

OTC Model Rule for Consumer Products Phase IV

This model rule was developed by the Ozone Transport Commission (OTC) as part of a regional effort to attain and maintain the eight-hour ozone standard, and reduce eight-hour ozone levels.

Notes:

1. Certain compounds affected by this model rule may not cause or contribute to formation of ozone, but due to their hazardous nature are included in this model for convenience of the states, which may regulate such compounds under other state authorities. Such compounds are noted with a double asterisk (**) and it is up to each state to decide whether it wishes to include regulation of said compounds in its state-specific rulemaking. OTC takes no position on whether to include these compounds in such a rulemaking.
2. States opting to promulgate rules based on this model rule must comply with State specific administrative requirements and procedures.
3. Underlined text (additions) and ~~strikeouts~~ are changes made to the 3rd OTC Consumer Products model rule (Adopted by the OTC on June 3, 2010). These changes were added to the model rule in 2011, based on portions of the 2009 CARB amendments related to multi-purpose solvents and paint thinners and to incorporate stakeholder comments.
4. **BOLD** text are references to agencies outside the OTC states, section titles, and for special points of interest.
5. The term (OTC STATE) or (OTC STATE AGENCY) are placeholders for individual State names.
6. Note that this version is subject to change, depending on the outcome of the CARB Technology Assessment, ("evaluation of manufacturers progress toward meeting the December 2013 limits") The results of this Assessment are anticipated to be available by June 30, 2012.

Section

1. Applicability
2. Definitions
3. Standards
4. Exemptions
5. Innovative Products
6. Administrative Requirements
7. Reporting Requirements
8. Variances
9. Test Methods
10. Severability
11. Alternative Control Plan

1. Applicability

Except as provided in section 4, this regulation shall apply to any person who sells, supplies, offers for sale, distributes for sale, or manufactures for sale consumer products on or after the effective date in the table of standards for use in the state of (OTC STATE).

2. Definitions

(a) For the purpose of this regulation, the following definitions apply:

(1) "ACP Agreement" means the document signed by the (OTC STATE AGENCY) which includes the conditions and requirements of the ACP, and which allows manufacturers to sell ACP products in (OTC STATE) pursuant to the requirements of this regulation.

(2) "ACP Emissions" means the sum of the VOC emissions from every ACP product subject to an ACP Agreement approving an ACP, during the compliance period specified in the ACP agreement, expressed to the nearest pound of VOC and calculated according to the following equation:

$$ACP\ Emissions = (Emissions)_1 + (Emissions)_2 + K + (Emissions)_N$$

where,

$$Emissions = \frac{(VOC\ Content) \times (Enforceable\ Sales)}{100}$$

For all products except for charcoal lighter material products:

$$VOC\ Content = \frac{(B - C) \times 100}{A}$$

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

A = net weight of unit (excluding container and packaging)
 B = total weight of all VOCs per unit, as defined in this section
 C = total weight of all exempted VOCs per unit, as specified in section 4 For charcoal lighter material products only:

$$VOC\ Content = \frac{(Certified\ Emissions\ x\ 100)}{Certified\ Use\ Rate}$$

Certified Emissions = the emissions level for products approved by the (OTC STATE AGENCY) under section 3(f), as determined pursuant to the **South Coast Air Quality Management District Rule 1174 Ignition Method Compliance Certification Protocol (Feb. 27, 1991)**, including subsequent amendments, expressed to the nearest 0.001 pound CH₂ per start.

Certified Use Rate = the usage level for products approved by the (OTC STATE AGENCY) under section 3(f), as determined pursuant to the **South Coast Air Quality Management District Rule 1174 Ignition Method Compliance Certification Protocol (Feb. 27, 1991)**, including subsequent amendments, expressed to the nearest 0.001 pound certified product used per start.

(3) "ACP Limit" means the maximum allowable ACP Emissions during the compliance period specified in an ACP Agreement approving an ACP, expressed to the nearest pound of VOC and calculated according to the following equation:

$$ACP\ Limit = (Limit)_1 + (Limit)_2 + K + (Limit)_N$$

where,

$$Limit = \frac{(ACP\ Standard) \times (Enforceable\ Sales)}{100}$$

Enforceable Sales = the total amount of an ACP product sold for use in (OTC STATE), during the applicable compliance period specified in the ACP Agreement approving an ACP, as determined through enforceable sales records (expressed to the nearest pound, excluding container and packaging).

ACP Standard = either the ACP product's Pre-ACP VOC Content, or the applicable VOC standard specified in section 3 (a), whichever is the lesser of the two.

Pre-ACP VOC Content = the lowest VOC content which the ACP product had between January 1, 1990 and the date on which the application for a proposed ACP is submitted to the (OTC STATE AGENCY), based on either the data on the product obtained from the **March 12, 1991 CARB Consumer Products Survey**, or other accurate records available to the (OTC STATE AGENCY), whichever yields the lowest VOC content for the product.

1,2,...N = each product in an ACP up to the maximum N."ACP Product" means any "consumer product" subject to the VOC standards specified in section 3 (a), except those products that have been exempted under section 4, or exempted as Innovative Products under section 5.

(4) "ACP Reformulation or ACP Reformulated" means the process of reducing the VOC content of an ACP product, within the period that an ACP is in effect, to a level which is less than the current VOC content of the product.

(5) "ACP Standard" means either the ACP product's Pre-ACP VOC content or the applicable VOC standard specified in section 3 (a), whichever is the lesser of the two.

(6) "ACP VOC Standard" means the maximum allowable VOC content for an ACP product, determined as follows:

- (i) the applicable VOC Standard specified in section 3 (a), for all ACP products except for charcoal lighter material;
- (ii) for charcoal lighter material products only, the VOC Standard for the purposes of this regulation shall be calculated according to the following equation:

$$VOC\ Standard = \frac{(0.020\ pound\ CH_2\ per\ start\ x\ 100)}{Certified\ Use\ Rate}$$

where,

0.020 = the certification emissions level for the (OTC STATE)-approved product, as specified in section 3 (f).

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

Certified

Use Rate = the usage level for products approved by the (OTC STATE AGENCY) under section 3 (f), as determined pursuant to **South Coast Air Quality Management District Rule 1174 Ignition Method Compliance Certification Protocol (Feb. 27, 1991)**, including subsequent amendments, expressed to the nearest 0.001 pound certified product used per start.

(7) "Adhesive" means any product that is used to bond one surface to another by attachment. "Adhesive" does not include products used on humans and animals, adhesive tape, contact paper, wallpaper, shelf liners, or any other product with an adhesive incorporated onto or in an inert substrate. For "Contact Adhesive," adhesive does not include units of product, less packaging, which consist of more than one gallon. For "Construction, Panel, and Floor Covering Adhesive," and "General Purpose Adhesive", "adhesive" does not include units of product, less packaging, which weigh more than one pound and consist of more than 16 fluid ounces. This limitation does not apply to aerosol adhesives.

(8) "Adhesive Remover" means a product designed to remove adhesive from either a specific substrate or a variety of substrates. "Adhesive Remover" does not include products that remove adhesives intended exclusively for use on humans or animals.

For the purpose of this definition and "Adhesive Remover" subcategories (i-iv), the term "adhesive" shall mean a substance used to bond one or more materials. Adhesive includes, but is not limited to: caulks; sealants; glues; or similar substances used for the purpose of forming a bond.

(i) "Floor and Wall Covering Adhesive Remover" means a product designed or labeled to remove floor or wall coverings and associated adhesive from the underlying substrate;

(ii) "Gasket or Thread Locking Adhesive Remover" means a product designed or labeled to remove gaskets or thread locking adhesives. Products labeled for dual use as a paint stripper and gasket remover and/or thread locking adhesive remover are considered "Gasket or Thread Locking Adhesive Remover"

(iii) "General Purpose Adhesive Remover" means a product designed or labeled to remove cyanoacrylate adhesives as well as non-reactive adhesives or residue from a variety of substrates. "General Purpose Adhesive Remover" includes, but is not limited to, products that remove thermoplastic adhesives; pressure sensitive adhesives; dextrine or starchbased adhesives; casein glues; rubber or latex-based adhesives; as well as products that remove stickers; decals; stencils; or similar materials. "General Purpose Adhesive Remover" does not include "Floor or Wall Covering Adhesive Remover."

(iv) "Specialty Adhesive Remover" means a product designed to remove reactive adhesives from a variety of substrates. Reactive adhesives include adhesives that require a hardener or catalyst in order for the bond to occur. Examples of reactive adhesives include, but are not limited to: epoxies; urethanes; silicones. "Specialty Adhesive Remover" does not include "Gasket or Thread Locking Adhesive Remover."

(9) "Aerosol Adhesive" means an aerosol product in which the spray mechanism is permanently housed in a non-refillable can designed for hand-held application without the need for ancillary hoses or spray equipment. "Aerosol Adhesives" include special purpose spray adhesives, mist spray adhesives and web spray adhesives.

(10) "Aerosol Cooking Spray" means any aerosol product designed either to reduce sticking on cooking and baking surfaces or to be applied on food, or both.

(11) "Aerosol Product" means a pressurized spray system that dispenses product ingredients by means of a propellant contained in a product or a product's container, or by means of a mechanically induced force. "Aerosol Product" does not include "Pump Spray".

(12) "Agricultural Use" means the use of any pesticide or method or device for the control of pests in connection with the commercial production, storage or processing of any animal or plant crop. "Agricultural Use" does not include the sale or use of pesticides in properly labeled packages or containers which are intended for: (i) Home use, (ii) Use in structural pest control, (iii) Industrial or (iv) Institutional use. For the purposes of this definition only:

(i) "Home use" means use in a household or its immediate environment.

(ii) "Structural pest control" means a use requiring a license under the **(applicable OTC STATE pesticide licensing requirement)**.

(iii) "Industrial use" means use for or in a manufacturing, mining, or chemical process or use in the operation of factories, processing plants, and similar sites.

(iv) "Institutional use" means use within the lines of, or on property necessary for the operation of buildings such as hospitals, schools, libraries, auditoriums, and office complexes.

(13) "Air Freshener" means any consumer product including, but not limited to, sprays, wicks, powders, and crystals, designed for the purpose of masking odors, or freshening, cleaning, scenting, or deodorizing the air. "Air Freshener" does not include products that are used on the human body, products that function primarily as cleaning products as indicated on a product label, or "Toilet/Urinal Care Products", disinfectant products claiming to deodorize by killing germs on surfaces, or institutional/industrial disinfectants when offered for sale solely through institutional and industrial channels of distribution. "Air Freshener" does include spray disinfectants and other products that are expressly represented for use as air fresheners, except institutional and industrial disinfectants when offered for sale through institutional and industrial channels of distribution. To determine whether a product is an air freshener, all verbal and visual representations regarding product use on the label or packaging and in the product's literature and advertising may be

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

considered. The presence of, and representations about, a product's fragrance and ability to deodorize (resulting from surface application) shall not constitute a claim of air freshening.

(14) "All Other Carbon-Containing Compounds" means all other compounds which contain at least one carbon atom and are not a "Table B" compound or a "LVP-VOC."

(15) "All Other Forms" means all consumer product forms for which no form-specific VOC standard is specified. Unless specified otherwise by the applicable VOC standard, "all other forms" include, but are not limited to, solids, liquids, (which includes the liquid containing or liquid impregnated portion of the cloth or paper wipes (towelettes)), wicks, powders, and crystals.

(16) "Alternative Control Plan or ACP" means any emissions averaging program approved by the (OTC STATE AGENCY) pursuant to the provisions of this regulation.

(17) "Antimicrobial Hand or Body Cleaner or Soap" means a cleaner or soap which is designed to reduce the level of microorganisms on the skin through germicidal activity. "Antimicrobial Hand or Body Cleaner or Soap" includes, but is not limited to, (i) antimicrobial hand or body washes/cleaners, (ii) foodhandler hand washes, (iii) healthcare personnel hand washes, (iv) pre-operative skin preparations and (v) surgical scrubs. "Antimicrobial Hand or Body Cleaner or Soap" does not include prescription drug products, antiperspirants, "Astringent/Toner," deodorant, "Facial Cleaner or Soap," "General-use Hand or Body Cleaner or Soap," "Hand Dishwashing Detergent" (including antimicrobial), "Heavy-duty Hand Cleaner or Soap," "Medicated Astringent/Medicated Toner," and "Rubbing Alcohol."

(18) "Antiperspirant" means any product including, but not limited to, aerosols, roll-ons, sticks, pumps, pads, creams, and squeeze-bottles, that is intended by the manufacturer to be used to reduce perspiration in the human axilla by at least 20 percent in at least 50 percent of a target population.

(19) "Anti-Static Product" means a product that is labeled to eliminate, prevent, or inhibit the accumulation of static electricity. "Anti-Static Product" does not include "Electronic Cleaner," "Floor Polish or Wax," "Floor Coating," and products that meet the definition of "Aerosol Coating Product" or "Architectural Coating."

(20) "Architectural Coating" means a coating applied to stationary structures and their appurtenances, to mobile homes, to pavements, or to curbs.

(21) "Aromatic Compound" means a carbon containing compound that contains one or more benzene or equivalent heterocyclic rings and has an initial boiling point less than or equal to 280 degrees C. Aromatic compound does not include compounds excluded from the definition of VOC in this section.

(22) "Artist's Solvent / Thinner" means any liquid product, labeled to meet ASTM D4236 – 94 (March 1, 2005) Standard Practice for Labeling Art Materials for Chronic Health Hazards, and packaged in a container equal to or less than 34 fluid ounces, labeled to reduce the viscosity of, and or remove, art coating compositions or components.

(23) "ASTM" means the American Society for Testing and Materials.

(24) "Astringent/Toner" means any product not regulated as a drug by the **United States Food and Drug Administration (FDA)** which is applied to the skin for the purpose of cleaning or tightening pores. This category also includes clarifiers and substrate-impregnated products. This category does not include any hand, face, or body cleaner or soap product, "Medicated Astringent/Medicated Toner", cold cream, lotion, or antiperspirant.

(25) "Automotive Brake Cleaner" Effective for products manufactured before January 1, 2014: means a cleaning product designed to remove oil, grease, brake fluid, brake pad material or dirt from motor vehicle brake mechanisms.

(26) "Automotive Hard Paste Wax" means an automotive wax or polish which is: (i) designed to protect and improve the appearance of automotive paint surfaces; and (ii) a solid at room temperature; and (iii) contains zero percent (0%) water by formulation.

(27) "Automotive Instant Detailer" means a product designed for use in a pump spray that is applied to the painted surface of automobiles and wiped off prior to the product being allowed to dry.

(28) "Automotive Rubbing or Polishing Compound" means a product designed primarily to remove oxidation, old paint, scratches or "swirl marks", and other defects from the painted surfaces of motor vehicles without leaving a protective barrier.

(29) "Automotive Wax, Polish, Sealant or Glaze" means a product designed to seal out moisture, increase gloss, or otherwise enhance a motor vehicle's painted surfaces. "Automotive Wax, Polish, Sealant or Glaze" includes, but is not limited to, products designed for use in autobody repair shops and "drive-through" car washes, as well as products designed for the general public. "Automotive Wax, Polish, Sealant or Glaze" does not include "Automotive Rubbing or Polishing Compounds", automotive wash and wax products, surfactant-containing car wash products, and products designed for use on unpainted surfaces such as bare metal, chrome, glass, or plastic.

(30) "Automotive Windshield Cleaner" Effective for products manufactured on or after January 1, 2014: means a product labeled and packaged as an automotive windshield cleaner in the form of a moistened towelette and is designed to be used on automotive

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

windshields, automotive mirrors, and automotive headlights. The product must be labeled for Automotive use only. Automotive windshield cleaner does not include "Automotive Windshield Washer Fluid."

(31) "Automotive Windshield Washer Fluid" means any liquid designed for use in a motor vehicle windshield washer system either as an antifreeze or for the purpose of cleaning, washing, or wetting the windshield. "Automotive windshield washer fluid" does not include fluids placed by the manufacturer in a new vehicle.

(32) "Bathroom and Tile Cleaner" means a product designed or labeled to clean tile or surfaces in bathrooms. "Bathroom and Tile Cleaner" does not include "Toilet/Urinal Care Product."

(33) "Brake Cleaner" For products manufactured on or after January 1, 2014: means a cleaning product designed to remove oil, grease, brake fluid, brake pad material or dirt from motor vehicle brake mechanisms.

(34) "Bug and Tar Remover" means a product labeled to remove either or both of the following from painted motor vehicle surfaces without causing damage to the finish: (i) biological-type residues such as insect carcasses and tree sap and, (ii) road grime, such as road tar, roadway paint markings, and asphalt.

(35) "CARB" means the California Air Resources Board.

(36) "Carburetor or Fuel-Injection Air Intake Cleaners" means a product designed or labeled to remove fuel deposits, dirt, or other contaminants from a carburetor, choke, throttle body of a fuel-injection system, or associated linkages. "Carburetor or fuel-injection air intake cleaners" does not include products designed or labeled exclusively to be introduced directly into the fuel lines or fuel storage tank prior to introduction into the carburetor or fuel injectors, or products designed or labeled exclusively to be introduced during engine operation directly into air vacuum lines by using a pressurized sprayer wand.

(37) "Carpet and Upholstery Cleaner" means a cleaning product designed for the purpose of eliminating dirt and stains on rugs, carpeting, and the interior of motor vehicles and/or on household furniture or objects upholstered or covered with fabrics such as wool, cotton, nylon or other synthetic fabrics. "Carpet and Upholstery Cleaner" includes, but is not limited to, products that make fabric protectant claims. "Carpet and Upholstery Cleaner" does not include "General Purpose Cleaners", "Spot Removers", vinyl or leather cleaners, dry cleaning fluids, or products designed exclusively for use at industrial facilities engaged in furniture or carpet manufacturing.

(38) "Charcoal Lighter Material" means any combustible material designed to be applied on, incorporated in, added to, or used with charcoal to enhance ignition. "Charcoal Lighter Material" does not include any of the following: (i) electrical starters and probes, (ii) metallic cylinders using paper tinder, (iii) natural gas, (iv) propane, and (v) fat wood.

(39) "Colorant" means any pigment or coloring material used in a consumer product for an aesthetic effect, or to dramatize an ingredient.

(40) "Compliance Period" means the period of time, not to exceed one year, for which the ACP Limit and ACP Emissions are calculated and for which compliance with the ACP Limit is determined, as specified in the ACP Agreement approving an ACP.

(41) "Construction, Panel, and Floor Covering Adhesive" means any non-aerosol one-component adhesive that is designed or labeled for the installation, remodeling, maintenance, or repair of: (i) structural and building components that include, but are not limited to, beams, trusses, studs, paneling (drywall or drywall laminates, fiberglass reinforced plastic (FRP), plywood, particle board, insulation board, pre-decorated hardboard or tileboard, etc.), ceiling and acoustical tile, molding, fixtures, countertops or countertop laminates, cove or wall bases, and flooring or subflooring; or (ii) floor or wall coverings that include, but are not limited to, wood or simulated wood covering, carpet, carpet pad or cushion, vinyl-backed carpet, flexible flooring material, nonresilient flooring material, mirror tiles and other types of tiles, and artificial grass. "Construction, Panel, and Floor Covering Adhesive" does not include "Floor Seam Sealer".

(42) "Consumer" means any person who purchases, or acquires any consumer product for personal, family, household, or institutional use. Persons acquiring a consumer product for resale are not "consumers" for that product.

(43) "Consumer Product" means a chemically formulated product used by household and institutional consumers including, but not limited to, detergents; cleaning compounds; polishes; floor finishes; cosmetics; personal care products; home, lawn, and garden products; disinfectants; sanitizers; aerosol paints; and automotive specialty products; but does not include other paint products, furniture coatings, or architectural coatings. As used in this rule, "consumer products" shall also refer to aerosol adhesives, including aerosol adhesives used for consumer, industrial or commercial uses.

(44) "Contact Adhesive" means a non-aerosol adhesive that: (i) is designed for application to both surfaces to be bonded together, and (ii) is allowed to dry before the two surfaces are placed in contact with each other, and (iii) forms an immediate bond that is impossible, or difficult, to reposition after both adhesive-coated surfaces are placed in contact with each other, and (iv) does not need sustained pressure or clamping of surfaces after the adhesive-coated surfaces have been brought together using sufficient momentary pressure to establish full contact between both surfaces. "Contact Adhesive" does not include rubber cements that are primarily intended for use on paper substrates. "Contact Adhesive" also does not include vulcanizing fluids that are designed and labeled for tire repair only.

