ✓ **Total Weight Received by Material Type** = Segregated Weight + Scrap Weight
- ✓ **Total Refund Value Paid** = Segregated Refund Value

For recyclers who prefer to use carryover weight, shipping cutoff indications must be clearly recorded on the daily summaries. The recycling center must record the total weight for the day that is being shipped on the daily summary.

For example, a recycling center was ready to ship aluminum to the processor on Nov. 22, 2013. Since the previous shipping report, there were 123.1 pounds of aluminum carried over on Nov. 18th (see date 11/18/2013 under column used/carryover).

The recycling center purchased 1,946.2 pounds from Nov. 19 through Nov. 21. Prior to the truck arriving midday on Nov. 22, the recycling center purchased 601.9 pounds of aluminum. Because the recycling center is still open for business, the remaining purchases on Nov. 22 would be the inventory carryover.

In this example, the recycling center carried over **148.7 (750.6 - 601.9)** pounds of segregated aluminum and 12.9 pounds of scrap as the inventory for the next shipping period, which would begin on Nov. 22.

Date	Used		Used		TOTAL WEIGHT	Refund Value	Used		Redemption Weight	Transaction Number	Received Weight
	Seg	Carryover	Scrap	Carryover			Carryover	Carryover			
		459.3		0.0			\$730.29	459.3		60111111	
11/18/2013	582.4	123.1	0.0		582.4	\$926.02	\$195.73	123.1			
		689.3		0.0			\$1,095.99	689.3			
11/19/2013	689.3		0.0		689.3	\$1,095.99		0.0			
		490.1		0.0			\$779.26	490.1			
11/20/2013	490.1		0.0		490.1	\$779.26		0.0			
		766.8		0.0			\$1,219.21	766.8			
11/21/2013	766.8		0.0		766.8	\$1,219.21		0.0			
		601.9		0.0			\$957.02	601.9		60111112	
11/22/2013	750.6	148.7	12.9	12.9	763.5	\$1,193.46	\$236.43	148.7			

Figure 8: Sample of Daily Summary

### ***Calculate Refund Value on the Daily Summary***

The amount of refund value paid is not required on the receipts or logs. If the recycling center records the refund value, the total refund value on the daily summary should agree with the total refund value paid for each material type.

If the recycling center chooses not to include the refund value on the receipts or logs, at the end of each day, the total weight by basis must be summed:

$$\begin{array}{r} \text{Segregated Weight} \\ + \text{Scrap Weight} \\ \hline \text{Total Weight} = \text{Total Weight Purchased (enter on Daily Summary)} \end{array}$$

Once the recycling center knows the total weight, the total refund value can be calculated:

$$\begin{array}{r} \text{Segregated Weight x (Segregated Refund Value per Pound)} \\ + \text{Scrap Weight has No Refund Value} \\ \hline \text{Total Refund Value} = \text{Total Refund Value paid to consumers (enter on Daily Summary)} \end{array}$$

For example, at the end of the day a recycling center purchased 95.8 pounds segregated, and 20.0 pounds of scrap, all HDPE. Refund value rate in effect on Nov. 1, 2013 was \$0.60 for segregated HDPE and no refund value is paid for scrap.

$$\begin{array}{r} 95.8 \text{ Segregated Weight} \quad \times \quad \$0.60 \quad = \quad \$57.48 \\ + 20.0 \text{ Scrap Weight} \quad \times \quad \$0.00 \quad = \quad \$ 0.00 \\ \hline \text{Total Weight} = \mathbf{115.8} \qquad \qquad \qquad \text{Total Refund Value} = \mathbf{\$57.48} \end{array}$$

***Calculate the Redemption Weight on the Daily Summary***

Both the total weight and total refund value are required on the daily summary. However, it is helpful to calculate the redemption weight on a daily basis.

$$\text{Total Redemption Weight} = \frac{\text{Total Refund Value}}{\text{Segregated Rate}}$$

$$\text{Total Redemption Weight} = 95.8 \text{ pounds of HDPE} = \frac{\$57.48}{\$0.60/\text{pound}}$$

***Convert Counted Purchases to Weight***

A recycling center may purchase beverage containers by count or on a per container basis up to 50 containers of each material type, if the consumer requests payment by count. When a recycling center purchases CRV beverage containers by count (per container) basis, the number of containers must be converted to weight. There are two methods to calculate the weight of the counted containers (see example below). It is recommended that recycling centers be

consistent by the method they choose. The converted weight should be reported to the nearest 1/10<sup>th</sup> (0.01) of a pound.

