

**State of California  
Office of Administrative Law**

In re:  
Department of Resources Recycling and  
Recovery

Regulatory Action:

Title 14, California Code of Regulations

Adopt sections: 2370, 2371, 2372, 2373,  
2375, 2375.2, 2375.4,  
2375.6, 2375.8, 2376, 2377,  
2378, 2380, 2381, 2382,  
2385, 2386

Amend sections: 2000, 2030, 2400, 2401,  
2420, 2425, 2430, 2501,  
2516, 2518, 2519, 2530

NOTICE OF APPROVAL OF REGULATORY  
ACTION

Government Code Section 11349.3

OAL Matter Number: 2025-0313-03

OAL Matter Type: Regular Resubmittal (SR)

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In this action, the Department of Resources Recycling and Recovery ("CalRecycle") proposes to amend regulations pertaining to dealer registration and develops a program for dealer cooperatives to provide redemption plans in unserved convenience zones.

OAL approves this regulatory action pursuant to section 11349.3 of the Government Code. This regulatory action becomes effective on 4/24/2025.

Date: April 24, 2025



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Ashita Mohandas  
Attorney

For: Kenneth J. Pogue  
Director

Original: Zoe Heller, Director  
Copy: Kris Chisholm

## NOTICE PUBLICATION/REGULATIONS SUBMISSION

STD. 400 (REV. 10/2019)

RESUBMITTAL

For use by Secretary of State only

OAL FILE NUMBERS	NOTICE FILE NUMBER <b>Z-</b>	REGULATORY ACTION NUMBER <b>2025-0313-03</b>	EMERGENCY NUMBER
For use by Office of Administrative Law (OAL) only			
NOTICE		REGULATIONS	
AGENCY WITH RULEMAKING AUTHORITY <b>Department of Resources, Recycling, and Recovery</b>			AGENCY FILE NUMBER (If any)

**ENDORSED - FILED**  
in the office of the Secretary of State  
of the State of California**APR 24 2025**  
**2:00 PM** *CB***A. PUBLICATION OF NOTICE (Complete for publication in Notice Register)**

1. SUBJECT OF NOTICE <b>PER AGENCY REQUEST</b>		TITLE(S)	FIRST SECTION AFFECTED	2. REQUESTED PUBLICATION DATE	
3. NOTICE TYPE <input type="checkbox"/> Notice re Proposed Regulatory Action <input type="checkbox"/> Other		4. AGENCY CONTACT PERSON		TELEPHONE NUMBER	FAX NUMBER (Optional)
OAL USE ONLY	ACTION ON PROPOSED NOTICE <input type="checkbox"/> Approved as Submitted <input type="checkbox"/> Approved as Modified <input type="checkbox"/> Disapproved/Withdrawn		NOTICE REGISTER NUMBER <b>2024.10-2</b>	PUBLICATION DATE <b>03/15/2024</b>	

**B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)**

1a. SUBJECT OF REGULATION(S) <b>Dealer Registration and Dealer Cooperatives</b>		1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S) <b>Z-2024-0304-03; 2025-0113-02S</b>	
2. SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related)			
SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.)		ADOPT <b>2370, 2371, 2372, 2373, 2375, 2375.2, 2375.4, 2375.6, 2375.8, 2376, continues (see attachment)</b>	
TITLE(S) <b>14</b>		AMEND <b>2000, 2030, 2400, 2401, 2420, 2425, 2430, 2501, 2516, 2518, 2519, 2530</b>	
REPEAL			
3. TYPE OF FILING			
<input type="checkbox"/> Regular Rulemaking (Gov. Code §11346) <input type="checkbox"/> Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §§11346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute. <input type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h)) <input type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100)			
<input checked="" type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4) <input type="checkbox"/> File & Print <input type="checkbox"/> Print Only			
<input type="checkbox"/> Emergency (Gov. Code, §11346.1(b)) <input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1) <input type="checkbox"/> Other (Specify) _____			
4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1) 15-Day Comment Period from August 19, 2024 to September 3, 2024; 15-Day Comment Period from February 24, 2025 to March 11, 2025			
5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100 )			
<input type="checkbox"/> Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a)) <input checked="" type="checkbox"/> Effective on filing with Secretary of State <input type="checkbox"/> \$100 Changes Without Regulatory Effect <input type="checkbox"/> Effective other (Specify) _____			
6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY			
<input checked="" type="checkbox"/> Department of Finance (Form STD. 399) (SAM §6660) <input type="checkbox"/> Fair Political Practices Commission <input type="checkbox"/> State Fire Marshal			
<input type="checkbox"/> Other (Specify) _____			
7. CONTACT PERSON <b>Kris Chisholm</b>		TELEPHONE NUMBER <b>(916) 322-2404</b>	FAX NUMBER (Optional)
			E-MAIL ADDRESS (Optional) <b>kris.chisholm@calrecycle.ca.gov</b>