(45) "Contact Adhesive - General Purpose" means any contact adhesive that is not a "Contact Adhesive - Special Purpose."

(46) "Contact Adhesive - Special Purpose" means a contact adhesive that:

(i) is used to bond melamine-covered board, unprimed metal, unsupported vinyl, Teflon, ultra-high molecular weight

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

polyethylene, rubber, high pressure laminate or wood veneer 1/16 inch or less in thickness to any porous or nonporous surface, and is sold in units of product, less packaging, that contain more than eight fluid ounces, or

(ii) is used in automotive applications that are (1.) automotive under-the-hood applications requiring heat, oil or gasoline resistance, or (2.) body-side molding, automotive weatherstrip or decorative trim.

(47) "Container/Packaging" means the part or parts of the consumer or institutional product which serve only to contain, enclose, incorporate, deliver, dispense, wrap or store the chemically formulated substance or mixture of substances which is solely responsible for accomplishing the purposes for which the product was designed or intended. "Container/Packaging" includes any article onto or into which the principal display panel and other accompanying literature or graphics are incorporated, etched, printed or attached.

(48) "Contact Person" means a representative(s) that has been designated by the responsible ACP party for the purpose of reporting or maintaining any information specified in the ACP Agreement approving an ACP.

(49) "Crawling Bug Insecticide" means any insecticide product that is designed for use against ants, cockroaches, or other household crawling arthropods, including, but not limited to, mites, silverfish or spiders. "Crawling Bug Insecticide" does not include products designed to be used exclusively on humans or animals, or any house dust mite product. For the purposes of this definition only:

(i) "House dust mite product" means a product whose label, packaging, or accompanying literature states that the product is suitable for use against house dust mites, but does not indicate that the product is suitable for use against ants, cockroaches, or other household crawling arthropods.

(ii) "House dust mite" means mites which feed primarily on skin cells shed in the home by humans and pets and which belong to the phylum Arthropoda, the subphylum Chelicerata, the class Arachnida, the subclass Acari, the order Astigmata, and the family Pyroglyphidae.

(50) "Date-Code" means the day, month and year on which the consumer product was manufactured, filled, or packaged, or a code indicating such a date.

(51) "Deodorant" means:

(i) for products manufactured before January 1, 2009: any product including, but not limited to, aerosols, roll-ons, sticks, pumps, pads, creams, and squeeze-bottles, that is intended by the manufacturer to be used to minimize odor in the human axilla by retarding the growth of bacteria which cause the decomposition of perspiration.

(ii) for products manufactured on or after January 1, 2009: any product including, but not limited to, aerosol, roll-ons, sticks, pumps, pads, creams, and squeeze-bottles, that indicates or depicts on the container or packaging, or on any sticker or label affixed thereto, that the product can be used on or applied to the human axilla to provide a scent and/or minimize odor. A "Deodorant Body Spray" product that indicates or depicts on the container or packaging, or on any sticker or label affixed thereto, that it can be used on or applied to the human axilla, is a "Deodorant"

(52) "Deodorant Body Spray" means:

(i) For products manufactured before January 1, 2009: a "Personal Fragrance Product" with 20 percent or less fragrance.

(ii) For products manufactured on or after January 1, 2009: a "Personal Fragrance Product" with 20 percent or less fragrance that is designed for application all over the human body to provide a scent. A "Deodorant Body Spray" product that indicates or depicts on the container or packaging, or on any sticker or label affixed thereto, that it can be used on or applied to the human axilla, is a "Deodorant"

(53) "Device" means any instrument or contrivance (other than a firearm) which is designed for trapping, destroying, repelling, or mitigating any pest or any other form of plant or animal life (other than man and other than bacterium, virus, or another microorganism on or in living man or other living animals); but not including equipment used for the application of pesticides when sold separately therefrom.

(54) "Disinfectant" means a product that is labeled as a "disinfectant", or is labeled to destroy or irreversibly inactivate infectious or other undesirable bacteria, pathogenic fungi, or viruses on surfaces or inanimate objects and whose label is registered as a "disinfectant" under the **Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA, 7 U.S.C. 136, et seq.)**. Products that are labeled as both a "sanitizer" and a "disinfectant" are considered disinfectants. "Disinfectant" does not include any of the following: (i) products labeled solely for use on human or animals, (ii) products labeled solely for agricultural use, (iii) products labeled solely for use in swimming pools, therapeutic tubs, or hot tubs, (iv) products which are labeled to be used on heat sensitive critical or semi-critical medical devices or medical equipment surfaces (v) products which are pre-moistened wipes or towelettes sold exclusively to medical, convalescent, or veterinary establishments, (vi) products which are labeled to be applied to food-contact surfaces and are not required to be rinsed prior to contact with food, or (vii) products which are labeled as "Bathroom and Tile Cleaners," "Glass Cleaners," "General Purpose Cleaners," "Toilet/Urinal Care Products," "Metal Polishes," "Carpet Cleaners," or "Fabric Refreshers" that may also make disinfecting or anti-microbial claims on the label.

(55) "Distributor" means any person to whom a consumer product is sold or supplied for the purposes of resale or distribution in commerce, except that manufacturers, retailers, and consumers are not distributors.

(56) "Double Phase Aerosol Air Freshener" means an aerosol air freshener with the liquid contents in two or more distinct phases

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

that requires the product container be shaken before use to mix the phases, producing an emulsion.

(57) "Dry Cleaning Fluid" means any non-aqueous liquid product designed and labeled exclusively for use on: (i) fabrics which are labeled "for dry clean only", such as clothing or drapery; or (ii) "S-coded" fabrics. "Dry Cleaning Fluid" includes, but is not limited to, those products used by commercial dry cleaners and commercial businesses that clean fabrics such as draperies at the customer's residence or work place. "Dry Cleaning Fluid" does not include "Spot Remover" or "Carpet and Upholstery Cleaner." For the purposes of this definition, S-coded fabric means an upholstery fabric designed to be cleaned only with water-free spot cleaning products as specified by the Joint Industry Fabric Standards Committee."

(58) "Dusting Aid" means a product designed to assist in removing dust and other soils from floors and other surfaces without leaving a wax or silicone based coating. "Dusting Aid" does not include "Pressurized Gas Duster".

(59) "Electrical Cleaner" means a product labeled to remove heavy soils such as grease, grime, or oil from electrical equipment, including, but not limited to, electric motors, armatures, relays, electric panels, or generators. Electrical Cleaner does not include "General Purpose Cleaner," "General Purpose Degreaser," "Dusting Aid," "Electronic Cleaner," "Energized Electrical Cleaner," "Pressurized Gas Duster," "Engine Degreaser," "Anti-Static Product," or products designed to clean the casings or housings of electrical equipment.

(60) "Electronic Cleaner" means a product labeled for the removal of dirt, moisture, dust, flux or oxides from the internal components of electronic or precision equipment such as , circuit boards, and the internal components of electronic devices, including but not limited to, radios, compact disc (CD) players, digital video disc (DVD) players, and computers. Electronic Cleaner does not include "General Purpose Cleaner," "General Purpose Degreaser," "Dusting Aid," "Pressurized Gas Duster," "Engine Degreaser," "Electrical Cleaner," "Energized Electrical Cleaner," "Anti-Static Product," or products labeled to clean the casings or housings of electronic equipment. "Electronic cleaner" does not include any product that meets both of the following criteria:

- (i) the product is labeled to clean and/or degrease electronic equipment, where cleaning and/or degreasing is accomplished when electrical current exists, or when there is residual electrical potential from a component, and
- (ii) the product label clearly displays the statements: "Energized Electronic Equipment use only."

(61) "Energized Electrical Cleaner" means a product that meets both of the following criteria:

- (i) the product is labeled to clean and/or degrease electrical equipment, where cleaning and/or degreasing is accomplished when electrical current exists, or when there is a residual electrical potential from a component, such as a capacitor; and
- (ii) the product label clearly displays the statements: "Energized Equipment use only. Not to be used for motorized vehicle maintenance, or their parts."

"Energized Electrical Cleaner" does not include "Electronic Cleaner."

(62) "Enforceable Sales" means the total amount of an ACP product sold for use in (OTC STATE), during the applicable compliance period specified in the ACP Agreement approving an ACP, as determined through enforceable sales records (expressed to the nearest pound, excluding product container and packaging).

(63) "Enforceable Sales Record" means a written, point-of-sale record or any other (OTC STATE)- approved system of documentation from which the mass, in pounds (less product container and packaging), of an ACP product sold to the end user in (OTC STATE) during the applicable compliance period can be accurately documented. For the purposes of this regulation, "enforceable sales records" include, but are not limited to, the following types of records:

- (i) accurate records of direct retail or other outlet sales to the end user during the applicable compliance period;
- (ii) accurate compilations, made by independent market surveying services, of direct retail or other outlet sales to the end users for the applicable compliance period, provided that a detailed method which can be used to verify any data comprising such summaries is submitted by the responsible ACP party and approved by the (OTC STATE);
- (iii) any other accurate product sales records approved by the (OTC STATE) as meeting the criteria specified in this subsection.

(64) "Engine Degreaser" means a cleaning product designed or labeled to remove grease, grime, oil and other contaminants from the external surfaces of engines and other mechanical parts.

(65) "Existing Product" means any formulation of the same product category and form sold, supplied, manufactured, or offered for sale in (OTC STATE) prior to (**effective date of the latest revised consumer products rule in OTC STATE**), or any subsequently introduced identical formulation.

(66) "Fabric Protectant" means:

- (i) For products manufactured before January 1, 2014: a product designed to be applied to fabric substrates to protect the surface from soiling from dirt and other impurities or to reduce absorption of liquid into the fabric's fibers. "Fabric Protectant" does not include waterproofers, products designed for use solely on leather, or products designed for use solely on fabrics which are labeled "for dry clean only" and sold in containers of 10 fluid ounces or less.

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(ii) For products manufactured on or after January 1, 2014: a product labeled to be applied to fabric substrates to protect the surface from soiling from dirt or other impurities or to reduce absorption of liquid into the fabric fibers. Fabric protectant does not include waterproofers, or products labeled for use solely on leather. Fabric protectant does not include pigmented products that are designed to be used primarily for coloring, products used for construction, reconstruction, modification, structural maintenance or repair of fabric substrates, or products that renew or restore fabric and qualifying as either "Clear coating" or "Vinyl/fabric/leather/polycarbonate coating."

(67) "Fabric Refresher" means a product labeled to neutralize or eliminate odors on non-laundered fabric including, but not limited to, soft household surfaces, rugs, carpeting, draperies, bedding, automotive interiors, footwear, athletic equipment, clothing and/or on household furniture or objects upholstered or covered with fabrics such as, but not limited to, wool, cotton, or nylon. "Fabric Refresher" does not include "Anti-static Product," "Carpet and Upholstery Cleaner," "Footwear or Leather Care Product," "Spot Remover," or "Disinfectant," or products labeled for application to both fabric and human skin.

(68) "Facial Cleaner or Soap" means a cleaner or soap designed primarily to clean the face. "Facial Cleaner or Soap" includes, but is not limited to, facial cleansing creams, semisolids, liquids, lotions, and substrate-impregnated forms. "Facial Cleaner or Soap" does not include prescription drug products, "Antimicrobial Hand or Body Cleaner or Soap," "Astringent/Toner," "General-use Hand or Body Cleaner or Soap," "Medicated Astringent/Medicated Toner," or "Rubbing Alcohol."

(69) "Fat Wood" means pieces of wood kindling with high naturally-occurring levels of sap or resin which enhance ignition of the kindling. "Fat wood" does not include any kindling with substances added to enhance flammability, such as wax-covered or wax-impregnated wood-based products.

(70) "Flea and Tick Insecticide" means any insecticide product that is designed for use against fleas, ticks, their larvae, or their eggs. "Flea and Tick Insecticide" does not include products that are designed to be used exclusively on humans or animals and their bedding.

(71) "Flexible Flooring Material" For products manufactured before January 1, 2014: means asphalt, cork, linoleum, no-wax, rubber, seamless vinyl and vinyl composite flooring.

(72) "Floor Coating" means an opaque coating that is labeled and designed for application to flooring, including but not limited to, decks, porches, steps, and other horizontal surfaces which may be subject to foot traffic.

(73) "Floor Polish or Wax" means:

(i) For products manufactured before January 1, 2014: a wax, polish, or any other product designed to polish, protect, or enhance floor surfaces by leaving a protective coating that is designed to be periodically replenished. "Floor Polish or Wax" does not include "spray buff products", products designed solely for the purpose of cleaning floors, floor finish strippers, products designed for unfinished wood floors, and coatings subject to architectural coatings regulations.

(ii) For products manufactured on or after January 1, 2014: a product designed or labeled to polish, wax, condition, protect, temporarily seal, or otherwise enhance floor surfaces by leaving a protective finish that is designed or labeled to be periodically replenished. "Floor Polish or Wax" does not include "spray buff products", floor wax strippers, products designed or labeled for unfinished wood floors, or coatings subject to architectural coatings regulations.

"Floor Polish or Wax" is divided into three categories: products for resilient flooring materials, products for nonresilient flooring materials and wood floor wax. For the purposes of this section:

(1) "Resilient flooring material" means flexible flooring material including but is not limited to, asphalt, cork, linoleum, no-wax, rubber, seamless vinyl, and vinyl composite flooring.

(2) "Nonresilient flooring material" means flooring of a mineral content which is not flexible. Nonresilient flooring material includes but is not limited to terrazzo, marble, slate, granite, brick, stone, ceramic tile, and concrete.

(3) "Wood floor wax" means wax-based products for use solely on wood floors.

(74) "Floor Seam Sealer" means any product designed and labeled exclusively for bonding, fusing, or sealing (coating) seams between adjoining rolls of installed flexible sheet flooring.

(75) "Floor Wax Stripper" means a product designed to remove natural or synthetic floor polishes or waxes through breakdown of the polish or wax polymers, or by dissolving or emulsifying the polish or wax. "Floor Wax Stripper" does not include aerosol floor wax strippers or products designed to remove floor wax solely through abrasion.

(76) "Flying Bug Insecticide" means any insecticide product that is designed for use against flying insects or other flying arthropods, including but not limited to flies, mosquitoes, moths, or gnats. "Flying Bug Insecticide" does not include "wasp and hornet insecticide", products that are designed to be used exclusively on humans or animals, or any moth-proofing product. For the purposes of this definition only, "moth-proofing product" means a product whose label, packaging, or accompanying literature indicates that the product is designed to protect fabrics from damage by moths, but does not indicate that the product is suitable for use against flying insects or other flying arthropods.

(77) "Footwear or Leather Care Product" means any product designed or labeled to be applied to footwear or to other leather articles/components, to maintain, enhance, clean, protect, or modify the appearance, durability, fit, or flexibility of the footwear or leather article/component. Footwear includes both leather and non-leather foot apparel. "Footwear or Leather Care Product" does not include "Fabric Protectant," "General Purpose Adhesive," "Contact Adhesive," "Vinyl/Fabric/Leather/Polycarbonate Coating,"

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

"Rubber/Vinyl Protectant," "Fabric Refresher," products solely for deodorizing, or sealant products with adhesive properties used to create external protective layers greater than 2 millimeters thick.

(78) "Fragrance" means a substance or complex mixture of aroma chemicals, natural essential oils, and other functional components with a combined vapor pressure not in excess of 2 millimeters of Mercury (mm Hg) at 20 degrees C, the sole purpose of which is to impart an odor or scent, or to counteract a malodor.

(79) "Furniture Maintenance Product" means a wax, polish, conditioner, or any other product labeled for the purpose of polishing, protecting or enhancing finished wood surfaces, other than floors, and other furniture surfaces including but not limited to acrylics, ceramic, plastics, stone surfaces, metal surfaces, and fiberglass. "Furniture Maintenance Product" does not include Dusting Aids, Wood Cleaners and products designed solely for the purpose of cleaning, or products designed to leave a permanent finish such as stains, sanding sealers and lacquers.

(80) "Furniture Coating" means any paint designed for application to room furnishings including, but not limited to, cabinets (kitchen, bath and vanity), tables, chairs, beds, and sofas.

(81) "Gel" means a colloid in which the disperse phase has combined with the continuous phase to produce a semisolid material, such as jelly.

(82) "General Purpose Adhesive" means any non-aerosol adhesive designed for use on a variety of substrates. "General Purpose Adhesive" does not include (i) contact adhesives, (ii) construction, panel, and floor covering adhesives, (iii) adhesives designed exclusively for application on one specific category of substrates (i.e., substrates that are composed of similar materials, such as different types of metals, paper products, ceramics, plastics, rubbers, or vinyls), or (iv) adhesives designed exclusively for use on one specific category of articles (i.e., articles that may be composed of different materials but perform a specific function, such as gaskets, automotive trim, weather-stripping, or carpets).

(83) "General Purpose Cleaner" means a product labeled to clean a variety of hard surfaces, including small appliances. "General Purpose Cleaner" includes, but is not limited to, products designed or labeled for general floor cleaning, kitchen, countertop, or sink cleaning, and cleaners designed or labeled to be used on a variety of hard surfaces such as stovetops, cooktops, or microwaves.

(84) "General Purpose Degreaser" means any product labeled to remove or dissolve grease, grime, oil and other oil-based contaminants from a variety of substrates, including automotive or miscellaneous metallic parts. "General Purpose Degreaser" does not include "Engine Degreaser," "General Purpose Cleaner," "Adhesive Remover," "Electronic Cleaner," "Electrical Cleaner," "Energized Electrical Cleaner," "Metal Polish or Cleanser," or "Oven or Grill Cleaner" or products used exclusively in "solvent cleaning tanks or related equipment," or products that are (i) exclusively sold exclusively directly or through distributors to establishments which manufacture or construct goods or commodities; and (ii) labeled "not for retail sale—exclusively for use in the manufacturing process only." "Solvent cleaning tanks or related equipment" includes, but is not limited to, cold cleaners, vapor degreasers, conveyORIZED degreasers, film cleaning machines, or products designed to clean miscellaneous metallic parts by immersion in a container.

(85) "General-use Hand or Body Cleaner or Soap" means a cleaner or soap designed to be used routinely on the skin to clean or remove typical or common dirt and soils. "General-use Hand or Body Cleaner or Soap" includes, but is not limited to, hand or body washes, dual-purpose shampoo-body cleaners, shower or bath gels, and moisturizing cleaners or soaps. "General-use Hand or Body Cleaner or Soap" does not include prescription drug products, "Antimicrobial Hand or Body Cleaner or Soap", "Astringent/Toner", "Facial Cleaner or Soap", "Hand Dishwashing Detergent" (including antimicrobial), "Heavy-duty Hand Cleaner or Soap", "Medicated Astringent/Medicated Toner", or "Rubbing Alcohol."

(86) "Glass Cleaner" means a cleaning product designed primarily for cleaning surfaces made of glass. Glass cleaner does not include products designed solely for the purpose of cleaning optical materials used in eyeglasses, photographic equipment, scientific equipment and photocopying machines.

(87) "Gross (OTC STATE) Sales" means the estimated total (OTC STATE) sales of an ACP product during a specific compliance period (expressed to the nearest pound), based on either of the following methods, whichever the responsible ACP party demonstrates to the satisfaction of the (OTC STATE) will provide an accurate (OTC STATE) sales estimate:

(i) apportionment of national or regional sales of the ACP product to (OTC STATE) sales, determined by multiplying the average national or regional sales of the product by the fraction of the national or regional population, respectively, that is represented by (OTC STATE) current population; or

(ii) any other documented method which provides an accurate estimate of the total current (OTC STATE) sales of the ACP product.

(88) "Graffiti Remover" means a product labeled to remove spray paint, ink, marker, crayon, lipstick, nail polish, or shoe polish, from a variety of non-cloth or nonfabric substrates. "Graffiti Remover" does not include "Paint Remover or Stripper," "Nail Polish Remover," or "Spot Remover." Products labeled for dual use as both a paint stripper and graffiti remover are considered "Graffiti Removers."

(89) "Hair Mousse" means a hairstyling foam designed to facilitate styling of a coiffure and provide limited holding power.