There are two examples of different methods of converting counted purchases to weight:

On Nov. 1, 2013, a recycling center purchased **15 PET #1 beverage containers less than 24 ounces** and **30 PET #1 beverage containers of 24 ounces or more** from a consumer. The refund value is \$0.05 for containers (<24 oz.) and \$0.10 for (≥24 oz.). At the time of purchase “Containers per Segregated Pound” of PET #1 was 17.4 per pound and the “CA Refund Value per Segregated Pound” of PET #1 was \$1.07 per pound.

**Method One:**

1. Sum the total number of containers purchased each day, by material type and size.
2. Multiply the number of containers by the amount of refund value payable per container.
3. Divide the total refund value by the segregated rate per pound.

$$\text{Total Refund Value} = \frac{\text{Total \# of Containers by Material Type \& Size}}{\text{Refund Value Payable per Container}}$$

$$\text{Converted Segregated Weight} = \frac{\text{Total Refund Value}}{\text{Segregated Rate per Pound}}$$

Total # of containers by size (<24 oz.)	= 15
Total # of containers by size (≥24 oz.)	= 30
Refund value of counted containers	= (15 x \$0.05) + (30 x \$0.10)
per size	= \$0.75 + \$3.00
Total Refund Value	= \$3.75
	= $\frac{\$3.75}{\$1.07 \text{ per PET pound}}$
Total Segregated Weight to be recorded	= 3.50
	= <b>3.5 pounds (round to 1/10<sup>th</sup> of a pound)</b>

**Method**

1. Sum the total number of containers purchased by material type only.

**Two:**

2. Divide the number of containers by the [Containers per Segregated Pound](#) which is available on the CalRecycle website.

$$\text{Converted Segregated Weight} = \frac{\text{Total Number of Containers by Material Type}}{\text{Containers per Segregated Pound}}$$

$\begin{aligned} \text{\# of containers} &= 15 + 30 \\ \text{Total \# of containers} &= 45 \\ &= \frac{45}{17.4/\text{pound}} \\ &= 2.58 \\ \text{Total Converted Weight to be recorded} &= \mathbf{2.6 \text{ pounds (round to } 1/10^{\text{th}} \text{ of a pound)}} \end{aligned}$
--

There is 0.9 pound variance between two methods due to containers per segregated pound at the time and the rounding of converted weight.

# Prepare and Submit Reports

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## ***Shipping Report (DR-6) - 14CCR, Section 2530(c)***

A certified recycling center must complete and submit a shipping report for a delivery of material between:

- The recycling center and another certified recycling center (even if they are affiliated)
- The recycling center and a certified processor (even if it is a dual certified location)
- The recycling center and a certified drop-off or collection program
- The recycling center and a certified community service program
- The recycling center and a certified curbside program

When material is ready to ship, the recycling center **must accurately**:

1. Determine the shipment cutoff — which receipt and log dates are associated with the total weight of the material being shipped.
2. Sum the daily summary information for the period indicated on the shipping report.
3. Calculate the refund value and record it on the shipping report.
4. Calculate the corresponding redemption weight (round to 1/10<sup>th</sup> of a pound) and record it on the shipping report.

$$\text{Redemption Weight} = \frac{\text{Total Refund Value}}{\text{Segregated Rate}}$$

Note\* Calculations in DORIIS are rounded automatically.

Shipping recyclers must complete the following sections of the shipping report prior to delivery of the material.