**PER AGENCY REQUEST**  
**AM 4/24/25**

8. I certify that the attached copy of the regulation(s) is a true and correct copy of the regulation(s) identified on this form, that the information specified on this form is true and correct, and that I am the head of the agency taking this action, or a designee of the head of the agency, and am authorized to make this certification.

SIGNATURE OF AGENCY HEAD OR DESIGNEE <b>Zoe Heller</b> <small>Digitally signed by Zoe Heller Date: 2025.03.12 17:26:48 -0700</small>	DATE
TYPED NAME AND TITLE OF SIGNATORY <b>Zoe Heller, Director</b>	

For use by Office of Administrative Law (OAL) only

**ENDORSED APPROVED****APR 24 2025****Office of Administrative Law**

**Department of Resources Recycling and Recovery**  
**Dealer Registration and Dealer Cooperative Permanent Regulations**

**CalRecycle STD Form 400 Attachment**

Please find supplemental information to the STD Form 400, organized by each applicable section of the form, below:

**Section B. SUBMISSION OF REGULATIONS**

**2. SECTION(S) AFFECTED:**

**TITLE:** 14

**ADOPT:** 2370, 2371, 2372, 2373, 2375, 2375.2, 2375.4, 2375.6, 2375.8, 2376, 2377, 2378, 2380, 2381, 2382, 2385, 2386

**AMEND:** 2000, 2030, 2400, 2401, 2420, 2425, 2430, 2501, 2516, 2518, 2519, 2530

PROPOSED REGULATION TEXT

Dealer Registration and Dealer Cooperatives Permanent Regulations

Division of Circular Economy

DEPARTMENT OF RESOURCES RECYCLING AND RECOVERY

CALIFORNIA CODE OF REGULATIONS

Note:

All amendments are shown in underline to indicate additions and ~~strikeout~~ to indicate deletions from the existing regulatory text. The symbol “\* \* \* \*” means that intervening text not proposed for amendment is not shown.

TITLE 14

DIVISION 2

CHAPTER 5. Division of Recycling

**ADOPT**

SUBCHAPTER 4.5, ARTICLES 1-5

**AMEND**

SUBCHAPTER 1

SUBCHAPTER 2, ARTICLE 1

SUBCHAPTER 5, ARTICLES 1 and 3

SUBCHAPTER 6, ARTICLES 1, 2, and 3

**Adopt sections 2370, 2371, 2372, 2373, 2375, 2375.2, 2375.4, 2375.6, 2375.8, 2376, 2377, 2378, 2380, 2381, 2382, 2385, 2386, California Code of Regulations, title 14.**

**Amend sections 2000, 2030, 2400, 2401, 2420, 2425, 2430, 2501, 2516, 2518, 2519, 2530, California Code of Regulations, title 14.**

## SUBCHAPTER 1. Definitions

### Section 2000. Definitions.

(a) In addition to the definitions provided in the California Beverage Container Recycling and Litter Reduction Act, except for subdivisions (a)(3.1), (10), (20), (21), (35), (37), (38), (40) and (42) below which modify definitions in the Act for purposes of these regulations, the following definitions shall apply whenever the terms are used in this chapter.

\* \* \* \*

(5) "Category" means the classification of operation, i.e., processor, recycling center, dealer cooperative, grandfathered recycling center, dropoff or collection program, or community service program.

\* \* \* \*

~~(11.1) "Consolidated Shipping Report" documents the delivery and receipt of material for processors or recycling centers that operate multiple recycling centers or receive material from dropoff or collection programs, community service programs, or curbside programs and is prepared pursuant to subsection 2090(f) of these regulations.~~

\* \* \* \*

(33) "Operator" means the person(s) or entity who has ultimate responsibility for a ~~recycling facility center~~, dealer cooperative, processing facility, dropoff or collection program, or community service program.