(90) "Hair Shine" means any product designed for the primary purpose of creating a shine when applied to the hair. "Hair Shine" includes, but is not limited to, dual-use products designed primarily to impart a sheen to the hair. "Hair Shine" does not include "Hair spray," "Hair Mousse," "Hair Styling Product," "Hair Styling Gel," or products whose primary purpose is to condition or hold the hair.

(91) "Hair Styling Gel" means a consumer product manufactured before January 1, 2009, that is a high viscosity, often gelatinous,

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

product that contains a resin and is designed for the application to hair to aid in styling and sculpting of the hair coiffure.

(92) "Hair spray" means:

(i) For products manufactured before January 1, 2009: a consumer product designed primarily for the purpose of dispensing droplets of a resin on and into a hair coiffure which will impart sufficient rigidity to the coiffure to establish or retain the style for a period of time, and

(ii) For products manufactured on or after January 1, 2009: a consumer product that is applied to styled hair, and is designed or labeled to provide sufficient rigidity, to hold, retain and/or (finish) the style of the hair for a period of time. "Hair Spray" includes aerosol hair sprays, pump hair sprays, spray waxes; color, glitter, or sparkle hairsprays that make finishing claims; and products that are both a styling and finishing product. "Hair Spray" does not include spray products that are intended to aid in styling but does not provide finishing of a hairstyle. For the purposes of this section, "finish" or "finishing" means the maintaining and/or holding of previously styled hair for a period of time. For the purposes of this section, "styling" means the forming, sculpting, or manipulating the hair to temporarily alter the hair's shape.

(93) "Hair Styling Product" means a consumer product manufactured on or after January 1, 2009, that is designed or labeled for the application to wet, damp or dry hair to aid in defining, shaping, lifting, styling and/or sculpting of the hair. "Hair Styling Product" includes, but is not limited to hair balm, clay, cream, creme, curl straightener, gel, liquid, lotion, paste, pomade, putty, root lifter, serum, spray gel, stick, temporary hair straightener, wax, spray products that aid in styling but do not provide finishing of a hairstyle, and leave-in volumizers, detanglers and/or conditioners that make styling claims. "Hair Styling Product" does not include "Hair Mousse," "Hair Shine," "Hair Spray," or shampoos and/or conditioners that are rinsed from the hair prior to styling. For the purposes of this section, "finish" or "finishing" means the maintaining and/or holding of previously styled hair for a period of time. For the purposes of this section, "styling" means the forming, sculpting, or manipulating the hair to temporarily alter the hair's shape.

(94) "Heavy-Duty Hand Cleaner or Soap" means a product designed to clean or remove difficult dirt and soils such as oil, grease, grime, tar, shellac, putty, printer's ink, paint, graphite, cement, carbon, asphalt, or adhesives from the hand with or without the use of water. "Heavy-duty Hand Cleaner or Soap" does not include prescription drug products, "Antimicrobial Hand or Body Cleaner or Soap", "Astringent/Toner", "Facial Cleaner or Soap", "General-use Hand or Body Cleaner or Soap", "Medicated Astringent/Medicated Toner" or "Rubbing Alcohol."

(95) "Herbicide" means a pesticide product designed to kill or retard a plant's growth, but excludes products that are: (i) for agricultural use, or (ii) restricted materials that require a permit for use and possession.

(96) "High-Temperature Coating" means a high performance coating labeled and formulated for application to substrates exposed continuously or intermittently to temperatures above 204 degrees C (400 degrees F).

(97) "High Volatility Organic Compound (HVOC)" means any volatile organic compound that exerts a vapor pressure greater than 80 mm Hg when measured at 20 degrees C.

(98) "Household Product" means any consumer product that is primarily designed to be used inside or outside of living quarters or residences that are occupied or intended for occupation by individuals, including the immediate surroundings.

(99) "Industrial Maintenance Coating" means a high performance architectural coating, including primers, sealers, undercoaters, intermediate coats, and topcoats formulated for application to substrates, including floors, exposed to one or more of the following extreme environmental conditions listed below and labeled "For industrial use only," "For professional use only," "Not for residential use," or "Not intended for residential use."

(i) Immersion in water, wastewater, or chemical solutions (aqueous and non-aqueous solutions), or chronic exposure of interior surfaces to moisture condensation; or

(ii) Acute or chronic exposure to corrosive, caustic, or acidic agents, or to chemicals, chemical fumes, or chemical mixtures or solutions; or

(iii) Frequent exposure to temperatures above 121 degrees C (250 degrees F); or

(iv) Frequent heavy abrasion, including mechanical wear and frequent scrubbing with industrial solvents, cleansers, scouring agents; or

(v) Exterior exposure of metal structures and structural components.

(100) "Insecticide" means a pesticide product that is designed for use against insects or other arthropods, but excluding products that are: (i) for agricultural use, or (ii) for a use which requires a structural pest control license under (**applicable OTC STATE laws or regulations**), or (iii) restricted materials that require a permit for use and possession.

(101) "Insecticide Fogger" means any insecticide product designed to release all or most of its content, as a fog or mist, into indoor areas during a single application.

(102) "Institutional Product" or "Industrial and Institutional (I&I) Product" means a consumer product that is designed for use in the maintenance or operation of an establishment that: (i) manufactures, transports, or sells goods or commodities, or provides services for profit; or (ii) is engaged in the nonprofit promotion of a particular public, educational, or charitable cause. "Establishments" include, but are not limited to, government agencies, factories, schools, hospitals, sanitariums, prisons, restaurants, hotels, stores,

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

automobile service and parts centers, health clubs, theaters, or transportation companies. "Institutional Product" does not include household products and products that are incorporated into or used exclusively in the manufacture or construction of the goods or commodities at the site of the establishment.

(103) "Label" means any written, printed, or graphic matter affixed to, applied to, attached to, blown into, formed, molded into, embossed on, or appearing upon any consumer product or consumer product package, for purposes of branding, identifying, or giving information with respect to the product or to the contents of the package.

(104) "Laundry Prewash" means a product that is designed for application to a fabric prior to laundering and that supplements and contributes to the effectiveness of laundry detergents and/or provides specialized performance.

(105) "Laundry Starch/Sizing/Fabric Finish Product" means a product that is labeled for application to a fabric, either during or after laundering, to impart and prolong a crisp, fresh look and may also act to help ease ironing of the fabric. "Laundry Starch/Sizing/Fabric Finish Product" includes, but is not limited to, starch, sizing, and fabric finish.

(106) "Lawn and Garden Insecticide" means an insecticide product labeled primarily to be used in household lawn and garden areas to protect plants from insects or other arthropods. Notwithstanding the requirements of section 6(c) aerosol "Lawn and Garden Insecticides" may claim to kill insects or other arthropods.

(107) "Liquid" means a substance or mixture of substances which is capable of a visually detectable flow as determined under **ASTM D-4359-90(2000)e1**, including any subsequent amendments. "Liquid" does not include powders or other materials that are composed entirely of solid particles.

(108) "Lubricant" means a product designed to reduce friction, heat, noise, or wear between moving parts, or to loosen rusted or immovable parts or mechanisms. "Lubricant" does not include automotive power steering fluids; products for use inside power generating motors, engines, and turbines, and their associated power-transfer gearboxes; two cycle oils or other products designed to be added to fuels; products for use on the human body or animals or products that are (i) exclusively sold exclusively directly or through distributors to establishments which manufacture or construct goods or commodities, and (ii) labeled "~~not for retail sale.~~" exclusively for "use in the manufacturing process only".

(109) "LVP Content" means the total weight, in pounds, of LVP compounds in an ACP product multiplied by 100 and divided by the product's total net weight (in pounds, excluding container and packaging), expressed to the nearest 0.1.

(110) "LVP-VOC" means a chemical "compound" or "mixture" that contains at least one carbon atom and meets one of the following:

- (i) has a vapor pressure less than 0.1 mm Hg at 20 degrees C, as determined by **CARB Method 310**; or
- (ii) is a chemical "compound" with more than 12 carbon atoms, or a chemical "mixture" comprised solely of "compounds" with more than 12 carbon atoms as verified by formulation data, and the vapor pressure and boiling point are unknown; or
- (iii) is a chemical "compound" with a boiling point greater than 216 degrees C, as determined by **CARB Method 310**; or
- (iv) is the weight percent of a chemical "mixture" that boils above 216 degrees C, as determined by **CARB Method 310**.

For the purposes of the definition of LVP-VOC, chemical "compound" means a molecule of definite chemical formula and isomeric structure, and chemical "mixture" means a substrate comprised of two or more chemical "compounds".

(111) "Manufacturer" means any person who imports, manufactures, assembles, produces, packages, repackages, or relabels a consumer product.

(112) "Medicated Astringent/Medicated Toner" means any product regulated as a drug by the FDA which is applied to the skin for the purpose of cleaning or tightening pores. "Medicated Astringent/Medicated Toner" includes, but is not limited to, clarifiers and substrate-impregnated products. "Medicated Astringent/Medicated Toner" does not include hand, face, or body cleaner or soap products, "Personal Fragrance Products," "Astringent/Toner," cold cream, lotion, antiperspirants, or products that must be purchased with a doctor's prescription.

(113) "Medium Volatility Organic Compound (MVOC)" means any volatile organic compound that exerts a vapor pressure greater than 2 mm Hg and less than or equal to 80 mm Hg when measured at 20 degrees C.

(114) "Metal Polish/Cleanser" means any product designed primarily to improve the appearance of finished metal, metallic, or metallized surfaces by physical or chemical action. To "improve the appearance" means to remove or reduce stains, impurities, or oxidation from surfaces or to make surfaces smooth and shiny. "Metal Polish/Cleanser" includes, but is not limited to, metal polishes used on brass, silver, chrome, copper, stainless steel and other ornamental metals. "Metal Polish/Cleanser" does not include "Automotive Wax, Polish, Sealant or Glaze", wheel cleaner, "Paint Remover or Stripper", products designed and labeled exclusively for automotive and marine detailing, or products designed for use in degreasing tanks.

(115) "Missing Data Days" means the number of days in a compliance period for which the responsible ACP party has failed to provide the required Enforceable Sales or VOC Content data to the (OTC STATE), as specified in the ACP Agreement approving an ACP.

(116) "Mist Spray Adhesive" means any aerosol which is not a special purpose spray adhesive and which delivers a particle or

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

mist spray, resulting in the formation of fine, discrete particles that yield a generally uniform and smooth application of adhesive to the substrate.

(117) "Multi-purpose Dry Lubricant" means any lubricant which is: (i) designed and labeled to provide lubricity by depositing a thin film of graphite, molybdenum disulfide ("moly"), or polytetrafluoroethylene or closely related fluoropolymer ("teflon") on surfaces, and (ii) designed for general purpose lubrication, or for use in a wide variety of applications.

(118) "Multi-purpose Lubricant" means any lubricant designed for general purpose lubrication, or for use in a wide variety of applications. "Multi-purpose Lubricant" does not include "Multi-purpose Dry Lubricants", "Penetrants", or "Silicone-based Multi-purpose Lubricants".

(119) "Multi-purpose Solvent" means:

(i) For products manufactured before January 1, 2015: any organic liquid designed to be used for a variety of purposes, including cleaning or degreasing of a variety of substrates, or thinning, dispersing or dissolving other organic materials. "Multi-purpose Solvent" includes solvents used in institutional facilities, except for laboratory reagents used in analytical, educational, research, scientific or other laboratories. "Multi-purpose Solvent" does not include solvents used in cold cleaners, vapor degreasers, conveyORIZED degreasers or film cleaning machines, or solvents that are incorporated into, or used exclusively in the manufacture or construction of, the goods or commodities at the site of the establishment.

(ii) For products manufactured on or after January 1, 2015; any liquid product designed or labeled to be used for dispersing, dissolving, or removing contaminants or other organic materials. "Multi-purpose Solvent" also includes:

- (1) products that do not display specific use instructions on the product container or packaging,
- (2) products that do not specify an end-use function or application on the product container or packaging, and
- (3) solvents used in institutional facilities, except for laboratory reagents used in analytical, educational, research, scientific or other laboratories, and
- (4) "Paint clean-up" products, and
- (5) products labeled to prepare surfaces for painting.

For the purposes of this definition only, "Paint clean-up" means any liquid product labeled for cleaning oil-based or water-based paint, lacquer, varnish, or related coatings from, but not limited to, painting equipment or tools, plastics, or metals.

"Multi-purpose Solvent" does not include (1) solvents used in cold cleaners, vapor degreasers, conveyORIZED degreasers or film cleaning machines, or; (2) solvents labeled exclusively for the clean-up of application equipment used for polyaspartic and polyurea coatings; (3) solvents that are incorporated into, or used exclusively in the manufacture or construction of, the goods or commodities at the site of the establishment; (4) products that are labeled exclusively to clean a specific contaminant, on a single substrate, in specific situations; or (5) any product making any representation that the product may be used as, or is suitable for use as a consumer product which qualifies under another definition in section 2, such products are not "Multi-purpose Solvents" and are subject to the "Most Restrictive Limit" provision of section 6(c).

(120) "Nail Polish" means any clear or colored coating designed for application to the fingernails or toenails and including but not limited to, lacquers, enamels, acrylics, base coats and top coats.

(121) "Nail Polish Remover" means a product designed to remove nail polish and coatings from fingernails or toenails.

(122) "Non-aerosol Product" means any consumer product that is not dispensed by a pressurized spray system.

(123) "Non-Carbon Containing Compound" means any compound which does not contain any carbon atoms.

(124) "Nonresilient Flooring" For products manufactured before January 1, 2014: means flooring of a mineral content which is not flexible. "Nonresilient Flooring" includes terrazzo, marble, slate, granite, brick, stone, ceramic tile and concrete.

(125) "Non-Selective Terrestrial Herbicide" means a terrestrial herbicide product that is toxic to plants without regard to species.

(126) "One-product business" means a responsible ACP party which sells, supplies, offers for sale, or manufactures for use in (OTC STATE):

- (i) only one distinct ACP product, sold under one product brand name, which is subject to the requirements of section 3, or
- (ii) only one distinct ACP product line subject to the requirements of section 3, in which all the ACP products belong to the same product category(ies) and the VOC Contents in the products are within 98.0 percent and 102.0 percent of the arithmetic mean of the VOC Contents over the entire product line.

(127) "Oven or Grill Cleaner" means ~~any cleaning a product designed or labeled exclusively to clean and to remove dried or~~ baked on greases and/or food deposits from ~~even walls~~ food preparation and/or food cooking surfaces. A product that is labeled as an "Oven or Grill Cleaner" that makes claims that it is suitable for degreasing other hard surfaces is a "General Purpose Degreaser." A product that is labeled as an "Oven or Grill Cleaner" that makes claims that it is suitable for cleaning other hard surfaces is a "General Purpose Cleaner."

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(128) "(OTC STATE) Sales" means the sales (net pounds of product, less packaging and container, per year) in (OTC STATE) for either the calendar year immediately prior to the year that the registration is due or, if that data is not available, any consecutive 12 month period commencing no earlier than 2 years prior to the due date of the registration. If direct sales data for (OTC STATE) is not available, sales may be estimated by prorating national or regional sales data by population.

(129) "Paint" means any pigmented liquid, liquefiable, or mastic composition designed for application to a substrate in a thin layer which is converted to an opaque solid film after application and is used for protection, decoration or identification, or to serve some functional purpose such as the filling or concealing of surface irregularities or the modification of light and heat radiation characteristics.

(130) "Paint Remover or Stripper" means any product designed to strip or remove paints or other related coatings, by chemical action, from a substrate without markedly affecting the substrate. "Paint Remover or Stripper" does not include "Multi-purpose Solvents," paint brush cleaners, products designed and labeled exclusively as "Graffiti Removers," and hand cleaner products that claim to remove paints and other related coatings from skin.

(131) "Paint Thinner" For products manufactured on or after January 1, 2015: means any liquid product used for reducing the viscosity of coating compositions or components, that prominently displays the term "Paint Thinner," "Lacquer Thinner," "Thinner," or "Reducer" on the front panel of its packaging. "Paint Thinner" does not include any of the following products:

(i) "Artist's Solvent/Thinner,"

(ii) products that are sold in containers with a capacity of 5 gallons or more and labeled exclusively for the thinning of Industrial Maintenance Coatings, Zinc-Rich Primers, or High Temperature Coatings;

(iii) products labeled and used exclusively as an ingredient in a specific coating or coating brand line, whereby the coating would not be complete or useable without the specific ingredient;

(iv) products that meet both of the following criteria:

(1) the Principle Display Panel of the product displays, in a font size as large as, or larger than, the font size of all other words on the panel (not including the font size used for the company name, brand name, or logo), language that the product is used exclusively for the thinning of Industrial Maintenance Coatings, Zinc-Rich Primers, or High Temperature Coatings, and

(2) no representation is made anywhere on the product container or packaging, or any label or sticker attached thereto, that the product is suitable for use or may be used for any other purpose except the thinning of Industrial Maintenance Coatings, Zinc-Rich Primers, or High Temperature Coatings.

(133) "Penetrant" means a lubricant designed and labeled primarily to loosen metal parts that have bonded together due to rusting, oxidation, or other causes. "Penetrant" does not include "Multi-purpose Lubricants" that claim to have penetrating qualities, but are not labeled primarily to loosen bonded parts.

(134) "Person" means any individual, public or private corporation, political subdivision, government agency, department or bureau of the State, municipality, industry, copartnership, association, firm, trust, estate or any legal entity whatsoever **(or applicable OTC State definition)**.

(135) "Personal Fragrance Product" means any product which is applied to the human body or clothing for the primary purpose of adding a scent or masking a malodor, including cologne, perfume, aftershave, and toilet water. "Personal Fragrance Product" does not include: (i) Deodorant; (ii) medicated products designed primarily to alleviate fungal or bacterial growth on feet or other areas of the body; (iii) mouthwashes, breath fresheners and deodorizers; (iv) lotions, moisturizers, powders or other skin care products used primarily to alleviate skin conditions such as dryness and irritations; (v) products designed exclusively for use on human genitalia; (vi) soaps, shampoos, and products primarily used to clean the human body; and (vii) fragrance products designed to be used exclusively on non-human animals.

(136) "Pesticide" means and includes any substance or mixture of substances labeled, designed, or intended for use in preventing, destroying, repelling or mitigating any pest, or any substance or mixture of substances labeled, designed, or intended for use as a defoliant, desiccant, or plant regulator, provided that the term "pesticide" will not include any substance, mixture of substances, or device which the United States Environmental Protection Agency does not consider to be a pesticide.

(137) "Pre-ACP VOC Content" means the lowest VOC content of an ACP product between January 1, 1990 and the date on which the application for a proposed ACP is submitted to the (OTC STATE), based on either the data on the product obtained from the **March 12, 1991 CARB Consumer Products Survey**, or other accurate records available to the (OTC STATE), whichever yields the lowest VOC content for the product.

(138) "Pressurized Gas Duster" means a pressurized product labeled to remove dust from a surface solely by means of mass air or gas flow, including surfaces such as photographs, photographic film negatives, computer keyboards, and other types of surfaces that cannot be cleaned with solvents. "Pressurized Gas Duster" does not include "Dusting Aid."

(139) "Principal Display Panel or Panels" means that part, or those parts of a label that are so designed as to most likely be displayed, presented, shown or examined under normal and customary conditions of display or purchase. Whenever a principal display panel appears more than once, all requirements pertaining to the "principal display panel" shall pertain to all such "principal display panels".

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(140) "Product Brand Name" means the name of the product exactly as it appears on the principal display panel of the product.

(141) "Product Category" means the applicable category which best describes the product as listed in this section 2 and in the Table of Standards in section 3 (a).

(142) "Product Form", for the purpose of complying with § section 7 only, means the applicable form which most accurately describes the product's dispensing form as follows:

A = Aerosol Product S = Solid
P = Pump Spray L = Liquid
SS = Semisolid O = Other

(143) "Product Line" means a group of products of identical form and function belonging to the same product category(ies).

(144) "Propellant" means a liquefied or compressed gas that is used in whole or in part, such as a cosolvent, to expel a liquid or any other material from the same self-pressurized container or from a separate container.

(145) "Pump Spray" means a packaging system in which the product ingredients within the container are not under pressure and in which the product is expelled only while a pumping action is applied to a button, trigger or other actuator.

(146) "Reconcile or Reconciliation" means to provide sufficient VOC emission reductions to completely offset any shortfalls generated under the ACP during an applicable compliance period.