- ✓ Shipper Name, address, and certification number
- ✓ Receiver Information
- ✓ Total Refund Value and Total Redemption Weight
- ✓ From/To Receipt and Log Dates
- ✓ Shipper's Signature/Title
- ✓ Shipper's Printed Name and Date

There are three methods to prepare shipping reports:

### **Procedure One: For all material types**

1. Determine the physical inventory to be shipped (Total Weight per daily summaries: segregated and scrap). Refund value/redemption weight must be shipped first.
2. Accurately report the shipping period (receipt and log dates).
3. Calculate the refund value from the daily summaries and record the total refund value on the shipping report.

4. Calculate the redemption weight.

**Procedure Two: For glass only (optional)**

1. Obtain a copy of the weight ticket from the processor.
2. Block off the appropriate total weight including segregated and scrap on the daily summaries to match the weight received by the processor.
3. Add up the refund value paid for the total weight and record on the shipping report.
4. Calculate the redemption weight.
5. Enter the corresponding receipt and log dates for the **total weight shipped**.

*Since this method does not take shrinkage into consideration, the recycling center must periodically reconcile its book inventory to its physical inventory and write off its excess book inventory of receipts and/or logs. (See Excess Receipt and Log Book Inventory information on the next page).*

**Procedure Three: For baled aluminum or plastic (optional)**



Determine which receipt and log dates are to be used to complete the shipping report before the material from the recycling center arrives at the processor or other receiving location.

- As the material is baled or densified:
  1. Mark the date of purchase on the bale (e.g., bale bag or spray paint).
  2. Sum the refund value from the daily summaries for the period of the shipment and record it on the shipping report.
  3. Calculate the redemption weight.
  
- Weigh the bales as they are loaded on the truck for delivery to the processor or other recycler:
  1. Block off the appropriate weight that includes segregated and scrap to match the weight of the shipment.
  2. Record the shipment cutoff and carried over inventory on the daily summaries.
  3. Sum the refund value of the weight from daily summaries and record it on the shipping report.
  4. Calculate the redemption weight.

- Weigh the inventory that is not being shipped:
  1. Keep the most recent receipt or log dates to match the weight of the inventory which may contain bales, material in the densifier or baler, and/or loose material on hand.
  2. Take other receipts and logs from the daily summaries for preparation of a shipping report.
  3. Sum the refund value from the daily summaries and record it on the shipping report.
  4. Calculate the redemption weight.

### ***Excess Receipt and Log Book Inventory***

In order to maintain reporting accuracy, it is strongly recommended that excess book inventory (segregated weight, scrap weight, and corresponding receipt and log dates) is periodically written off and documented on the daily summaries. This should be conducted, on a quarterly basis, at a minimum. Submission of inaccurate shipping reports is a regulatory violation.

### ***Weight Tickets***

When material is received from other certified entities, even if affiliated, it must be weighed and recorded in the form of a weight ticket. Weight tickets must be prepared for every load of containers delivered to the recycling center by another recycler, drop-off or collection program, or curbside program, and a copy must be provided to the seller.

If a load contains more than one material type, each material type must be weighed separately. A weight ticket is prepared for each type of material, or the weight of each material type received must be separately identified on the weight ticket. The weight obtained must be from a scale or other device that has been approved, tested, and sealed in accordance with Division 4 of the Business and Professions Code (Weights and Measures) and any applicable regulations and ordinances.

Weight tickets must include all of the following:

- ✓ Date the material was received.
- ✓ The name of the seller, and if applicable, the certification number of the seller.
- ✓ Material type.
- ✓ Total weight received, and if applicable, tare and net weight.

There should be documentation of the weight of rejected containers, and/or line breakage included in the load. The indication of this weight can be shown as a notation on the weight ticket or other form of receipt, and should be maintained with the recycler's copy of the weight ticket or shipping report. The shipping recycler must notify the receiver (other recyclers or processors) of this weight as it is NOT to be included on the shipping report.