\* \* \* \*

(35) "Processor" means any person, including a scrap dealer, who purchases or offers to purchase empty beverage containers from more than one recycling center or dealer cooperative in this state and is responsible for cancelling empty beverage container(s) in a manner prescribed in section 2000(a)(4) ~~of these regulations~~.

\* \* \* \*

(42) "Scrap Value" is the total net payment per ton to any nonaffiliated sellers in each of the following categories: Certified recycling centers, registered dealer cooperatives, certified dropoff or collection programs, certified community service programs, registered curbside programs, and certified processors, for container material types.

\* \* \* \*

(44) "Shipping Report" is the documentation of the receipt of material by a processor, or by a recycling center from another recycling center, dealer cooperative, dropoff or collection program, community service program, or curbside program. The shipping report is the basis for payments by the ~~Division~~ department pursuant to ~~Section~~ section 14573 of the Act.

\* \* \* \*

Authority cited: Sections 14530.5, 14536(b), 14536.1, 14539, 14578.5 and 14599, Public Resources Code. Reference: Sections 14500, 14501, 14503, 14503.6, 14504, 14505, 14506.5, 14509.5, 14511.7, 14512, 14512.5, 14513, 14514.4.1, 14514.7, 14517, 14518, 14518.5, 14519.5, 14520, 14520.5, 14520.6, 14522.5, 14524, 14525.5.1, 14526, 14530, 14530.2, 14536, 14537, 14538, 14539, 14547, 14549.3, 14550, 14552, 14561, 14571.2, 14571.8, 14572, 14573, 14573.5, 14573.51, 14574 and 14575, 14578 and 14578.5, Public Resources Code.

## **SUBCHAPTER 2. General Requirements**

### **ARTICLE 1. Certification Application Procedures**

#### **Section 2030. Review of Applications.**

- (a) All applications for certification shall be reviewed by the department for compliance with this chapter.
- (b) The department shall assess the readiness of all new applicant(s) and periodically conduct field investigations to verify the accuracy of information contained in the certification application and explain program requirements.
- (c) The department shall notify the applicant in writing within thirty (30) working days of receipt of the application, or receipt of additional information if the application was initially incomplete, that it is either:
  - (1) Complete and accepted for further review, or
  - (2) Incomplete and the reasons for the incompleteness.
- (d) Upon determining that an application is complete, the department shall notify the applicant in writing within sixty (60) calendar days that such application is either:
  - (1) Approved,
  - (2) Approved with a probationary status, or
  - (3) Denied and the reasons for denial.
- (e) In determining whether the operator is likely to operate in accordance with this chapter, the department shall review the certification history of the operator and other individuals identified in the application as responsible for the recycling center, processing facility, dropoff or collection program, or community service program operation.
- (f) The department shall review its records to determine whether one or more certified entities have operated within the past five years at the same location that is the subject of an application for certification of a recycling center or processor. If one or more entities have operated at the same location, the department shall review the certification

history of the entity or entities certified at the same location within the past five years and determine whether the operations at the location exhibit, to the department's satisfaction, a pattern of operation in compliance with the requirements of the California Beverage Container Recycling and Litter Reduction Act, including all relevant regulations adopted thereunder.

(g) Reasons for denial of applications may include, but shall not be limited to, any of the following:

(1) Failure to provide information or documentation to complete the application as stipulated in section 2045 and 2055;

(2) The operator is unwilling to accept and redeem all beverage container types;

(3) The recycling center operator does not agree to be open for business at least thirty (30) hours per week, five (5) of which are other than from 9 a.m. to 5 p.m. on Monday through Friday;

(4) The operator's certification history demonstrates outstanding fines, penalties, or audit findings;

(5) The operator's certification history discloses decertification of a recycling center, processing facility, dropoff or collection program, or community service program within the past two-year period;

(6) The operator's certification history demonstrates a pattern of operation in conflict with the requirements of the California Beverage Container Recycling and Litter Reduction Act, including all relevant regulations adopted thereunder; ~~or~~

(7) For applications for certification of recycling centers or processors, the certification history of one or more entities certified at the same location within the past five years fails to demonstrate to the department's satisfaction a pattern of operation in compliance with the requirements of the California Beverage Container Recycling and Litter Reduction Act, including all relevant regulations adopted thereunder; ~~;~~

(8) The renewal applicant does not possess a valid application voucher that expires on or after the expiration date of the certification being renewed; ~~;~~ or

(9) The proposed recycling center is located within an unserved convenience zone where at least one dealer cooperative is implementing a fully operational stewardship plan approved by the department pursuant to subchapter 4.5.