(147) "Reconciliation of Shortfalls Plan" means the plan to be implemented by the responsible ACP party when shortfalls have occurred, as approved by the (OTC STATE) pursuant to section 11 (c)(1)(vii)(j).

(148) "Responsible Party" means the company, firm or establishment which is listed on the product's label. If the label lists two companies, firms or establishments, the responsible party is the party which the product was "manufactured for" or "distributed by", as noted on the label.

(149) "Responsible ACP Party" means the company, firm or establishment which is listed on the ACP product's label. If the label lists two or more companies, firms, or establishments, the "responsible ACP party" is the party which the ACP product was "manufactured for" or "distributed by", as noted on the label.

(150) "Restricted Materials" means pesticides established as restricted materials under applicable (OTC STATE) Laws or Regulations.

(151) "Retailer" means any person who sells, supplies, or offers consumer products for sale directly to consumers.

(152) "Retail Outlet" means any establishment at which consumer products are sold, supplied, or offered for sale directly to consumers.

(153) "Roll-on Product" means any antiperspirant or deodorant that dispenses active ingredients by rolling a wetted ball or wetted cylinder on the affected area.

(154) "Rubber / Vinyl Protectant" means:

(i) For products manufactured before January 1, 2014: any product designed to protect, preserve or renew vinyl, rubber, and plastic on vehicles, tires, luggage, furniture, and household products such as vinyl covers, clothing, and accessories. "Rubber and Vinyl Protectant" does not include products primarily designed to clean the wheel rim, such as aluminum or magnesium wheel cleaners, and tire cleaners that do not leave an appearance-enhancing or protective substance on the tire.

(ii) For Products manufactured on or after January 1, 2014, (except aerosol tire shine products for which the effective date is January 1, 2016): any product labeled to protect, preserve or renew vinyl, or rubber on vehicles, tires, luggage, furniture, and/or household products such as vinyl covers, clothing, or accessories. Rubber / vinyl protectant does not include: products labeled to clean the wheel rim, such as aluminum or magnesium wheel cleaners; tire cleaners that do not leave an appearance-enhancing or protective substance on the tire; pigmented products designed or labeled to be used primarily for coloring; products used for construction, reconstruction, modification, structural maintenance or repair of rubber or vinyl substrates; or products, other than those labeled to be used on vehicle tires; qualifying as either "Clear Coating" or "Vinyl/fabric/leather/polycarbonate coating."

(155) "Rubbing Alcohol" means any product containing isopropyl alcohol (also called isopropanol) or denatured ethanol and labeled for topical use, usually to decrease germs in minor cuts and scrapes, to relieve minor muscle aches, as a rubefacient, and for massage.

(156) "Sanitizer" For products manufactured on or after January 1, 2014: means a product that is labeled as a "sanitizer", or labeled to reduce, but not necessary eliminate, microorganisms in the air, on surfaces, or on inanimate objects, and whose label is registered as a "sanitizer" under the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA; 7 U.S.C. section 136 et seq.) Products that are labeled as both a "sanitizer" and a "disinfectant," are considered disinfectants. "Sanitizer" does not include: (i) "Disinfectant," (ii) products labeled solely for use on humans or animals, (iii) products labeled solely for agricultural use, (iv) products labeled solely for use in swimming, therapeutic tubs, or hot tubs, (v) products which are labeled to be used on heat sensitive critical or semi-critical medical devices or medical equipment surfaces, (vi) products which are pre-moistened wipes or towelettes sold exclusively to medical, convalescent or veterinary establishments, (vii) products which are labeled to be applied to food-contact surfaces and are not required to be rinsed prior to contact with food, or

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(viii) products which are labeled as "Bathroom and Tile Cleaners," "Glass Cleaners," "General Purpose Cleaners," "Toilet/Urinal Care Products," "Metal Polishers," "Carpet Cleaners," or "Fabric Refreshers" that may also make sanitizing or anti-microbial claims on the label.

(157) "Sealant and Caulking Compound" means any product with adhesive properties that is designed to fill, seal, waterproof, or weatherproof gaps or joints between two surfaces. "Sealant and Caulking Compound" does not include roof cements and roof sealants; insulating foams; removable caulking compounds; clear/paintable/water resistant caulking compounds; floor seam sealers; products designed exclusively for automotive uses; or sealers that are applied as continuous coatings. "Sealant and Caulking Compound" also does not include units of product, less packaging, which weigh more than one pound and consist of more than 16 fluid ounces. For the purposes of this definition only, "removable caulking compounds" means a compound which temporarily seals windows or doors for three to six month time intervals, and "clear/paintable/water resistant caulking compounds" means a compound which contains no appreciable level of opaque fillers or pigments; transmits most or all visible light through the caulk when cured; is paintable; and is immediately resistant to precipitation upon application.

(158) "Semisolid" means a product that, at room temperature, will not pour, but will spread or deform easily, including but not limited to gels, pastes, and greases.

(159) "Shaving Cream" means an aerosol product which dispenses a foam lather intended to be used with a blade or cartridge razor, or other wet-shaving system, in the removal of facial or other bodily hair. "Shaving Cream" does not include "Shaving Gel."

(160) "Shaving Gel" means an aerosol product which dispenses a post-foaming semisolid designed to be used with a blade, cartridge razor, or other shaving system in the removal of facial or other bodily hair. "Shaving Gel" does not include "Shaving Cream."

(161) "Shortfall" means the ACP Emissions minus the ACP Limit when the ACP Emissions were greater than the ACP Limit during a specified compliance period, expressed to the nearest pound of VOC. "Shortfall" does not include emissions occurring prior to the date that the ACP Agreement approving an ACP is signed by the (OTC STATE).

(162) "Silicone-based Multi-purpose Lubricant" means any lubricant which is: (i) designed and labeled to provide lubricity primarily through the use of silicone compounds including, but not limited to, polydimethylsiloxane, and (ii) designed and labeled for general purpose lubrication, or for use in a wide variety of applications. "Silicone-based Multi-purpose Lubricant" does not include products designed and labeled exclusively to release manufactured products from molds.

(163) "Single Phase Aerosol Air Freshener" means an aerosol air freshener with the liquid contents in a single homogeneous phase and which does not require that the product container be shaken before use.

(164) "Small Business" Shall have the same meaning as defined in **(applicable OTC STATE laws and regulations)**.

(165) "Solid" means a substance or mixture of substances which, either whole or subdivided (such as the particles comprising a powder), is not capable of visually detectable flow as determined under **ASTM D-4359-90(2000)e1**, including any subsequent amendments.

(166) "Special Purpose Spray Adhesive" means an aerosol adhesive that meets any of the following definitions:

(i) "Mounting Adhesive" means an aerosol adhesive designed to permanently mount photographs, artwork, and any other drawn or printed media to a backing (paper, board, cloth, etc.) without causing discoloration to the artwork.

(ii) "Flexible Vinyl Adhesive" means an aerosol adhesive designed to bond flexible vinyl to substrates. Flexible vinyl means a nonrigid polyvinyl chloride plastic with at least five percent, by weight, of plasticizer content. A plasticizer is a material, such as a high boiling point organic solvent, that is incorporated into a plastic to increase its flexibility, workability, or distensibility, and may be determined using **ASTM Method E260-91**, including any subsequent amendments or from product formulation data.

(iii) "Polystyrene Foam Adhesive" means an aerosol adhesive designed to bond polystyrene foam to substrates.

(iv) "Automobile Headliner Adhesive" means an aerosol adhesive designed to bond together layers in motor vehicle headliners.

(v) "Polyolefin Adhesive" means an aerosol adhesive designed to bond polyolefins to substrates.

(vi) "Laminate Repair/Edgebanding Adhesive" means an aerosol adhesive designed for:

(a) The touch-up or repair of items laminated with high pressure laminates (e.g., lifted edges, delaminations, etc.) or for;

(b) the touch-up, repair, or attachment of edgebanding materials, including but not limited to, other laminates, synthetic marble, veneers, wood molding, and decorative metals.

For the purposes of this definition "high pressure laminate" means sheet materials which consist of paper, fabric, or other core material that have been laminated at temperatures exceeding 265 degrees F, and at pressures between 1,000 and 1,400 psi.

(vii) Automotive Engine Compartment Adhesive means an aerosol adhesive designed for use in motor vehicle under-the-hood applications which require oil and plasticizer resistance, as well as high shear strength, at temperatures of 200 - 275 degrees F.

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(167) "Spot Remover" means any product labeled to clean localized areas, or remove localized spots or stains on cloth or fabric such as drapes, carpets, upholstery, and clothing, that does not require subsequent laundering to achieve stain removal. "Spot Remover" does not include "Dry Cleaning Fluid," "Laundry Prewash," or "Multi-purpose Solvent."

(168) "Spray Buff Product" means a product designed to restore a worn floor finish in conjunction with a floor buffing machine and special pad.

(169) "Stick Product" For products manufactured before January 1, 2014: means any antiperspirant or deodorant that contains active ingredients in a solid matrix form, and that dispenses the active ingredients by frictional action on the affected area.

(170) "Structural Waterproof Adhesive" For products manufactured before January 1, 2014: means an adhesive whose bond lines are resistant to conditions of continuous immersion in fresh or salt water, and that conforms with **Federal Specification MMM-A-181D (Type 1, Grade A)**, This definition is as per the **Federal Consumer Products Regulation 40 CFR59 Subpart C**.

(171) "Surplus Reduction" means the ACP Limit minus the ACP Emissions when the ACP Limit was greater than the ACP Emissions during a given compliance period, expressed to the nearest pound of VOC. Except as provided in section 11 (g)(3), "Surplus Reduction" does not include emissions occurring prior to the date that the ACP Agreement approving an ACP is signed by the (OTC STATE).

(172) "Surplus Trading" means the buying, selling, or transfer of Surplus Reductions between responsible ACP parties.

(173) "Table B Compound" means any carbon-containing compound listed as an exception to the definition of VOC in section 2.

(174) "Temporary Hair Color" For products manufactured on or after January 1, 2014: means any product that applies color, glitter, or UV-active pigments to hair, wigs, or fur and is removable when washed. "Temporary hair color" includes hair color mousses and products labeled to add texture or thickness to cover thinning/balding areas. "Temporary Hair Color" does not include "Hair Spray," "Hair Styling Product," or "Hair Mousse."

(175) "Terrestrial" means to live on or grow from land.

(176) "Tire Sealant and Inflation" means any pressurized product that is designed to temporarily inflate and seal a leaking tire.

(177) "Toilet/Urinal Care Product" means any product designed or labeled to clean and/or to deodorize toilet bowls, toilet tanks, or urinals. Toilet bowls, toilet tanks, or urinals includes, but is not limited to, toilets or urinals connected to permanent plumbing in buildings and other structures, portable toilets or urinals placed at temporary or remote locations, and toilet or urinals in vehicles such as buses, recreational motor homes, boats, ships, and aircraft. "Toilet/Urinal Care Product" does not include "Bathroom and Tile Cleaner" or "General Purpose Cleaner."

(178) "Total Maximum Historical Emissions (TMHE)" means the total VOC emissions from all ACP products for which the responsible ACP party has failed to submit the required VOC Content or Enforceable Sales records. The TMHE shall be calculated for each ACP product during each portion of a compliance period for which the responsible ACP has failed to provide the required VOC Content or Enforceable Sales records. The TMHE shall be expressed to the nearest pound and calculated according to the following calculation:

$$TMHE = (MHE)_1 + (MHE)_2 + K + (MHE)_N$$

where,

$$MHE = \left(\frac{\text{Highest VOC Content} \times \text{Highest Sales}}{100 \times 365} \right) \times \text{Missing Data Days}$$

Highest

VOC Content = the maximum VOC content which the ACP product has contained in the previous 5 years, if the responsible ACP party has failed to meet the requirements for reporting VOC Content data (for any portion of the compliance period), as specified in the ACP Agreement approving the ACP, or the current actual VOC Content, if the responsible ACP party has

provided all required VOC Content data (for the entire compliance period), as specified in the ACP Agreement.

Highest Sales = the maximum one-year Gross (OTC STATE) Sales of the ACP product in the previous 5 years, if the responsible ACP party has failed to meet the requirements for reporting Enforceable Sales records (for any portion of the compliance period), as specified in the ACP Agreement approving the ACP, or the current actual one-year Enforceable Sales for the product, if the responsible ACP party has provided all required Enforceable Sales records (for the entire compliance period), as specified in the ACP Agreement approving the ACP.

Missing Data = the number of days in a compliance period for which the responsible

Days ACP party has failed to provide the required Enforceable Sales or VOC Content data as specified in the ACP Agreement approving an ACP.

1, 2, ..., N = each product in an ACP, up to the maximum N, for which the responsible ACP party has failed to submit the required Enforceable Sales or VOC Content data as specified in the ACP Agreement approving an ACP.

(179) "Type A Propellant" means a compressed gas such as CO₂, N₂, N₂O, or compressed air which is used as a propellant, and

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

is either incorporated with the product or contained in a separate chamber within the product's packaging.

(180) "Type B Propellant" means any halocarbon which is used as a propellant including chlorofluorocarbons (CFCs), hydrochlorofluorocarbons (HCFCs), and hydrofluorocarbons (HFCs).

(181) "Type C Propellant" means any propellant which is not a Type A or Type B propellant, including propane, isobutane, n-butane, and dimethyl ether (also known as dimethyl oxide).

(182) "Undercoating" means any aerosol product designed to impart a protective, non-paint layer to the undercarriage, trunk interior, and/or firewall of motor vehicles to prevent the formation of rust or to deaden sound. "Undercoating" includes, but is not limited to, rubberized, mastic, or asphaltic products.

(183) "Usage Directions" means the text or graphics on the product's principal display panel, label, or accompanying literature which describes to the end user how and in what quantity the product is to be used.

(184) "Vinyl/Fabric/Leather/Polycarbonate Coating" means a coating designed and labeled exclusively to coat vinyl, fabric, leather, or polycarbonate substrates.

(185) "VOC Content" means, except for charcoal lighter products, the total weight of VOC in a product expressed as a percentage of the product weight (exclusive of the container or packaging), as determined pursuant to sections 9 (a) and (b).

For charcoal lighter material products only,

$$VOC\ Content = \frac{(Certified\ Emissions\ x\ 100)}{Certified\ Use\ Rate}$$

Certified

Emissions = the emissions level for products approved by the (OTC STATE) under section 3(f), as determined pursuant to **South Coast Air Quality Management District Rule 1174 Ignition Method Compliance Certification Protocol (Feb. 27, 1991)**, including subsequent amendments, expressed to the nearest 0.001 pound CH₂ per start.

Certified

Use Rate = the usage level for products approved by the (OTC STATE) under section 3(f), as determined pursuant to **South Coast Air Quality Management District Rule 1174 Ignition Method Compliance Certification Protocol (Feb. 27, 1991)**, including subsequent amendments, expressed to the nearest 0.001 pound certified product used per start.

(186) "Volatile Organic Compound (VOC)" means:

The Federal Definition at 40 CFR 51.100, or OTC State Definition as appropriate. Note, the CARB definition differs from the Federal Definition.

(187) "Wasp and Hornet Insecticide" means any insecticide product that is designed for use against wasps, hornets, yellow jackets or bees by allowing the user to spray from a distance a directed stream or burst at the intended insects, or their hiding place.

(188) "Waterproofer" means a product designed and labeled exclusively to repel water from fabric or leather substrates. "Waterproofer" does not include "Fabric Protectants".

(189) "Wax" means a material or synthetic thermoplastic substance generally of high molecular weight hydrocarbons or high molecular weight esters of fatty acids or alcohols, except glycerol and high polymers (plastics). "Wax" includes, but is not limited to, substances derived from the secretions of plants and animals such as carnauba wax and beeswax, substances of a mineral origin such as ozocerite and paraffin, and synthetic polymers such as polyethylene.

(190) "Web Spray Adhesive" means any aerosol adhesive which is not a "Mist Spray Adhesive" or "Special Purpose Spray Adhesive."

(191) "Wood Cleaner" means a product labeled to clean wooden materials including but not limited to decking, fences, flooring, logs, cabinetry, and furniture. "Wood Cleaner" does not include "Dusting Aid," "General Purpose Cleaner," "Furniture Maintenance Product," "Floor Wax Stripper," "Floor Polish or Wax," or products designed and labeled exclusively to preserve or color wood.

(192) "Wood Floor Wax" For products manufactured before January 1, 2014: means wax-based products for use solely on wood floors.

(193) "Working Day" means any day between Monday through Friday, inclusive, except for days that are federal holidays.

(194) "Zinc Rich Primer" means a coating that meets all the following specifications:

(i) coating contains at least 65 percent metallic zinc powder or zinc dust by weight of total solids; and

(ii) coating is formulated for application to metal substrates to provide a firm bond between the substrate and subsequent applications of coatings; and

(iii) coating is intended for professional use only and labeled "For Professional Use Only," "For Industrial Use Only," "Not for

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

residential use.” or “Not intended for residential use.”

3. Standards.

(a) Except as provided in sections 4 (Exemptions), 5 (Innovative Products), 8 (Variances), and 11 (Alternative Control Plan), no person shall sell, supply, offer for sale, distribute for sale, or manufacture for sale in (OTC STATE) any consumer product manufactured on or after the effective date in the following Table of Standards which contains volatile organic compounds in excess of the limits specified in the following Table of Standards:

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

Table of Standards
(percent volatile organic compounds by weight)

Product Category	Effective Date: 1/1/2005	Effective Date: 1/1/2009	Effective Date: 1/1/2014
Adhesive Removers:			
Floor or Wall covering		5	
Gasket or Thread Locking		50	
General Purpose		20	
Specialty		70	
Adhesives:			
Aerosol Mist Spray	65		
Aerosol Web Spray	55		
Special Purpose Spray Adhesives: Mounting, Automotive Engine Compartment, and Flexible Vinyl	70		
Polystyrene Foam and Automotive Headliner	65		
Polyolefin and Laminate Repair/ Edgebanding	60		
Construction, Panel, and Floor Covering Contact	15	15*	7
Contact General Purpose	80	N/A	
Contact Special Purpose		55	
General Purpose	10	80	
Structural Waterproof	15		
Air Fresheners:			
Single-Phase Aerosols	30		
Double-Phase Aerosols	25		
Liquids / Pump Sprays	18		
Solids / semisolids	3		
Antiperspirants:			
Aerosol	40 HVOC 10 MVOC		
-			
Non-Aerosol	0 HVOC 0 MVOC		
Anti-static Product: Aerosol			
Non-Aerosol	11		80
Automotive Brake Cleaners	45		
Automotive Rubbing or Polishing Compound	17		
Automotive Wax, Polish, Sealant or Glaze:			
Hard Paste Waxes	45		
Instant Detailers	3		
All Other Forms	15		
Automotive Windshield Cleaner			35
Automotive Windshield Washer Fluids	35		
Bathroom and Tile Cleaners:			
Aerosols	7		
All Other Forms	5	5*	N/A
Non-Aerosol			1
Brake Cleaner	45	45*	10
Bug and Tar Remover	40		
Carburetor or Fuel-Injection Air Intake Cleaners	45	45*	10
Carpet and Upholstery Cleaners:			
Aerosols	7		
Non-Aerosols (Dilutables)	0.1		
Non-Aerosols (Ready-to-Use)	3.0		
Charcoal Lighter Material	see section 3 (f)		
Cooking Spray, Aerosols	18		
Deodorants:			
Aerosol	0 HVOC		

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

Product Category	Effective Date: 1/1/2005	Effective Date: 1/1/2009	Effective Date: 1/1/2014
Non-Aerosol	10 MVOC 0 HVOC 0 MVOC		
Disinfectant: Aerosols Non-Aerosols			70 1
Dusting Aids: Aerosols All Other Forms	25 7		
Electrical Cleaner		45	
Electronic Cleaner		75	
Engine Degreasers: Aerosol Non-Aerosol	35* 5		10
Fabric Protectants	60		
Fabric Refresher: Aerosol non Aerosol		15 6	
Floor Polishes / or Waxes: Resilient Flooring Materials Nonresilient Flooring Materials Wood Floor Wax -	7* 10* 90		1 1
Floor Wax Strippers, Non-Aerosol	see section 3 (h)		
Footwear or Leather Care Products Aerosol Solid Other forms		75 55 15	
Furniture Maintenance Products: Aerosols All Other Forms (Except Solid or Paste) Non-Aerosol (Except Solid or Paste)	17 7*		N/A 3
General Purpose Cleaners: Aerosols Non-Aerosols	10* 4		8
General Purpose Degreasers: Aerosols Non-Aerosols	50* 4		10
Glass Cleaners: Aerosols Non-Aerosols	12 4		
Graffiti Remover: Aerosol Non-Aerosol		50 30	
Hair Mousses	6		
Hairshines	55		

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

Product Category	Effective Date: 1/1/2005	Effective Date: 1/1/2009	Effective Date: 1/1/2014
Hairsprays	55		
Hair Styling Gels	6		
Hair Styling Products: Aerosol and Pump Sprays All other Forms		6 2	
Heavy-Duty Hand Cleaner or Soap	8		
Insecticides:			
Crawling Bug (Aerosol) Crawling Bug (all other forms) Flea and Tick	15		
Flying Bug (Aerosol)	20		
Flying Bug (all other forms) Foggers	25		
Lawn and Garden (all other forms) Lawn and Garden (Non-Aerosol) Wasp and Hornet	25		
	35		
	45		
	20		
	3		
	40		
Laundry Prewash: Aerosols / Solids All Other Forms	22		
	5		
Laundry Starch / Sizing / Fabric Finish Products:	5*		4.5
Metal Polishes / Cleansers	30		
Multi-Purpose Lubricant (Excluding Solid or Semi-Solid Products)	50		
<u>Multi-Purpose Solvent****</u>			<u>3****</u>
Nail Polish Remover	75		1
Non-Selective Terrestrial Herbicide Non-Aerosols	3		
Oven or Grill Cleaners: Aerosols / Pump Sprays Liquids Non-Aerosols	8 5*		TBD ¹ ₄
Paint Remover or Strippers	50		
<u>Paint Thinner****</u>			<u>3****</u>
Penetrants	50		
Rubber / Vinyl Protectants: Aerosols*** Non-Aerosols	10 3		
Sanitizer:			
Aerosol			70
Non-Aerosol			1
Sealants and Caulking Compounds	4		
Shaving Creams	5		
Shaving Gel	7*		4
Silicone-Based Multi-Purpose Lubricants (Excluding Solid or Semi-Solid Products)	60		
Spot Removers: Aerosols	25		

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

Product Category	Effective Date: 1/1/2005	Effective Date: 1/1/2009	Effective Date: 1/1/2014
Non-Aerosols	8		
Temporary Hair Color: Aerosol			55
Tire Sealants and Inflators	20		
Toilet/Urinal Care: Aerosol non-Aerosol	N/A N/A	10 3	
Undercoatings, Aerosols	40		
Wood Cleaner: Aerosol non-Aerosol		17 4	

Notes:

* VOC standards will expire on December 31, 2013 for these categories because they will have revised VOC standards that will take effect on January 1, 2014.