### ***Cancellation, Cancellation Authorization, and Proof of Cancellation***

Cancellation is the act of removing the refund value of empty beverage containers from the Beverage Container Recycling Program. Therefore, the cancelled material cannot be claimed again. Certified processors are required to cancel material or may authorize a recycling center or a processor to cancel used beverage containers on their behalf. When a processor authorizes a recycling center or a processor to cancel on their behalf, the authorized party is responsible for cancelling the material. ***That responsibility of cancellation cannot be delegated to another party.***

The processor must apply for an authorization to cancel from the Division, pursuant to 14CCR, Section 2110(b). A recycling center cannot receive payment for materials which have not been delivered to a processor unless an authorization to cancel has been issued by the Division of Recycling and the cancellation is verified in accordance with 14CCR, Section 2420(d). With a valid authorization to cancel, a recycling center may cancel material by any of the following methods.

- Aluminum** Shredding the material or densifying the material to 30 lbs. /cu. ft. or more and delivering the material to the authorizing processor.
- Glass** Substantially cleaning of non-glass contaminants and crushing in as to be acceptable without further processing by a willing user.
- Plastic** Altering the original form so as to make reconstitution physically impossible. ***Baling does NOT cancel plastic.***
- Bimetal** Densification, shredding, mailing, or nuggeting.

The recycling center must maintain a copy of authorization to cancel from the processor and proof of the cancellation.

- Shipments by sea** On Board Bill of Lading is required to show proof of cancellation.
- Permanently exported out-of-state** Receipt issued by the person receiving the shipment and any applicable bill of lading is required to show proof of cancellation.
- Shipments to an end user** Receipt issued by the person receiving the shipment and any applicable bill of lading is required to show proof of cancellation.

The person performing the cancellation must sign a declaration that cancellation has been achieved. The declaration must identify the materials being cancelled and indicate the date of cancellation and the method of cancellation.

### ***Division of Recycling Integrated Information System (DORIIS)***

The Division of Recycling Integrated Information System (DORIIS) is a free Internet-based tool for the recycling community. DORIIS improves business processes, makes data entry easier, and provides program participants with timely and accurate information. This online system reduces paper use and lessens California's carbon footprint. Effective Jan. 1, 2014, program participants are required to use DORIIS exclusively for shipping reports (DR-6), handling fee claims (DR-14), and processor invoices (DR-7). Users are required to submit a Portal Access Request Form (PAR); The PAR form is used to obtain access to DORIIS. Every individual who will be accessing DORIIS is required to complete a separate PAR form.

**\*All reports submitted to DORIIS must be in compliance with all applicable regulations and statutes. Pursuant to 14CCR Section 2090(c), incorrect or inaccurate reports, notices, or claims submitted in DORIIS are deemed as a violation.**

For more information please visit <http://www.calrecycle.ca.gov/BevContainer/DORIIS/>



## **ADVISORY!**

A violation of statutes and regulations related, but not limited, to the following actions or conduct will subject a certified entity to administrative action by CalRecycle to revoke the entity's certification or registration:

- ✓ Payment of CRV, submission of a claim for CRV, Handling Fees and other program payments, or facilitation of CRV redemption on ineligible material (rejected material, line breakage, previously redeemed material, previously baled material, scrap material).
- ✓ Recycler knew or should have known material purchased came from out of state.
- ✓ Payment of CRV or submission of a claim for CRV for material received from a noncertified recycler.
- ✓ Material purchases that exceed the daily allowable load limits for consumers, and/or splitting of loads to circumvent the load limits.
- ✓ Falsification of program records, including but not limited to consumer purchase records, daily summaries, weight tickets, CRV claims, Handling Fee Applications, Certification/Registration applications.
- ✓ Failure to prepare and maintain program required records (including electronic records) for at least 5 years.
- ✓ Responsible or authorized party fails to cancel beverage containers and maintain documentary evidence of cancellation.
- ✓ Failure to provide CalRecycle with immediate access to program records (including electronic records), operations, or facilities.
- ✓ Intentional conduct or activities in violation of the Act or related regulations.
- ✓ Demonstration that a certified entity is unwilling or unable to operate in compliance of the Act or related regulations.

# Glossary of Terms

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This glossary lists definitions of terms and abbreviations used throughout this manual. Please refer to 14CCR, Section 2000 and/or PRC Chapter 2 for further definitions.