¹TBD (To be determined); CARB is currently doing a technical review for the proposed revised 1 percent VOC content limit for the product category Oven Cleaners (Non-aerosols (including pump sprays and liquids)) which took effect in California on December 31, 2008. There is a good possibility that the proposed 1 percent VOC limit will be changed because of this technical review.

***The VOC standards for Rubber/Vinyl Protectant Aerosols shall apply to aerosol tire shine products in this category beginning January 1, 2016.

**** The VOC standards for Multi-Purpose Solvents and Paint Thinners shall apply to those categories beginning January 1, 2015.

N/A = Not Applicable:

******(b) No person shall sell, supply, offer for sale, or manufacture for sale in (OTC STATE) any antiperspirant or deodorant which contains any compound that has been identified by the **CARB in Title 17, California Code of Regulations, Division 3, Chapter 1, Subchapter 7, Section 93000** as a toxic air contaminant.

(c) *Products that are diluted prior to use.*

(1) For consumer products for which the label, packaging, or accompanying literature specifically states that the product should be diluted with water or non-VOC solvent prior to use, the limits specified in the Table of Standards shall apply to the product only after the minimum recommended dilution has taken place. For purposes of this subsection, "minimum recommended dilution" shall not include recommendations for incidental use of a concentrated product to deal with limited special applications such as hard-to-remove soils or stains.

(2) For consumer products for which the label, packaging, or accompanying literature states that the product should be diluted with any VOC solvent prior to use, the limits specified in the Table of Standards shall apply to the product only after the maximum recommended dilution has taken place.

(d) *Sell-through of products.*

(1) Sell-through period. Notwithstanding the provisions of section 3(a) or 3(g), a consumer product manufactured prior to each of the effective dates specified for that product in the Table of Standards may be sold, supplied, or offered for sale after each of the specified effective dates. This subsection (d) does not apply to:

(i) any consumer product that does not display on the product container or package the date on which the product was manufactured, or a code indicating such date, in accordance with section 6(a), or

** (ii) **(Optional: 1 year sell through requirement for products containing para-dichlorobenzene)** Solid Air Fresheners and Toilet/Urinal Care Products that contain para-dichlorobenzene; these products are subject to the one-year sell-through period specified in section 3(n).

(e) *Products registered under FIFRA.* For those consumer products that are registered under the **Federal Insecticide, Fungicide, and Rodenticide Act, (FIFRA; 7 U.S.C. Section 136-136y)**, the effective date of the VOC standards specified in Table of standards is one year after the date specified in the Table of Standards.

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(f) *Requirements for charcoal lighter materials.* The following requirements shall apply to all charcoal lighter material products as defined in section 2:

(1) *Regulatory Standards.*

(i) No person shall sell, supply, or offer for sale after January 1, 2005 any charcoal lighter material product unless at the time of the transaction:

(a) the manufacturer can demonstrate that they have been issued a currently effective certification by the CARB under the Consumer Products provisions under **Subchapter 8.5, Article 2, Section 94509(h), of Title 17 of the California Code of Regulations**. This certification remains in effect for (OTC STATE) for as long as the CARB certification remains in effect. Any manufacturer claiming such a certification on this basis must submit to the appropriate (OTC STATE AGENCY) a copy of the certification decision (i.e., the Executive Order), including all conditions established by CARB applicable to the certification.

(b) (**Optional state specific certification procedures**) the manufacturer or distributor of the charcoal lighter material has been issued a currently effective certification pursuant to subsection (f)(2).

(c) (**Optional state specific certification procedures**) the charcoal lighter material meets the formulation criteria and other conditions specified in the applicable certification issued pursuant to subsection (f)(2).

(d) (**Optional state specific certification procedures**) the product usage directions for the charcoal lighter material are the same as those provided to the (OTC STATE AGENCY) pursuant to subsection (f)(2)(iii).

(2) (**Optional state specific certification procedures**) *Certification Requirements.*

(i) No charcoal lighter material formulation shall be certified under this subsection unless the applicant for certification demonstrates to the (OTC STATE AGENCY) satisfaction that the VOC emissions from the ignition of charcoal with the charcoal lighter material are less than or equal to 0.020 pound of VOC per start, using the procedures specified in the **South Coast Air Quality Management District Rule 1174 Ignition Method Compliance Certification Protocol, dated February 27, 1991 (the "South Coast Air Quality Management District Rule 1174 Testing Protocol")**. The provisions relating to LVP-VOC in sections 2 (a) and 4 (f) shall not apply to any charcoal lighter material subject to the requirements of sections 3 (a) and (f).

(ii) The (OTC STATE AGENCY) may approve alternative test procedures which are shown to provide equivalent results to those obtained using the **South Coast Air Quality Management District Rule 1174 Test Protocol**.

(iii) A manufacturer or distributor of charcoal lighter material may apply to the (OTC STATE AGENCY) for certification of a charcoal lighter material formulation in accordance with this subsection (f)(2). The application shall be in writing and shall include, at a minimum, the following:

(a) the results of testing conducted pursuant to the procedures specified in **South Coast Air Quality Management District Rule 1174 Testing Protocol**.

(b) the exact text and/or graphics that will appear on the charcoal lighter material's principal display panel, label, and any accompanying literature. The provided material shall clearly show the usage directions for the product. These directions shall accurately reflect the quantity of charcoal lighter material per pound of charcoal that was used in the **South Coast Air Quality Management District Rule 1174 Testing Protocol** for that product, unless:

(1) the charcoal lighter material is intended to be used in fixed amounts independent of the amount of charcoal used, such as certain paraffin cubes, or

(2) the charcoal lighter material is already incorporated into the charcoal, such as certain "bag light," "instant light" or "match light" products.

(c) For a charcoal lighter material which meets the criteria specified in subsection (f)(2)(iii)(b)(1), the usage instructions provided to the (OTC STATE) shall accurately reflect the quantity of charcoal lighter material used in the **South Coast Air Quality Management District Rule 1174 Testing Protocol** for that product.

(d) Any physical property data, formulation data, or other information required by the (OTC STATE) for use in determining when a product modification has occurred and for use in determining compliance with the conditions

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

specified on the certification issued pursuant to section 3 (f)(2).

(iv) Within 30 days of receipt of an application, the (OTC STATE) shall advise the applicant in writing either that it is complete or that specified additional information is required to make it complete. Within 30 days of receipt of additional information, the (OTC STATE) shall advise the applicant in writing either that the application is complete, or that specified additional information or testing is still required before it can be deemed complete.

(v) If the (OTC STATE) finds that an application meets the requirements of this subsection (f)(2), then a certification shall be issued certifying the charcoal lighter material formulation and specifying such conditions as are necessary to insure that the requirements of this subsection (f) are met. The (OTC STATE) shall act on a complete application within 90 days after the application is deemed complete.

(3) *Notice of Modifications.* For any charcoal lighter material for which certification has been granted pursuant to subsection (f)(2), the applicant for certification shall notify the (OTC STATE AGENCY) in writing within 30 days of: (i) any change in the usage directions, or (ii) any change in product formulation, test results, or any other information submitted pursuant to subsection (f)(2) which may result in VOC emissions greater than 0.020 pound of VOC per start.

(4) *Revocation of Certification.* If the (OTC STATE AGENCY) determines that any certified charcoal lighter material formulation results in VOC emissions from the ignition of charcoal which are greater than 0.020 pound of VOC per start, as determined by the **South Coast Air Quality Management District Rule 1174 Testing Protocol** and the statistical analysis procedures contained therein, the (OTC STATE AGENCY) shall revoke or modify the certification as is necessary to assure that the charcoal lighter material will result in VOC emissions of less than or equal to 0.020 pound of VOC per start. The (OTC STATE AGENCY) shall not revoke or modify the prior certification without first affording the applicant for the certification an opportunity for a hearing in accordance with the procedures specified in **Title 17, California Code of Regulations, Division 3, Chapter 1, Subchapter 1, Article 4 (commencing with section 60040) (or applicable OTC STATE laws and regulations)**, to determine if the certification should be modified or revoked.

(g) *Requirements for aerosol adhesives.*

(1) As specified in **California Code section 41712(h)(2) (or applicable OTC STATE laws and regulations)**, the standards for aerosol adhesives apply to all uses of aerosol adhesives, including consumer, industrial, and commercial uses. Except as otherwise provided in sections 3 (e), 4, 5, and 8, no person shall sell, supply, offer for sale, use or manufacture for sale in (OTC STATE) any aerosol adhesive which, at the time of sale, use, or manufacture, contains VOCs in excess of the specified standard.

(2)(i) In order to qualify as a "Special Purpose Spray Adhesive" the product must meet one or more of the definitions for "Special Purpose Spray Adhesive" specified in section 2, but if the product label indicates that the product is suitable for use on any substrate or application not listed in one of the definitions for "Special Purpose Spray Adhesive," then the product shall be classified as either a "Web Spray Adhesive" or a "Mist Spray Adhesive."

(i) If a product meets more than one of the definitions specified in section 2 for "Special Purpose Spray Adhesive", and is not classified as a "Web Spray Adhesive" or "Mist Spray Adhesive" under subsection (2)(i), then the VOC limit for the product shall be the lowest applicable VOC limit specified in section 3 (a).

** (3) Effective January 1, 2005, no person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any aerosol adhesive which contains any of the following compounds: methylene chloride, perchloroethylene, or trichloroethylene.

(4) All aerosol adhesives must comply with the labeling requirements specified in section 6(d).

(h) *Requirements for Floor Wax Strippers.* No person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any floor wax stripper unless the following requirements are met:

(1) The label of each non-aerosol floor wax stripper must specify a dilution ratio for light or medium build-up of polish that results in an as-used VOC concentration of 3 percent by weight or less.

(2) If a non-aerosol floor wax stripper is also intended to be used for removal of heavy build-up of polish, the label of that floor wax stripper must specify a dilution ratio for heavy build-up of polish that results in an as-used VOC concentration of 12 percent by weight or less.

(3) The terms "light build-up", "medium build-up" or "heavy build-up" are not specifically required, as long as comparable terminology is used.

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

** (i) *Products containing ozone-depleting compounds.* For any consumer product for which standards are specified under subsection (a), no person shall sell, supply, offer for sale, or manufacture for sale in (OTC STATE) any consumer product which contains any of the following ozone-depleting compounds:

CFC-11 (trichlorofluoromethane), CFC-12 (dichlorodifluoromethane), CFC-113 (1,1,1-trichloro-2,2,2-trifluoroethane), CFC-114 (1-chloro-1,1-difluoro-2-chloro-2,2-difluoroethane), CFC-115 (chloropentafluoroethane), halon 1211 (bromochlorodifluoromethane), halon 1301 (bromotrifluoromethane), halon 2402 (dibromotetrafluoroethane), HCFC-22 (chlorodifluoromethane), HCFC-123 (2,2-dichloro-1,1,1-trifluoroethane), HCFC-124 (2-chloro-1,1,1,2-tetrafluoroethane), HCFC-141b (1,1-dichloro-1-fluoroethane), HCFC-142b (1-chloro-1,1-difluoroethane), 1,1,1-trichloroethane, and carbon tetrachloride.

** (j) The requirements of section 3 (i) shall not apply to any existing product formulation that complies with the Table of Standards or any existing product formulation that is reformulated to meet the Table of Standards, provided the ozone depleting compound content of the reformulated product does not increase.

** (k) The requirements of section 3 (i) shall not apply to any ozone depleting compounds that may be present as impurities in a consumer product in an amount equal to or less than 0.01% by weight of the product.

** (l) *Requirements for Contact Adhesives, Electronic Cleaners, Footwear or Leather Care Products, General Purpose Degreasers.*

** (1) Except as provided below in sections 3(l)(2) and (l)(4), effective January 1, 2009, no person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any Contact Adhesive, Electronic Cleaner, Footwear or Leather Care Product, or General Purpose Degreaser that contains any of the following compounds: methylene chloride, perchloroethylene, or trichloroethylene.

** (2) *Sell-through of Products.* Contact Adhesives, Electronic Cleaners, Footwear or Leather Care Products, or General Purpose Degreasers that contain methylene chloride, perchloroethylene, or trichloroethylene and were manufactured before January 1, 2009, may be sold, supplied, or offered for sale (**Optional 3 year sell through: until January 1, 2012**), so long as the product container or package displays the date on which the product was manufactured, or a code indicating such date, in accordance with section 6(a).

** (3) (**Optional: 3 year sell through requirement for products containing any methylene chloride, perchloroethylene, or trichloroethylene**) *Notification for products sold during the sell-through period.* Any person who sells or supplies a consumer product identified above in section 3(l)(1) must notify the purchaser of the product in writing that the sell-through period for that product will end on January 1, 2012, provided, however, that this notification must be given only if both of the following conditions are met:

- (i) the product is sold or supplied to a distributor or retailer; and
- (ii) the product is sold or supplied on or after June 30, 2011.

** (4) *Impurities.* The requirements of section 3(l)(1) and (l)(3) shall not apply to any Contact Adhesive, Electronic Cleaner, Footwear or Leather Care Product, or General Purpose Degreaser containing methylene chloride, perchloroethylene, or trichloroethylene that is present as an impurity in a combined amount equal to or less than 0.01% by weight.

** (m) *Requirements for Adhesive Removers, Electrical Cleaners, and Graffiti Removers.*

** (1) Except as provided below in sections 3(m)(2) and (m)(4), effective January 1, 2009, no person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any Adhesive Remover, Electrical Cleaner, or Graffiti Remover that contains any of the following compounds: methylene chloride, perchloroethylene, or trichloroethylene.

** (2) *Sell-through of Products.* Adhesive Removers, Electrical Cleaners, and Graffiti Removers that contain methylene chloride, perchloroethylene, or trichloroethylene and were manufactured before January 1, 2009, may be sold, supplied, or offered for sale (**Optional 3 year sell through: until January 1, 2012**), so long as the product container or package displays the date on which the product was manufactured, or a code indicating such date, in accordance with section 6(a).

** (3) (**Optional: 3 year sell through requirement for products containing any methylene chloride, perchloroethylene, or trichloroethylene**) *Notification for products sold during the sell-through period.* Any person who sells or supplies a consumer product identified above in section 3(m)(1) must notify the purchaser of the product in writing that the sell-through period for that product will end on January 1, 2012, provided, however, that this notification must be given only if both of the following conditions are met:

- (i) the product is sold or supplied to a distributor or retailer; and
- (ii) the product is sold or supplied on or after June 30, 2011.

** (4) *Impurities.* The requirements of section 3(m)(1) and (m)(3) shall not apply to any Adhesive Remover, Electrical Cleaner, or

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

Graffiti Remover containing methylene chloride, perchloroethylene, or trichloroethylene that is present as an impurity in a combined amount equal to or less than 0.01% by weight.

** (n) Requirements for Solid Air Fresheners and Toilet/Urinal Care Products.

** (1) Effective January 1, 2009, no person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any Solid Air Fresheners or Toilet/Urinal Care Products that contain para-dichlorobenzene, except that Solid Air Fresheners and Toilet/Urinal Care Products that contain para-dichlorobenzene and were manufactured before January 1, 2009 may be sold, supplied, or offered for sale (**Optional 1 year sell through: until January 1, 2010**), so long as the product container or package displays the date on which the product was manufactured, or a code indicating such date, in accordance with section 6(a).

** (2) (**Optional: 1 year sell through requirement for products containing para-dichlorobenzene**) Notification for products sold during the sell-through period. Any person who sells or supplies any Solid Air Freshener or Toilet/Urinal Care Product that contains para-dichlorobenzene must notify the purchaser of the product in writing that the sell-through period for the product will end on January 1, 2010, provided, however, that this notification must be given only if both of the following conditions are met:

- (i) the product is sold or supplied to a distributor or retailer; and
- (ii) the product is sold or supplied on or after June 30, 2009.

** (o) Requirements for Bathroom and Tile Cleaners, Construction, Panel, and Floor Covering Adhesives, electronic cleaners labeled as energized electronic equipment use only, General Purpose Cleaners, and Oven or Grill Cleaners.

** (1) Except as provided below in sections 3(o)(2) and (o)(4), effective January 1, 2014, no person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any bathroom and tile cleaners, construction, panel, and floor covering adhesives, electronic cleaners labeled as energized electronic equipment use only, general purpose cleaners, or oven or grill cleaners that contains any of the following compounds: methylene chloride, perchloroethylene, or trichloroethylene.

** (2) Sell-through of Products. Bathroom and tile cleaners, construction, panel, and floor covering adhesives, electronic cleaners labeled as energized electronic equipment use only, general purpose cleaners, and oven or grill cleaners that contain methylene chloride, perchloroethylene, or trichloroethylene and were manufactured before January 1, 2014, may be sold, supplied, or offered for sale (Optional 3 year sell through: until January 1, 2017), so long as the product container or package displays the date on which the product was manufactured, or a code indicating such date, in accordance with section 6(a).

** (3) (Optional 3 year sell through requirement for products containing any methylene chloride, perchloroethylene, or trichloroethylene) Notification for products sold during the sell-through period. Any person who sells or supplies a consumer product identified above in section 3(o)(1) must notify the purchaser

of the product in writing that the sell-through period for that product will end on January 1, 2017, provided, however, that this notification must be given only if both of the following conditions are met:

- (i) the product is sold or supplied to a distributor or retailer; and
- (ii) the product is sold or supplied on or after June 30, 2016.

** (4) Impurities. The requirements of sections 3(o)(1) and 3(o)(3) shall not apply to any bathroom and tile cleaners, construction, panel, and floor covering adhesives, electronic cleaners labeled as energized electronic equipment use only, general purpose cleaners, or oven or grill cleaners containing methylene chloride, perchloroethylene, or trichloroethylene that is present as an impurity in a combined amount equal to or less than 0.01 percent by weight.

(p) Requirements for Paint Thinner and Multipurpose Solvents

(1) Except as provided below, effective January 1, 2015, no person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any Multi-Purpose Solvent or Paint Thinner that contains any of the following:

** (i) methylene chloride, perchloroethylene, or trichloroethylene; or (ii) greater than 1% Aromatic Compound content by weight.

(2) Sell-Through of Products. Multi-purpose Solvents and Paint Thinners that contain methylene chloride; perchloroethylene, or trichloroethylene; or greater than 1% Aromatic Compound content by weight; and were manufactured before January 1, 2015 may be sold, supplied, or offered for sale until January 1, 2018, so long as that product complies with the product dating requirements.

(3) Notifications for products sold during the sell-through period. Any person who sells or supplies a consumer product identified in this section must notify the purchaser of the product in writing that the sell-through period for that product will end on January 1, 2018, provided, however, this notification must be given only if both of the following conditions are met:

- (i) the product is sold or supplied to a distributor or retailer; and
- (ii) the product is sold or supplied on or after June 30, 2017.

(4) Impurities. The requirements of (p)(1), (p)(2), and (p)(3) shall not apply to any Multi-purpose Solvent or Paint Thinner that

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

contains any methylene chloride, perchloroethylene, or trichloroethylene that is present as an impurity in a combined amount equal to or less than 0.01 percent by weight.

(5) Additional Requirements for Multi-Purpose Solvent and Paint Thinner

(i) Effective (effective date of rule), until January 1, 2016, no person shall sell, supply, offer for sale, or manufacture for use in (OTC STATE) any "Flammable" or "Extremely Flammable" Multi-purpose Solvent or Paint Thinner named, on the Principle Display Panel as "Paint Thinner," "Multi-purpose Solvent," "Clean-up Solvent," or "Paint Clean-up."

(ii) Paragraph (i) above does not apply to products that meet either of the following criteria:

(a) Products which include an attached "hang tag, sticker, or contrasting square or rectangular area on the Principle Display Panel that displays, at a minimum, the following statements in a font size as large as, or larger than, the "signal word" (i.e., "DANGER," "WARNING," or "CAUTION") (not including the font size used for the company name, brand name, or logo) as specified in title 16, Code of Federal Regulations, section 1500.121: "Formulated to meet California VOC limits; see warnings on label," or

(b) Products where the Principle Display Panel displays, in a font size as large as, or larger than, the font size of all other words on the panel (not including the font size used for the company name, brand name, or logo), the common name of the chemical compound (e.g., "Acetone," "Methyl acetate," etc.) that results in the product meeting the criteria for "Flammable" or "Extremely Flammable."

(iii) For the purposes of this paragraph, a product is "Flammable" or "Extremely Flammable" if it is labeled as "Flammable" or "Extremely Flammable" on the product container, or if the product meets the criteria for these terms specified in title 16, Code of Federal Regulations, section 1500.3(c)(6).

4. Exemptions.

(a) This regulation shall not apply to any consumer product manufactured in (OTC STATE) for shipment and use outside of (OTC STATE).

(b) The provisions of this regulation shall not apply to a manufacturer or distributor who sells, supplies, or offers for sale in (OTC STATE) a consumer product that does not comply with the VOC standards specified in section 3 (a), as long as the manufacturer or distributor can demonstrate both that the consumer product is intended for shipment and use outside of (OTC STATE), and that the manufacturer or distributor has taken reasonable prudent precautions to assure that the consumer product is not distributed to (OTC STATE). This subsection (b) does not apply to consumer products that are sold, supplied, or offered for sale by any person to retail outlets in (OTC STATE).

(c) The medium volatility organic compound (MVOC) content standards specified in section 3(a) for antiperspirants or deodorants, shall not apply to ethanol.

(d) The VOC limits specified in section 3 (a) shall not apply to fragrances up to a combined level of 2 percent by weight contained in any consumer product and shall not apply to colorants up to a combined level of 2 percent by weight contained in any antiperspirant or deodorant.

(e) The requirements of section 3 (a) for antiperspirants or deodorants shall not apply to those volatile organic compounds that contain more than 10 carbon atoms per molecule and for which the vapor pressure is unknown, or that have a vapor pressure of 2 mm Hg or less at 20°C.

(f) The VOC limits specified in section 3 (a) shall not apply to any LVP-VOC.

(g) The requirements of section 6 (a) shall not apply to consumer products registered under the **Federal Insecticide, Fungicide, and Rodenticide Act, (FIFRA; 7 U.S.C. Section 136/-136y)**.

(h) The VOC limits specified in section 3 (a) shall not apply to air fresheners that are comprised entirely of fragrance, less compounds not defined as VOCs under section 2 or exempted under subsection 4(f).

(i) The VOC limits specified in Section 3(a) shall not apply to:

(1) insecticides containing at least 98% para-dichlorobenzene.

** (2) Until January 1, 2009, the VOC limits specified in Section 3(a) shall not apply to solid air fresheners containing at least 98% para-dichlorobenzene. On or after January 1, 2009, the provisions of section 3(n) apply to solid air fresheners containing para-dichlorobenzene.

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(j) The VOC limits specified in section 3(a) shall not apply to adhesives sold in containers of 1 fluid ounce or less.

(k) The VOC limits specified in section 3 (a) shall not apply to bait station insecticides. For the purpose of this section, bait station insecticides are containers enclosing an insecticidal bait that is not more than 0.5 ounce by weight, where the bait is designed to be ingested by insects and is composed of solid material feeding stimulants with less than 5 percent (%) active ingredients.

5. Innovative Products.

(a) Any manufacturer of consumer products which have been granted an Innovative Product exemption by the CARB under the Innovative Products provisions in **Subchapter 8.5, Article 2, Section 94511, or Subchapter 8.5, Article 1, Section 94503.5 of Title 17 of the California Code of Regulations** shall be exempt from the Table of Standards in Section 3 (a) for the period of time that the CARB Innovative Products exemption remains in effect provided that all consumer products within the CARB Innovative Products exemption are contained in the Table of Standards in Section 3 (a) of this regulation. Any manufacturer claiming such an exemption on this basis must submit to the appropriate (OTC STATE AGENCY) a copy of the CARB Innovative Product exemption decision (i.e., the Executive Order), including all conditions established by CARB applicable to the exemption.

(b) Manufacturers of consumer products that have been granted an Innovative Products exemption under the Innovative Products provisions in **Subchapter 8.5, Article 2, Section 94511, or Subchapter 8.5, Article 1, Section 94503.5 of Title 17 of the California Code of Regulations** based on California specific data, or that have not been granted an exemption by the CARB may seek an Innovative Products exemption in accordance with the following criteria:

(1) The (OTC STATE AGENCY) shall exempt a consumer product from the VOC limits specified in section 3 (a) if a manufacturer demonstrates by clear and convincing evidence that, due to some characteristic of the product formulation, design, delivery systems or other factors, the use of the product will result in less VOC emissions as compared to:

(i) the VOC emissions from a representative consumer product which complies with the VOC limits specified in section 3 (a), or

(ii) the calculated VOC emissions from a noncomplying representative product, if the product had been reformulated to comply with the VOC limits specified in section 3 (a). VOC emissions shall be calculated using the following equation:

$$E_R = E_{NC} \times \text{VOC}_{STD} \div \text{VOC}_{NC}$$

where:

E_R = The VOC emissions from the noncomplying representative product, had it been reformulated.

E_{NC} = The VOC emissions from the noncomplying representative product in its current formulation.

VOC_{STD} = the VOC limit specified in the table of standards in section 3 (a). VOC_{NC} = the VOC content of the noncomplying product in its current formulation.

If a manufacturer demonstrates that this equation yields inaccurate results due to some characteristic of the product formulation or other factors, an alternative method which accurately calculates emissions may be used upon approval of the (OTC STATE AGENCY).

(2) For the purposes of this section, "representative consumer product" means a consumer product which meets all of the following criteria:

(i) the representative product shall be subject to the same VOC limit in section 3 (a) as the innovative product.

(ii) the representative product shall be of the same product form as the innovative product, unless the innovative product uses a new form which does not exist in the product category at the time the application is made.

(iii) the representative product shall have at least similar efficacy as other consumer products in the same product category based on tests generally accepted for that product category by the consumer products industry.

(3) A manufacturer shall apply in writing to the (OTC STATE AGENCY) for any exemption claimed under subsection (b)(1). The application shall include the supporting documentation that demonstrates the emissions from the innovative product, including the

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

actual physical test methods used to generate the data and, if necessary, the consumer testing undertaken to document product usage. In addition, the applicant must provide any information necessary to enable the (OTC STATE AGENCY) to establish enforceable conditions for granting the exemption including the VOC content for the innovative product and test methods for determining the VOC content. All information submitted by a manufacturer pursuant to this section shall be handled in accordance with the procedures specified in **(applicable OTC STATE confidentiality requirements)**.

(4) Within 30 days of receipt of the exemption application the (OTC STATE AGENCY) shall determine whether an application is complete as provided in **(applicable OTC STATE laws or regulations)**.

(5) Within 90 days after an application has been deemed complete, the (OTC STATE AGENCY) shall determine whether, under what conditions, and to what extent, an exemption from the requirements of section 3 (a) will be permitted. The applicant and the (OTC STATE AGENCY) may mutually agree to a longer time period for reaching a decision, and additional supporting documentation may be submitted by the applicant before a decision has been reached. The (OTC STATE AGENCY) shall notify the applicant of the decision in writing and specify such terms and conditions that are necessary to insure that emissions from the product will meet the emissions reductions specified in subsection (b)(1), and that such emissions reductions can be enforced.

(6) In granting an exemption for a product the (OTC STATE AGENCY) shall establish conditions that are enforceable. These conditions shall include the VOC content of the innovative product, dispensing rates, application rates and any other parameters determined by the (OTC STATE AGENCY) to be necessary. The (OTC STATE AGENCY) shall also specify the test methods for determining conformance to the conditions established. The test methods shall include criteria for reproducibility, accuracy, sampling and laboratory procedures.

(7) For any product for which an exemption has been granted pursuant to this section, the manufacturer shall notify the (OTC STATE AGENCY) in writing within 30 days of any change in the product formulation or recommended product usage directions, and shall also notify the (OTC STATE AGENCY) within 30 days if the manufacturer learns of any information which would alter the emissions estimates submitted to the (OTC STATE AGENCY) in support of the exemption application.

(8) If the VOC limits specified in section 3 (a) are lowered for a product category through any subsequent rule making, all innovative product exemptions granted for products in the product category, except as provided in this subsection (8), shall have no force and effect as of the effective date of the modified VOC

standard. This subsection (8) shall not apply to those innovative products which have VOC emissions less than the applicable lowered VOC limit and for which a written notification of the product's emissions status versus the lowered VOC limit has been submitted to and approved by the (OTC STATE AGENCY) at least 60 days before the effective date of such limits.

(9) If the (OTC STATE AGENCY) believes that a consumer product for which an exemption has been granted no longer meets the criteria for an innovative product specified in subsection (b)(1), the (OTC STATE AGENCY) may modify or revoke the exemption as necessary to assure that the product will meet these criteria. The (OTC STATE AGENCY) shall not modify or revoke an exemption without first affording the applicant an opportunity for a public hearing held in accordance with the procedures specified by **(applicable OTC STATE laws or regulations)**.

6. Administrative Requirements.

(a) Product Dating.

(1) Each manufacturer of a consumer product subject to Section 3 shall clearly display on each consumer product container or package, the day, month, and year on which the product was manufactured, or a code indicating such date.

(2) A manufacturer who uses the following code to indicate the date of manufacture shall not be subject to the requirements of section 6(b)(1), if the code is represented separately from other codes on the product container so that it is easily recognizable:

YY DDD = year year day day day Where:

"YY" = two digits representing the year in which the product was manufactured, and

"DDD" = three digits representing the day of the year on which the product was manufactured, with "001" representing the first day of the year, "002" representing the second day of the year, and so forth (i.e. the "Julian date")

(3) This date or code shall be displayed on each consumer product container or package no later than twelve months prior to the effective date of the applicable standard specified in Section 3.

(4) The date or datecode information shall be located on the container or inside the cover/cap so that it is readily observable or obtainable (by simply removing the cap/cover) without irreversibly disassembling any part of the container or packaging. For the purposes of this subsection, information may be displayed on the bottom of a container as long as it is clearly legible without

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

removing any product packaging.

(5) The requirements of this subsection (a) shall not apply to:

(i) products containing no VOCs (as defined in section 2), or containing VOCs at 0.10% by weight or less.

(b) Additional Product Dating Requirements

(1) If a manufacturer uses a code indicating the date of manufacture, for any consumer product subject to section 3 an explanation of the date portion of the code must be filed with the (OTC STATE AGENCY) no later than twelve months prior to the effective date of the applicable standard specified in section 3.

(2) If a manufacturer changes any code indicating the date of manufacture for any consumer product subject to subsection (b)(1), an explanation of the modified code must be submitted to the (OTC STATE AGENCY) before any products displaying the modified code are sold, supplied, or offered for sale in (OTC STATE).

(3) No person shall erase, alter, deface, or otherwise remove or make illegible any date or code indicating the date of manufacture from any regulated product container without the express authorization of the manufacturer.

(4) Date code explanations for codes indicating the date of manufacture are public information and may not be claimed as confidential.

(Note in the rule background document that "It is the Department's intention that if a manufacturer believes there is something in the date code explanation related to something other than the date of manufacture that the manufacturer believes to be confidential, than the manufacturer should modify the explanation prior to submitting it to the Department so that the date code explanation only includes non-confidential date code information."

(c) Most Restrictive Limit.

(1) Products Manufactured Before January 1, 2009, and FIFRA-registered Insecticides Manufactured Before January 1, 2010.

Notwithstanding the definition of "product category" in Section 2, if anywhere on the principal display panel of any consumer product manufactured before January 1, 2009, or any FIFRA registered insecticide manufactured before January 1, 2010, any representation is made that the product may be used as, or is suitable for use as a consumer product for which a lower VOC limit is specified in Section 3(a), then the lowest VOC limit shall apply. This requirement does not apply to general purpose cleaners, antiperspirant/deodorant products and insecticide foggers.

(2) Products Manufactured on or After January 1, 2009, and FIFRA-registered Insecticides Manufactured on or After January 1, 2010.

Notwithstanding the definition of "product category" in Section 2, if anywhere on the container or packaging of any consumer product manufactured on or after January 1, 2009, or any FIFRA-registered insecticide manufactured on or after January 1, 2010, or on any sticker or label affixed thereto, any representation is made that the product may be used as, or is suitable for use as a consumer product for which a lower VOC limit is specified in Section 3(a), then the lowest VOC limit shall apply. This requirement does not apply to general purpose cleaners, antiperspirant/deodorant products and insecticide foggers.

(d) Additional Labeling Requirements for Aerosol Adhesives, Adhesive Removers, Electronic Cleaner, Electrical Cleaner, Energized Electrical Cleaner, and Contact Adhesives.

(1) In addition to the requirements specified in subsections (a), (c) and section 7, both the manufacturer and responsible party for each aerosol adhesive, adhesive remover, electronic cleaner, electrical cleaner, energized electrical cleaner, and contact adhesive product subject to this regulation shall ensure that all products clearly display the following information on each product container which is manufactured on or after the effective date for the category specified in the table of standards.

(i) The product category as specified in section 3 (a) or an abbreviation of the category shall be displayed;

(ii) (a) The applicable VOC standard for the product that is specified in section 3 (a), except for Energized Electrical Cleaner, expressed as a percentage by weight, shall be displayed unless the product is included in an alternative control plan approved by the (OTC STATE AGENCY), as provided in section 1, and the product exceeds the applicable VOC standard;

(b) If the product is included in an alternative control plan approved by the (OTC STATE AGENCY), and the product exceeds the applicable VOC standard specified in section 3 (a), the product shall be labeled with the term "ACP" or "ACP product";

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(iii) If the product is classified as a special purpose spray adhesive, the applicable substrate and /or application or an abbreviation of the substrate / application that qualifies the product as special purpose shall be displayed;

(iv) If the manufacturer or responsible party uses an abbreviation as allowed by this subsection 6 (d), an explanation of the abbreviation must be filed with the (OTC STATE AGENCY) before the abbreviation is used.

(2) The information required in section 6 (a)(1), shall be displayed on the product container such that it is readily observable without removing or disassembling any portion of the product container or packaging. For the purposes of this subsection, information may be displayed on the bottom of a container as long as it is clearly legible without removing any product packaging.

(3) No person shall remove, alter, conceal, or deface the information required in section 6 (d)(1) prior to final sale of the product.

7. Reporting Requirements.

(a) Upon 90 days written notice, the (OTC STATE AGENCY) may require any responsible party to report information for any consumer product or products the (OTC STATE AGENCY) may specify including, but not limited to, all or part of the information specified in the following subsections (a)(1) through (a)(12). If the responsible party does not have or does not provide the information requested by the (OTC STATE AGENCY), the (OTC STATE AGENCY) may require the reporting of this information by the person that has the information, including, but not limited to, any formulator, manufacturer, supplier, parent company, private labeler, distributor, or repackager.

(1) the company name of the responsible party and the party's address, telephone number, and designated contact person;

(2) any claim of confidentiality made pursuant to (**applicable OTC STATE confidentiality requirements**);

(3) the product brand name for each consumer product and the product label;

(4) the product category to which the consumer product belongs;

(5) the applicable product form(s) listed separately;

(6) an identification of each product brand name and form as a "Household Product", "I&I Product", or both;

(7) separate (OTC STATE) sales in pounds per year, to the nearest pound, and the method used to calculate (OTC STATE) sales for each product form;

(8) for information submitted by multiple companies, an identification of each company which is submitting relevant data separate from that submitted by the responsible party. All information from all companies shall be submitted by the date specified in section 7 (a);

(9) for each product brand name and form, the net percent by weight of the total product, less container and packaging, comprised of the following, rounded to the nearest one-tenth of a percent (0.1%):

(i) Total Table B Compounds

(ii) Total LVP-VOCs that are not fragrances

(iii) Total All Other Carbon-Containing Compounds that are not fragrances

(iv) Total All Non-Carbon-Containing Compounds

(v) Total Fragrance

(vi) For products containing greater than two percent by weight fragrance:

(a) the percent of fragrance that are LVP-VOCs, and

(b) the percent of fragrance that are all other carbon-containing compounds

(vii) Total Paradichlorobenzene

(10) for each product brand name and form, the identity, including the specific chemical name and associated Chemical Abstract Services ((CAS)number, of the following:

(i) Each Table B Compound

(ii) Each LVP-VOC that is not a fragrance

(11) if applicable, the weight percent comprised of propellant for each product;

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(12) if applicable, an identification of the type of propellant (Type A, Type B, Type C, or a blend of the different types);

** (b) In addition to the requirements of section 7 (a)(10), the responsible party shall report or shall arrange to have reported to the (OTC STATE AGENCY) the net percent by weight of each ozone-depleting compound which is:

(1) listed in section 3 (i); and

(2) contained in a product subject to reporting under section 7 (a) in any amount greater than 0.1 percent by weight.

(c) All information submitted by any person pursuant to section 7 shall be handled in accordance with the procedures specified in **(applicable OTC STATE confidentiality requirements)**.

** (d) *Special Reporting Requirements for Consumer Products that Contain Perchloroethylene or Methylene Chloride.*

(1) The requirements of this subsection shall apply to all responsible parties for consumer products that are subject to section 3 (a) and contain perchloroethylene or methylene chloride and Energized Electrical Cleaners as defined in section 2, that contain perchloroethylene or methylene chloride.. For the purposes of this subsection, a product "contains perchloroethylene or methylene chloride" if the product contains 1.0 percent or more by weight (exclusive of the container or packaging) of either perchloroethylene or methylene chloride.