- Act/PRC** The California Beverage Container Recycling and Litter Reduction Act (Public Resources Code – Division 12.1, beginning with Section 14500).
- Certificate/Certified** The official document issued by the Division which identifies an operator of a recycling center, drop-off or collection program, community service program or processing facility as meeting the requirements for certification by the Division [14CCR, Section 2000(a)(6) & (7)].
- CRV** The message “California Redemption Value” “CA Redemption Value”, “California Cash Refund,” “CA Cash Refund”, or “CA CRV” is printed or embossed on the beverage containers sold or offered for sale by a beverage manufacturer in California [PRC Section 14561(a)].
- Delivered / Delivery** Physically taking possession of the material [14CCR, Section 2000(a)(14)].
- Donations** Beverage containers or other food and drink packaging material that is accepted for recycling for which the person delivering the material does not accept payment of scrap or CRV.
- DORIIS** Division of Recycling Integrated Information System is a free Internet-based tool for the recycling community. Participants have the ability to report shipping reports and handling free claims electronically through an online portal.
- Dunnage** Loose packing of any bulky material put around cargo for protection (may include strapping and wire).
- Empty beverage container** A beverage container that has the seal or closure installed by the manufacturer broken or removed, does not contain foreign materials other than the residue of the beverage that was originally packaged in the beverage container by the manufacturer, is labeled with the CRV message, and has a refund value established [PRC Section 14512].
- Line breakage** Pre-consumer material that is recycled or disposed of by a container manufacturer, beverage manufacturer, distributor, or dealer [14CCR, Section 2000(a)(27.6)].

- Noncertified recycler** A person, entity, or operation which is not certified by CalRecycle and which purchases empty beverage containers from consumers or from dropoff or collection programs [PRC Section 14520.6].
- Plastic container** A container has a body consisting primarily of plastic. There are seven plastic container types that may contain beverage containers subject to refund value. They are: #1 PET or PET (polyethylene terephthalate), #2 HDPE (high density polyethylene), #3 V or PVC (vinyl), #4 LDPE (low density polyethylene), #5 PP (polypropylene), #6 PS (polystyrene), #7 OTHER (includes multilayer and other unspecified resins).
- Processor** Any person, including a scrap dealer, who purchases or offers to purchase empty beverage containers from more than one recycling center in this state and is responsible for canceling empty beverage container(s) in a manner prescribed in section 2000(a)(4) of these regulations [14CCR, Section 2000(a)(35)].
- Received weight** The weight actually delivered, less the weight of line breakage and rejected containers.
- Recycling center** An operation which is certified by CalRecycle and which accepts from consumers, and pays or provides the refund value for empty beverage containers intended to be recycled [PRC Section 14520]. Also includes the definition of “nonprofit convenience zone recycler” [PRC Section 14514.7] and the definition of “rural region recycler” [PRC Section 14525.5.1].
- Redemption weight** The weight of empty California redemption-labeled beverage containers [14CCR, Section 2000(a)(39)].
- Rejected container** A California redemption-labeled beverage container, which a container manufacturer or beverage manufacturer elects to recycle or dispose of without paying any applicable processing fee, or which a distributor elects to recycle or dispose of without paying the redemption payment. Rejected containers includes container tops, lids, or other components which bear the message as required [14CCR, Section 2000(a)(41)].
- Scrap** Any recyclable container, including food or drink packaging material, other beverage containers, other nonredeemable containers, line breakage or rejected containers, of the same material composition as redeemable containers covered by the Act [14CCR, Section 2000(a)(41.2)].
- Segregated** A load, divided by material type, that consists of 100 percent CRV material [14CCR, Section 2000(a)(43)].

***Shrinkage*** The reduced value due to contamination of empty beverage containers by dirt, moisture, or other foreign substances [14CCR, Section 2000(a)(45)].



***A sample of Daily Summary Sheet***

Date	Seg	Used		Scrap	Used		TOTAL WEIGHT	Refund Value	Used Carryover	Redemption Weight	Shipping Report #	Received Weight
		Carryover	Carryover		Carryover	Carryover						
								\$				
								\$				
								\$				
								\$				
								\$				
								\$				
								\$				
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