(2)

~~(Option 1): For each consumer product that contains perchloroethylene or methylene chloride, the responsible party shall report the following information for products sold in (OTC STATE) during each calendar year, beginning with the year 2005, and ending with the year 2010:~~

~~(Option 2): For each consumer product that contains perchloroethylene or methylene chloride, the responsible party shall report the following information for products sold in (OTC STATE), upon request of the (OTC STATE AGENCY), within 90 days written notice:~~

~~(i) the product brand name and a copy of the product label with legible usage instructions;~~

~~(ii) the product category to which the consumer product belongs;~~

~~(iii) the applicable product form(s) (listed separately);~~

~~(iv) for each product form listed in (iii), the total sales in (OTC STATE) during the calendar year, to the nearest pound (exclusive of the container or packaging), and the method used for calculating the (OTC STATE) sales;~~

~~(v) the weight percent, to the nearest 0.10 percent, of perchloroethylene and methylene chloride in the consumer product;~~

~~(3) (For Option 1 only) The information specified in subsection 7 (d)(2) shall be reported for each calendar year by March 1 of the following year. The first report shall be due on March 1, 2006, for calendar year 2005. A new report is due on March 1 of each year thereafter, until March 1, 2011, when the last report is due.~~

8. Variances.

(a) Any person who cannot comply with the requirements set forth in section 3, because of extraordinary reasons beyond the person's reasonable control may apply in writing to the (OTC STATE AGENCY) for a variance. The variance application shall set forth:

(1) the specific grounds upon which the variance is sought;

(2) the proposed date(s) by which compliance with the provisions of section 3 will be achieved, and

(3) a compliance report reasonably detailing the method(s) by which compliance will be achieved.

(b) Upon receipt of a variance application containing the information required in subsection (a), the (OTC STATE AGENCY) shall hold a public hearing to determine whether, under what conditions, and to what extent, a variance from the requirements in section 3 is necessary and will be permitted. A hearing shall be initiated no later than 75 days after receipt of a variance application. Notice of the time and place of the hearing shall be sent to the applicant by certified mail not less than 30 days prior to the hearing. Notice of the hearing shall also be submitted for publication in the **(OTC STATE Regulatory Notice Register)** and sent to every person who requests such notice, not less than 30 days prior to the hearing. The notice shall state that the parties may, but need not be, represented by counsel at the hearing. At least 30 days prior to the hearing, the variance application shall be made available to the public for inspection.

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

Information submitted to the (OTC STATE AGENCY) by a variance applicant may be claimed as confidential, and such information shall be handled in accordance with the procedures specified in **(applicable OTC STATE laws and regulations)**. The (OTC STATE AGENCY) may consider such confidential information in reaching a decision on a variance application. Interested members of the public shall be allowed a reasonable opportunity to testify at the hearing and their testimony shall be considered.

(c) No variance shall be granted unless all of the following findings are made:

(1) that, because of reasons beyond the reasonable control of the applicant, requiring compliance with section 3 would result in extraordinary economic hardship;

(2) that the public interest in mitigating the extraordinary hardship to the applicant by issuing the variance outweighs the public interest in avoiding any increased emissions of air contaminants which would result from issuing the variance;

(3) that the compliance report proposed by the applicant can reasonably be implemented, and will achieve compliance as expeditiously as possible.

(d) Any variance order shall specify a final compliance date by which the requirements of section 3 will be achieved. Any variance order shall contain a condition that specifies increments of progress necessary to assure timely compliance, and such other conditions that the (OTC STATE AGENCY), in consideration of the testimony received at the hearing, finds necessary to carry out the purposes of **(applicable OTC STATE health and safety laws and regulations)**.

(e) A variance shall cease to be effective upon failure of the party to whom the variance was granted to comply with any term or condition of the variance.

(f) Upon the application of any person, the (OTC STATE AGENCY) may review, and for good cause, modify or revoke a variance from requirements of section 3 after holding a public hearing in accordance with the provisions of **(applicable OTC STATE health and safety laws and regulations)**.

9. Test Methods.

(a)(1) Testing to determine compliance with the requirements of this regulation, shall be performed using **CARB Method 310**, Determination of Volatile Organic Compounds (VOC) in Consumer Products, adopted September 25, 1997, and as last amended on May 5, 2005, including any subsequent amendments, which is incorporated herein by reference. Alternative methods which are shown to accurately determine the concentration of VOCs in a subject product or its emissions may be used upon approval of the (OTC STATE AGENCY).

(2) **In sections 3.5, 3.6, and 3.7 of CARB Method 310**, a process is specified for the "Initial Determination of VOC Content" and the "Final Determination of VOC Content". This process is an integral part of testing procedure set forth in **CARB Method 310**, and is reproduced below:

Sections 3.5, 3.6 and 3.7 of CARB Method 310: (Note: Section 9 (a)(2) utilizes the numbering scheme from CARB Method 310 for sections 3.5, 3.6, and 3.7 as shown below and recites CARB Method 310, Sections 3.5, 3.6, and 3.7 verbatim. Section 9 (a)(2) is reproduced here for informational purposes.)

3.5 Initial Determination of VOC Content. The (OTC STATE AGENCY) will determine the VOC content pursuant to sections 3.2 and 3.3. Only those components with concentrations equal to or greater than 0.1 percent by weight will be reported.

3.5.1 Using the appropriate formula specified in section 4.0, the (OTC STATE AGENCY) will make an initial determination of whether the product meets the applicable VOC standards specified in CARB regulations. If initial results show that the product does not meet the applicable VOC standards, the (OTC STATE AGENCY) may perform additional testing to confirm the initial results.

3.5.2 If the results obtained under section 3.5.1 show that the product does not meet the applicable VOC standards, the (OTC STATE AGENCY) will request the product manufacturer or responsible party to supply product formulation data. The manufacturer or responsible party shall supply the requested information. Information submitted to the (OTC STATE AGENCY) may be claimed as confidential; such information will be handled in accordance with the confidentiality procedures specified in **Title 17, California Code of Regulations, sections 91000 to 91022 (or applicable OTC laws and regulations)**.

3.5.3 If the information supplied by the manufacturer or responsible party shows that the product does not meet the applicable

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

VOC standards, then the (OTC STATE AGENCY) will take appropriate enforcement action.

- 3.5.4** If the manufacturer or responsible party fails to provide formulation data as specified in section 3.5.2, the initial determination of VOC content under this section 3.5 shall determine if the product is in compliance with the applicable VOC standards. This determination may be used to establish a violation of (OTC STATE) regulations.
- 3.6** Determination of the LVP-VOC status of compounds and mixtures. This section does not apply to antiperspirant and deodorants or aerosol coating products because there is no LVP-VOC exemption for these products.
- 3.6.1** Formulation data. If the vapor pressure is unknown, the following **ASTM** methods may be used to determine the LVP-VOC status of compounds and mixtures: **ASTM D 86-04b** , **ASTM D 850-00** , **ASTM D 1078-01** , **ASTM D 2879-97**, as **modified in Appendix B to this Method 310**, **ASTM D 2887-01** and **ASTM E 1719- 97** including any subsequent amendments.
- 3.6.2** LVP-VOC status of “compounds” or “mixtures.” The (OTC STATE AGENCY) will test a sample of the LVP-VOC used in the product formulation to determine the boiling point for a compound or for a mixture. If the boiling point exceeds 216°C, the compound or mixture is an LVP-VOC. If the boiling point is less than 216°C, then the weight percent of the mixture which boils above 216 degrees C is an LVP-VOC. The (OTC STATE AGENCY) will use the nearest 5 percent distillation cut that is greater than 216 degrees C as determined under 3.6.1 to determine the percentage of the mixture qualifying as an LVP-VOC.
- 3.6.3** Reference method for identification of LVP-VOC compounds and mixtures. If a product does not qualify as an LVP-VOC under 3.6.2, the (OTC STATE AGENCY) will test a sample of the compound or mixture used in a products formulation utilizing one or both of the following: **ASTM D 2879-97**, as **modified in Appendix B to this Method 310**, and **ASTM E 1719-97**, to determine if the compound or mixture meets the requirements of **Title 17, CAR, section 94508(94-Q)(A)**, including any subsequent amendments.
- 3.7** Final Determination of VOC Content. If a product's compliance status is not satisfactorily resolved under sections 3.5 and 3.6, the (OTC STATE AGENCY) will conduct further analyses and testing as necessary to verify the formulation data.
- 3.7.1** If the accuracy of the supplied formulation data is verified and the product sample is determined to meet the applicable VOC standards, then no enforcement action for violation of the VOC standards will be taken.
- 3.7.2** If the (OTC STATE AGENCY) is unable to verify the accuracy of the supplied formulation data, then the (OTC STATE AGENCY) will request the product manufacturer or responsible party to supply information to explain the discrepancy.
- 3.7.3** If there exists a discrepancy that cannot be resolved between the results of **Method 310** and the supplied formulation data, then the results of **Method 310** shall take precedence over the supplied formulation data. The results of **Method 310** shall then determine if the product is in compliance with the applicable VOC standards, and may be used to establish a violation of **(OTC STATE regulations)**.

(b) VOC content determinations using product formulation and records. Testing to determine compliance with the requirements of this regulation may also be demonstrated through calculation of the VOC content from records of the amounts of constituents used to make the product pursuant to the following criteria:

(1) Compliance determinations based on these records may not be used unless the manufacturer of a consumer product keeps accurate records for each day of production of the amount and chemical composition of the individual product constituents. These records must be kept for at least **three** years.

(2) For the purposes of this section 9(b), the VOC content shall be calculated according to the following equation:

$$\text{VOC Content} = \frac{B - C}{A} \times 100$$

where,

A = total net weight of unit (excluding container and packaging) B = total weight of all VOCs, as defined in section 2, per unit

C = total weight of VOCs exempted under section 4, per unit

(3) If product records appear to demonstrate compliance with the VOC limits, but these records are contradicted by product testing performed using **CARB Method 310**, the results of **CARB Method 310** shall take precedence over the product records

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

and may be used to establish a violation of the requirements of this regulation.

(c) Determination of liquid or solid. Testing to determine whether a product is a liquid or solid shall be performed using **ASTM D4359-90(2000)e1**, including any subsequent amendments, which is incorporated by reference herein.

(d) Compliance determinations for charcoal lighter material products. Testing to determine compliance with the certification requirements for charcoal lighter material shall be performed using the procedures specified in the **South Coast Air Quality Management District Rule 1174 Ignition Method Compliance Certification Protocol (February 28, 1991)**, including any subsequent amendments, which is incorporated by reference herein.

(e) Testing to determine distillation points of petroleum distillate-based charcoal lighter materials shall be performed using **ASTM D86-04b**, including any subsequent amendments, which is incorporated by reference herein.

(f) No person shall create, alter, falsify, or otherwise modify records in such a way that the records do not accurately reflect the constituents used to manufacture a product, the chemical composition of the individual product, and any other test, processes, or records used in connection with product manufacture.

10. **Severability.** Each part of this regulation shall be deemed severable, and in the event that any part of this regulation is held to be invalid, the remainder of this regulation shall continue in full force and effect.

11. **Alternative Control Plan (ACP) for Consumer Products.** The purpose of this section is to provide an alternative method to comply with the Table of Standards specified in section 3 (a). This alternative is provided by allowing responsible ACP parties the option of voluntarily entering into separate "alternative control plans" for consumer products, as specified in sections 1-11 of this regulation. Only responsible ACP parties for consumer products may enter into an ACP.

(a) Any manufacturer of consumer products which have been granted an ACP Agreement by the CARB under the provisions in **Subchapter 8.5, Article 4, Sections 94540-94555, of Title 17 of the California Code of Regulations** shall be exempt from the Table of Standards in Section 3 (a) for the period of time that the CARB ACP Agreement remains in effect provided that all ACP Products used for emissions credits within the CARB ACP Agreement are contained in the Table of Standards in Section 3 (a) of this regulation. Any manufacturer claiming such an ACP Agreement on this basis must submit to the appropriate (OTC STATE AGENCY) a copy of the CARB ACP decision (i.e., the Executive Order), including all conditions established by CARB applicable to the exemption.

(b) Manufacturers of consumer products that have been granted an ACP Agreement under the ACP provision in **Subchapter 8.5, Article 4, sections 94540-94555, of Title 17 of the California Code of Regulations** based on California specific data, or that have not been granted an exemption by the CARB may seek an ACP Agreement in accordance with subsections (c) - (m) of this section.

(c) *Requirements and Process for Approval of an ACP.*

(1) To be considered by the (OTC STATE AGENCY) for approval, an application for a proposed ACP shall be submitted in writing to the (OTC STATE AGENCY) by the responsible ACP party and shall contain all of the following:

(i) an identification of the contact persons, phone numbers, names and addresses of the responsible ACP party which is submitting the ACP application and will be implementing the ACP requirements specified in the ACP Agreement;

(ii) a statement of whether the responsible ACP party is a small business or a one-product business, as defined in section 2;

(iii) a listing of the exact product brand name, form, available variations (flavors, scents, colors, sizes, etc.), and applicable product category(ies) for each distinct ACP product that is proposed for inclusion in the ACP;

(iv) for each proposed ACP product identified in subsection (1)(iii) of this section, a demonstration to the satisfaction of the (OTC STATE AGENCY) that the enforceable sales records to be used by the responsible ACP party for tracking product sales meet the minimum criteria specified in subsection (1)(iv)(e) of this section. To provide this demonstration, the responsible ACP party shall do all of the following:

(a) provide the contact persons, phone numbers, names, street and mail addresses of all persons and businesses who will provide information that will be used to determine the Enforceable Sales;

(b) determine the Enforceable Sales of each product using enforceable sales records as defined in section 2;

(c) demonstrate, to the satisfaction of the (OTC STATE AGENCY), the validity of the Enforceable Sales based on enforceable sales records provided by the contact persons or the responsible ACP party;

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

- (d) calculate the percentage of the Gross (OTC STATE) Sales, as defined in section 2 which is comprised of Enforceable Sales;
- (e) determine which ACP products have Enforceable Sales which are 75.0 percent or more of the Gross (OTC STATE) Sales. Only ACP products meeting this criteria shall be allowed to be sold in (OTC STATE) under an ACP.
- (v) for each of the ACP products identified in subsection (1)(iv)(e) of this section, the inclusion of the following:
 - (a) legible copies of the existing labels for each product;
 - (b) the VOC Content and LVP Content for each product. The VOC Content and LVP Content shall be reported for two different periods, as follows:
 - (1) the VOC and LVP contents of the product at the time the application for an ACP is submitted, and
 - (2) any VOC and LVP contents of the product, which have occurred at any time within the four years prior to the date of submittal of the application for an ACP, if either the VOC or LVP contents have varied by more than plus/minus ten percent (+/- 10.0 percent) of the VOC or LVP Contents reported in subsection (1)(v)(b)(1), of this section.
- (vi) a written commitment obligating the responsible ACP party to date-code every unit of each ACP product approved for inclusion in the ACP. The commitment shall require the responsible ACP party to display the date-code on each ACP product container or package no later than 5 working days after the date an ACP Agreement approving an ACP is signed by the (OTC STATE AGENCY).
- (vii) an operational plan covering all the products identified under subsection (1)(iv)(e) of this section for each compliance period that the ACP will be in effect. The operational plan shall contain all of the following:
 - (a) an identification of the compliance periods and dates for the responsible ACP party to report the information required by the (OTC STATE AGENCY) in the ACP Agreement approving an ACP. The length of the compliance period shall be chosen by the responsible ACP party provided, however, that no compliance period shall be longer than 365 days. The responsible ACP party shall also choose the dates for reporting information such that all required VOC Content and Enforceable Sales data for all ACP products shall be reported to the (OTC STATE AGENCY) at the same time and at the same frequency;
 - (b) an identification of specific enforceable sales records to be provided to the (OTC STATE AGENCY) for enforcing the provisions of this regulation and the ACP Agreement approving an ACP. The enforceable sales records shall be provided to the (OTC STATE AGENCY) no later than the compliance period dates specified in subsection (1)(vii)(a) of this section;
 - (c) for a small business or a one-product business which will be relying to some extent on Surplus Trading to meet its ACP Limits, a written commitment from the responsible ACP party(ies) that they will be transfer the Surplus Reductions to the small business or one-product business upon approval of the ACP;
 - (d) for each ACP product, all VOC content levels which will be applicable for the ACP product during each compliance period. The plan shall also identify the specific method(s) by which the VOC Content will be determined and the statistical accuracy and precision (repeatability and reproducibility) calculated for each specified method.
 - (e) the projected Enforceable Sales for each ACP product at each different VOC Content for every compliance period that the ACP will be in effect;
 - (f) a detailed demonstration showing the combination of specific ACP reformulations or Surplus Trading (if applicable) that is sufficient to ensure that the ACP Emissions will not exceed the ACP Limit for each compliance period that the ACP will be in effect, the approximate date within each compliance period that such reformulations or Surplus Trading are expected to occur, and the extent to which the VOC Contents of the ACP products will be reduced (i.e., by ACP reformulation). This demonstration shall use the equations specified in section 2 (2) and (3) for projecting the ACP Emissions and ACP Limits during each compliance period. This demonstration shall also include all VOC Content levels and projected Enforceable Sales for all ACP products to be sold in (OTC STATE) during each compliance period;
 - (g) a certification that all reductions in the VOC Content of a product will be real, actual reductions that do not result from changing product names, mischaracterizing ACP product reformulations that have occurred in the past, or any other attempts to circumvent the provisions of this regulation;

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

(h) written explanations of the date-codes that will be displayed on each ACP product's container or packaging;

(i) a statement of the approximate dates by which the responsible ACP party plans to meet the applicable ACP VOC standards for each product in the ACP;

(j) an operational plan ("reconciliation of shortfalls plan") which commits the responsible ACP party to completely reconcile any shortfalls in any and all cases, even, to the extent permitted by law, if the responsible ACP party files for bankruptcy protection. The plan for reconciliation of shortfalls shall contain all of the following:

(1) a clear and convincing demonstration of how shortfalls of up to 5%, 10%, 15%, 25%, 50%, 75% and 100% of the applicable ACP Limit will be completely reconciled within 90 working days from the date the shortfall is determined;

(2) a listing of the specific records and other information that will be necessary to verify that the shortfalls were reconciled as specified in this subsection (1)(vii)(j);

(3) a commitment to provide any record or information requested by the (OTC STATE AGENCY) to verify that the shortfalls have been completely reconciled.

(viii) a declaration, signed by a legal representative for the responsible ACP party, which states that all information and operational plans submitted with the ACP application are true and correct.

(2)(i) In accordance with the time periods specified in section 11 (d), the (OTC STATE AGENCY) shall issue an ACP Agreement approving an ACP which meets the requirements of this regulation. The (OTC STATE AGENCY) shall specify such terms and conditions as are necessary to ensure that the emissions from the ACP products do not exceed the emissions that would have occurred if the ACP products subject to the ACP had met the VOC standards specified in section 3 (a). The ACP shall also include:

(a) only those ACP products for which the Enforceable Sales are at least 75.0% of the Gross (OTC STATE) Sales, as determined in subsection (1)(iv)(e) of this section;

(b) a reconciliation of shortfalls plan meeting the requirements of this regulation;

(c) operational terms, conditions, and data to be reported to the (OTC STATE) to ensure that all requirements of this regulation are met.

(ii) The (OTC STATE AGENCY) shall not approve an ACP submitted by a responsible ACP party if the (OTC STATE AGENCY) determines, upon review of the responsible ACP party's compliance history with past or current ACPs or the requirements for consumer products in sections 1-11 of this regulation, that the responsible ACP party has a recurring pattern of violations and has consistently refused to take the necessary steps to correct those violations.

(d) *ACP Approval Time Frames.*

(1) The (OTC STATE AGENCY) shall take appropriate action on an ACP within the following time periods:

(i) Within 30 working days of receipt of an ACP application, the (OTC STATE AGENCY) shall inform the applicant in writing that either:

(a) the application is complete and accepted for filing, or

(b) the application is deficient, and identify the specific information required to make the application complete.

(ii) Within 30 working days of receipt of additional information provided in response to a determination that an ACP application is deficient, the (OTC STATE AGENCY) shall inform the applicant in writing that either:

(a) the additional information is sufficient to make the application complete, and the application is accepted for filing, or

(b) the application is deficient, and identify the specific information required to make the application complete.

(iii) If the (OTC STATE AGENCY) finds that an application meets the requirements of section 11 (c) of this regulation, then he or she shall issue an ACP Agreement in accordance with the requirements

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

of this regulation. The (OTC STATE AGENCY) shall act to approve or disapprove a complete application within 90 working days after the application is deemed complete.

(2) Before the end of each time period specified in this section, the (OTC STATE AGENCY) and the responsible ACP party may mutually agree to a longer time period for the (OTC STATE AGENCY) to take the appropriate action.

(e) *Record keeping and Availability of Requested Information.*

(1) All information specified in the ACP Agreement approving an ACP shall be maintained by the responsible ACP party for a minimum of three years after such records are generated. Such records shall be clearly legible and maintained in good condition during this period.

(2) The records specified in subsection (1) of this section shall be made available to the (OTC STATE AGENCY) or his or her authorized representative:

- (i) immediately upon request, during an on-site visit to a responsible ACP party, or
- (ii) within five working days after receipt of a written request from the (OTC STATE AGENCY), or
- (iii) within a time period mutually agreed upon by both the (OTC STATE AGENCY) and the responsible ACP party.

(f) *Violations.*

(1) Any person who commits a violation of this regulation is subject to the penalties specified in **(applicable OTC STATE laws and regulations)**. Failure to meet any requirement of this regulation or any condition of an applicable ACP Agreement shall constitute a single, separate violation of this regulation for each day until such requirement or condition is satisfied, except as otherwise provided in subsections (2)-(8) of this section.

(2) False reporting of any information contained in an ACP application, or any supporting documentation or amendments thereto, shall constitute a single, separate violation of the requirements of this regulation for each day that the approved ACP is in effect.

(3) Any exceedance during the applicable compliance period of the VOC content specified for an ACP product in the ACP Agreement approving an ACP shall constitute a single, separate violation of the requirements of this regulation for each ACP product which exceeds the specified VOC Content that is sold, supplied, offered for sale, or manufactured for use in (OTC STATE).

(4) Any of the following actions shall each constitute a single, separate violation of the requirements of this regulation for each day after the applicable deadline until the requirement is satisfied:

- (i) Failure to report data (i.e., "missing data") or failure to report data accurately (i.e., "inaccurate data") in writing to the (OTC STATE AGENCY) regarding the VOC content, LVP Content, Enforceable Sales, or any other information required by any deadline specified in the applicable ACP Agreement;
- (ii) False reporting of any information submitted to the (OTC STATE AGENCY) for determining compliance with the ACP requirements;
- (iii) Failure to completely implement the reconciliation of shortfalls plan that is set forth in the ACP Agreement, within 30 working days from the date of written notification of a shortfall by the (OTC STATE AGENCY);
- (iv) Failure to completely reconcile the shortfall as specified in the ACP Agreement, within 90 working days from the date of written notification of a shortfall by the (OTC STATE AGENCY).

(5) False reporting or failure to report any of the information specified in section 11 (g)(2)(ix), or the sale or transfer of invalid Surplus Reductions, shall constitute a single, separate violation of the requirements of this regulation for each day during the time period for which the Surplus Reductions are claimed to be valid.

(6) Except as provided in subsection (7) of this section, any exceedance of the ACP Limit for any compliance period that the ACP is in effect shall constitute a single, separate violation of the requirements of this regulation for each day of the applicable compliance period. The (OTC STATE AGENCY) shall determine whether an exceedance of the ACP Limit has occurred as follows:

- (i) If the responsible ACP party has provided all required information for the applicable compliance period specified in the

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

ACP Agreement approving an ACP, then the (OTC STATE AGENCY) shall determine whether an exceedance has occurred using the Enforceable Sales records and VOC Content for each ACP product, as reported by the responsible ACP party for the applicable compliance period;

(ii) If the responsible ACP party has failed to provide all the required information specified in the ACP Agreement for an applicable compliance period, the (OTC STATE AGENCY) shall determine whether an exceedance of the ACP Limit has occurred as follows:

(a) for the missing data days, the (OTC STATE AGENCY) shall calculate the total maximum historical emissions, as specified in section 2;

(b) for the remaining portion of the compliance period which are not missing data days, the (OTC STATE AGENCY) shall calculate the emissions for each ACP product using the Enforceable Sales records and VOC Content that were reported for that portion of the applicable compliance period;

(c) the ACP Emissions for the entire compliance period shall be the sum of the total maximum historical emissions, determined pursuant to subsection (6)(ii)(a), and the emissions determined pursuant to subsection (6)(ii)(b);

(d) the (OTC STATE AGENCY) shall calculate the ACP Limit for the entire compliance period using the ACP Standards applicable to each ACP product and the Enforceable Sales records specified in subsection (6)(ii)(b). The Enforceable Sales for each ACP Product during missing data days, as specified in subsection (6)(ii)(a), shall be zero (0);

(e) an exceedance of the ACP Limit has occurred when the ACP Emissions, determined pursuant to subsection (6)(ii)(c), exceeds the ACP Limit, determined pursuant to subsection (6)(ii)(d).

(7) If a violation specified in subsection (6) of this section occurs, the responsible ACP party may, pursuant to this paragraph, establish the number of violations as calculated according to the following equation:

$$NEV = (ACP \text{ Emissions} - ACP \text{ Limit}) \times 1 \text{ Violation}/40 \text{ Pounds}$$

where,

NEV = number of ACP Limit violations

ACP Emissions = the ACP Emissions for the compliance period ACP Limit = the ACP Limit for the compliance period

The responsible ACP party may determine the number of ACP Limit violations pursuant to this paragraph only if it has provided all required information for the applicable compliance period, as specified in the ACP Agreement approving the ACP. By choosing this option, the responsible ACP party waives any and all legal objections to the calculation of the ACP Limit violations pursuant to this subsection (7).

(8) In assessing the amount of penalties for any violation occurring pursuant to subsections (1)-(7) of this section, the circumstances identified in (**applicable OTC STATE health and safety laws and regulations**) shall be taken into consideration.

(9) A cause of action against a responsible ACP party under this section shall be deemed to accrue on the date(s) when the records establishing a violation are received by the (OTC STATE AGENCY).

(10) The responsible ACP party is fully liable for compliance with the requirements of this regulation, even if the responsible ACP party contracts with or otherwise relies on another person to carry out some or all of the requirements of this regulation.

(g) *Surplus Reductions and Surplus Trading.*

(1) The (OTC STATE AGENCY) shall issue Surplus Reduction Certificates which establish and quantify, to the nearest pound of VOC reduced, any Surplus Reductions achieved by a responsible ACP party operating under an ACP. The Surplus Reductions can be bought from, sold to, or transferred to a responsible ACP party operating under an ACP, as provided in subsection (2) of this section. All Surplus Reductions shall be calculated by the (OTC STATE AGENCY) at the end of each compliance period within the time specified in the approved ACP. Surplus Reduction Certificates shall not constitute instruments, securities, or any other form of property.

(2) The issuance, use, and trading of all Surplus Reductions shall be subject to the following provisions:

(i) For the purposes of this regulation, VOC reductions from sources of VOCs other than consumer products subject to the

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

VOC standards specified in 3 (a) may not be used to generate Surplus Reductions;

(ii) Surplus Reductions are valid only when generated by a responsible ACP party, and only while that responsible ACP party is operating under an approved ACP;

(iii) Surplus Reductions are valid only after the (OTC STATE AGENCY) has issued an ACP Agreement pursuant to subsection (1) of this section.

(iv) Any Surplus Reductions issued by the (OTC STATE AGENCY) may be used by the responsible ACP party who generated the surplus until the reductions expire, are traded, or until the ACP is canceled pursuant to section 11(k);

(v) Surplus Reductions cannot be applied retroactively to any compliance period prior to the compliance period in which the reductions were generated;

(vi) Except as provided in subsection (2)(vii)(b) of this section, only small or one-product businesses selling products under an approved ACP may purchase Surplus Reductions. An increase in the size of a small business or one-product business shall have no effect on Surplus Reductions purchased by that business prior to the date of the increase.

(vii) While valid, Surplus Reductions can be used only for the following purposes:

(a) to adjust either the ACP Emissions of either the responsible ACP party who generated the reductions or the responsible ACP party to which the reductions were traded, provided the Surplus Reductions are not to be used by any responsible ACP party to further lower its ACP Emissions when its ACP Emissions are equal to or less than the ACP Limit during the applicable compliance period; or

(b) to be traded for the purpose of reconciling another responsible ACP party's shortfalls, provided such reconciliation is part of the reconciliation of shortfalls plan approved by the (OTC STATE AGENCY) pursuant to section 11 (c)(1)(vii)(j).

(viii) A valid Surplus Reduction shall be in effect starting five (5) days after the date of issuance by the (OTC STATE AGENCY), for a continuous period equal to the number of days in the compliance period during which the Surplus Reduction was generated. The Surplus Reduction shall then expire at the end of its effective period.

(ix) At least five (5) working days prior to the effective date of transfer of Surplus Reductions, both the responsible ACP party which is selling Surplus Reductions and the responsible ACP party which is buying the Surplus Reductions shall, either together or separately, notify the (OTC STATE AGENCY) in writing of the transfer. The notification shall include all of the following:

(a) the date the transfer is to become effective;

(b) the date the Surplus Reductions being traded are due to expire;

(c) the amount (in pounds of VOCs) of Surplus Reductions that are being transferred;

(d) the total purchase price paid by the buyer for the Surplus Reductions;

(e) the contact persons, names of the companies, street and mail addresses, and phone numbers of the responsible ACP parties involved in the trading of the Surplus Reductions;

(f) a copy of the (OTC STATE AGENCY)-issued Surplus Reductions Certificate, signed by both the seller and buyer of the certificate, showing transfer of all or a specified portion of the Surplus Reductions. The copy shall show the amount of any remaining non-traded Surplus Reductions, if applicable, and shall show their expiration date. The copy shall indicate that both the buyer and seller of the Surplus Reductions fully understand the conditions and limitations placed upon the transfer of the Surplus Reductions and accept full responsibility for the appropriate use of such Surplus Reductions as provided in this section.

(x) Surplus Reduction Credits shall only be traded between ACP product(s) for consumer products.

(3) Limited-Use Surplus Reduction Credits for Early Reformulations of ACP Products

(i) For the purposes of this subsection (3), "early reformulation" means an ACP product which is reformulated to result in a reduction in the product's VOC Content, and which is sold, supplied, or offered for sale in (OTC STATE) for the first time during the one-year (365 day) period immediately prior to the date on which the application for a proposed ACP is submitted

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

to the (OTC STATE AGENCY). "Early reformulation" does not include any reformulated ACP products which are sold, supplied, or offered for sale in (OTC STATE) more than one year prior to the date on which the ACP application is submitted to the (OTC STATE AGENCY).

(ii) If requested in the application for a proposed ACP, the (OTC STATE AGENCY) shall, upon approval of the ACP, issue Surplus Reduction Credits for early reformulation(s) of ACP product(s), provided that all of the following documentation has been provided by the responsible ACP party to the satisfaction of the (OTC STATE AGENCY):

(a) accurate documentation showing that the early reformulation(s) reduced the VOC content of the ACP product(s) to a level which is below the Pre-ACP VOC content of the product(s), or below the applicable VOC standard(s) specified in section 3 (a), whichever is the lesser of the two;

(b) accurate documentation demonstrating that the early reformulated ACP product(s) was sold in (OTC STATE) retail outlets within the time period specified in subsection (3)(j);

(c) accurate sales records for the early reformulated ACP product(s) which meet the definition of "Enforceable Sales Records" in section 2, and which demonstrate that the Enforceable Sales for the ACP product(s) are at least 75.0% of the Gross (OTC STATE) Sales for the product(s), as specified in section 11 (c)(1)(iv);

(d) accurate documentation for the early reformulated ACP product(s) which meets the requirements specified in sections 11 (c)(1)(iii)-(iv), (1)(vii)(g)-(h), and (a)(viii), and which identifies the specific test methods for verifying the claimed early reformulation(s) and the statistical accuracy and precision of the test methods as specified in section 11 (c)(1)(vii)(d).

(iii) Surplus Reduction Credits issued pursuant to this subsection (c) shall be calculated separately for each early reformulated ACP product by the (OTC STATE AGENCY) according to the following equation:

$$SR = \text{Enforceable Sales} \times \frac{((VOC\ Content)_{initial} - (VOC\ Content)_{final})}{100}$$

where,

SR = Surplus Reductions for the ACP product, expressed to the nearest pound
Sales = the Enforceable Sales for the early reformulated ACP product, expressed to the nearest pound of ACP product,

VOC Content_{initial} = the Pre-ACP VOC content of the ACP product, or the applicable VOC standard specified in 3 (a), whichever is the lesser of the two, expressed to the nearest 0.1 pounds of VOC per 100 pounds of ACP product,

VOC Content_{final} = the VOC Content of the early reformulated ACP product after the early reformulation is achieved, expressed to the nearest 0.1 pounds of VOC per 100 pounds of ACP product.

(iv) The use of Surplus Reduction Credits issued pursuant to this subsection (3) shall be subject to all of the following provisions:

(a) Surplus Reduction Credits shall be used solely to reconcile the responsible ACP party's shortfalls, if any, generated during the first compliance period occurring immediately after the issuance of the ACP Agreement approving an ACP, and shall not be used for any other purpose;

(b) Surplus Reduction Credits shall not be transferred to, or used by, any other responsible ACP party;

(c) Except as provided in this subsection (3), Surplus Reduction Credits shall be subject to all requirements applicable to Surplus Reductions and Surplus Trading, as specified in subsections 11 (g)(1) and (2).

(h) *Reconciliation of Shortfalls.*

(1) At the end of each compliance period, the responsible ACP party shall make an initial calculation of any shortfalls occurring in that compliance period, as specified in the ACP Agreement approving the ACP. Upon receipt of this information, the (OTC

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

STATE AGENCY) shall determine the amount of any shortfall that has occurred during the compliance period, and shall notify the responsible ACP party of this determination.

(2) The responsible ACP party shall implement the reconciliation of shortfalls plan as specified in the ACP Agreement approving the ACP, within 30 working days from the date of written notification of a shortfall by the (OTC STATE AGENCY);

(3) All shortfalls shall be completely reconciled within 90 working days from the date of written notification of a shortfall by the (OTC STATE AGENCY), by implementing the reconciliation of shortfalls plan specified in the ACP Agreement approving the ACP.

(4) All requirements specified in the ACP Agreement approving an ACP, including all applicable ACP Limits, shall remain in effect while any shortfalls are in the process of being reconciled.

(i) *Notification of Modifications to an ACP by the Responsible ACP Party.*

(1) Modifications That Do Not Require (OTC STATE AGENCY) Pre-Approval: The responsible ACP party shall notify the (OTC STATE AGENCY), in writing, of any change in an ACP product's: (i) product name, (ii) product formulation, (iii) product form, (iv) product function, (v) applicable product category(ies),

(vi) VOC Content, (vii) LVP Content, (viii) date-codes, or (ix) recommended product usage directions, no later than 15 working days from the date such a change occurs. For each modification, the notification shall fully explain the following:

(a) the nature of the modification;

(b) the extent to which the ACP product formulation, VOC Content, LVP Content, or recommended usage directions will be changed;

(c) the extent to which the ACP Emissions and ACP Limit specified in the ACP Agreement will be changed for the applicable compliance period; and

(d) the effective date and corresponding date-codes for the modification.

(2) Modifications That Require (OTC STATE AGENCY) Pre-Approval: The responsible ACP party may propose modifications to the Enforceable Sales records or reconciliation of shortfalls plan specified in the ACP Agreement approving the ACP. Any such proposed modifications shall be fully described in writing and forwarded to the (OTC STATE AGENCY). The responsible ACP party shall clearly demonstrate that the proposed modifications will meet the requirements of this regulation. The (OTC STATE AGENCY) shall act on the proposed modifications using the procedure set forth in section 11(d). The responsible ACP party shall meet all applicable requirements of the existing ACP until such time as any proposed modification(s) is approved in writing by the (OTC STATE AGENCY).

(3) Other Modifications: Except as otherwise provided in subsections (1) and (2) of this section, the responsible ACP party shall notify the (OTC STATE AGENCY), in writing, of any information learned of by the responsible ACP party which may alter any of the information submitted pursuant to the requirements of section 11 (c). The responsible ACP party shall provide such notification to the (OTC STATE AGENCY) no later than 15 working days from the date such information is known to the responsible ACP party.

(j) *Modification of an ACP by the (OTC STATE AGENCY).*

(1) If the (OTC STATE AGENCY) determines that: (i) the Enforceable Sales for an ACP product are no longer at least 75.0% of the Gross (OTC STATE) Sales for that product, or (ii) the information submitted pursuant to the approval process set forth in section 11 (c) is no longer valid, or (iii) the ACP Emissions are exceeding the ACP Limit specified in the ACP Agreement approving an ACP, then the (OTC STATE AGENCY) shall modify the ACP as necessary to ensure that the ACP meets all requirements of this regulation and that the ACP Emissions will not exceed the ACP Limit. The (OTC STATE AGENCY) shall not modify the ACP without first affording the responsible ACP party an opportunity for a public hearing in accordance with the procedures specified in (**applicable OTC STATE laws and regulations**), to determine if the ACP should be modified.

(2) If any applicable VOC standards specified in section 3 (a) are modified by the Air Resources Board in a future rule making, the (OTC STATE AGENCY) shall modify the ACP Limit specified in the ACP Agreement approving an ACP to reflect the modified ACP VOC standards as of their effective dates.

(k) *Cancellation of an ACP.*

OTC Model Rule for Consumer Products Phase IV: May 10, 2012

- (1) An ACP shall remain in effect until:
 - (i) the ACP reaches the expiration date specified in the ACP Agreement;
 - (ii) the ACP is modified by the responsible ACP party and approved by the (OTC STATE AGENCY), as provided in section 11 (i);
 - (iii) the ACP is modified by the (OTC STATE AGENCY), as provided in section 11 (j);
 - (iv) the ACP includes a product for which the VOC standard specified in section 3 (a) is modified by the (OTC STATE AGENCY) in a future rule making, and the responsible ACP party informs the (OTC STATE AGENCY) in writing that the ACP will terminate on the effective date(s) of the modified standard;
 - (v) the ACP is cancelled pursuant to subsection (2) of this section.
 - (2) The (OTC STATE AGENCY) shall cancel an ACP if any of the following circumstances occur:
 - (i) the responsible ACP party demonstrates to the satisfaction of the (OTC STATE AGENCY) that the continuation of the ACP will result in an extraordinary economic hardship;
 - (ii) the responsible ACP party violates the requirements of the approved ACP, and the violation(s) results in a shortfall that is 20.0% or more of the applicable ACP Limit (i.e., the ACP Emissions exceed the ACP Limit by 20.0% or more);
 - (iii) the responsible ACP party fails to meet the requirements of section 11 (h) (Reconciliation of Shortfalls) within the time periods specified in section 11 (h).
 - (iv) the responsible ACP party has demonstrated a recurring pattern of violations and has consistently failed to take the necessary steps to correct those violations.
 - (3) The (OTC STATE AGENCY) shall not cancel an ACP pursuant to subsection (2) of this section without first affording the responsible ACP party an opportunity for a public hearing in accordance with the procedures specified by **(applicable OTC STATE laws and regulations)**, to determine if the ACP should be canceled.
 - (4) The responsible ACP party for an ACP which is canceled pursuant to this section and who does not have a valid ACP to immediately replace the canceled ACP shall meet all of the following requirements:
 - (i) all remaining shortfalls in effect at the time of ACP cancellation shall be reconciled in accordance with the requirements of section 11 (h), and
 - (ii) all ACP products subject to the ACP shall be in compliance with the applicable VOC standards in (a) 3 immediately upon the effective date of ACP cancellation.
 - (5) Any violations incurred pursuant to section 11 (f) shall not be cancelled or in any way affected by the subsequent cancellation or modification of an ACP pursuant to section 11 (i), 11 (j), or 11 (k).
- (l) *Treatment of Information.* The information required by sections 11 (c)(1)(i)-(1)(ii) and 11 (g)(2)(ix) is public information which may not be claimed as confidential. All other information submitted to the (OTC STATE AGENCY) to meet the requirements of this regulation shall be handled in accordance with the procedures specified in **(applicable OTC STATE laws and regulations)**.
- (m) *Other Applicable Requirements.* A responsible ACP party may transfer an ACP to another responsible ACP party, provided that all of the following conditions are met:
- (1) The (OTC STATE AGENCY) shall be notified, in writing, by both responsible ACP parties participating in the transfer of the ACP and its associated ACP Agreement. The written notifications shall be postmarked at least five (5) working days prior to the effective date of the transfer and shall be signed and submitted separately by both responsible parties. The written notifications shall clearly identify the contact persons, business names, mail and street addresses, and phone numbers of the responsible parties involved in the transfer.
 - (2) The responsible ACP party to which the ACP is being transferred shall provide a written declaration stating that the transferee shall fully comply with all requirements of the ACP Agreement approving the ACP and this regulation.