(h) (1) Notwithstanding paragraph (3) of subdivision (g), the department may allow the applicant to operate less than 30 hours per week if either of the following conditions are met:

(A) The recycling center will be located in a designated rural region.

(B) The proposed operating hours will not significantly decrease the ability of consumers to conveniently return beverage containers for the refund value to a certified recycling center redeeming all material types.

(2) The department shall not approve a recycling center to operate under paragraph (1) for fewer than 10 hours per week.

(3) For an applicant approved to operate under paragraph (1), failing to continue to meet the criteria specified in subparagraph (A) or (B) of paragraph (1) is grounds for rescinding the approval to operate the reduced schedule.

Authority cited: Sections 14530.5 ~~and~~, 14536 ~~(b)~~, and 14578.5, Public Resources Code.  
Reference: Sections 14511.7, 14538, 14539, 14540, 14541 ~~and~~, 14571, 14578 and 14578.5, Public Resources Code.

#### **SUBCHAPTER 4.5. Dealers and Dealer Cooperatives**

##### **ARTICLE 1. Definitions**

##### **Section 2370. Definitions.**

For purposes of this subchapter, the following definitions apply:

(a) "Consumer convenience that is comparable to the requirements of section 14571 and section 14571.9 of the Act" means either of the following:

(1) Accepting and immediately paying the refund value for beverage containers at least 30 hours per week with a minimum of five hours of operation occurring during periods other than from Monday to Friday, from 9 a.m. to 5 p.m.

(2) Accepting and immediately paying the refund value for beverage containers for all of the following:

(A) A minimum of one day from Monday to Friday per week for at least eight hours.

(B) In addition to the requirement in subparagraph (C), at least five hours per week during periods other than from Monday through Friday, from 9 a.m. to 5 p.m.

(C) At least eight hours per week during Saturday or Sunday.

(b) "Days" means all calendar days unless provided otherwise.

(c) "Dealer cooperative stewardship fee" means a fee assessed on a dealer member by a dealer cooperative in accordance with section 14578.5(c)(2) of the Act.

(d) "Department" means the Department of Resources Recycling and Recovery.

(e) "Fully operational" means all elements specified in a stewardship plan or required pursuant to the Act or this chapter are operational in accordance with the terms set out in the stewardship plan and in compliance with the Act and this chapter.



(f) "Innovative method of redemption" includes any of the following:

(1) Pickup service as part of which empty beverage containers are redeemed at the consumer's address.

(2) Bag drop.

(3) Reverse vending machine.

(4) A method of redemption at which an attendant is not present to accept materials.

(g) "Redemption contractor" means a person redeeming empty beverage containers from consumers pursuant to a stewardship plan on behalf of a dealer cooperative.

(h) "Redemption location" or "redemption site" means a place at which beverage containers are redeemed on behalf of a dealer cooperative, including, but not limited to, an innovative method of redemption. A redemption location or redemption site is not required to obtain a certification or registration number from the department in order to operate as part of a stewardship program.

(i) "Sales and storage area" includes all of the following:

(1) Sales areas accessible to customers, including, but not limited to, aisles, foyers, sitting areas, and restrooms.

(2) Employee areas, including, but not limited to, sales counters, preparation areas, offices, restrooms, and breakrooms.

(3) Enclosed attached storage areas.

(4) Outdoor sales areas accessible to customers, including, but not limited to, tents, lean-tos, gazebos, patios, and porches.

(j) "Stewardship plan" means a redemption plan as described in section 14578.5(c)(1) of the Act.

(k) "Stewardship program" means the redemption program implemented by a dealer cooperative pursuant to its stewardship plan approved by the department.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14571, 14571.9, 14578 and 14578.5, Public Resources Code.

## ARTICLE 2. Dealers

### Section 2371. Dealer Registration.

(a) (1) Each dealer located within a convenience zone shall separately register each of its retail locations with the department pursuant to this section. A dealer shall register no later than 30 days after the effective date of this section.

(2) For a dealer operating in a convenience zone after the effective date of this section, the dealer shall register no later than 30 days after commencing operation, or after the dealer is determined by the department to be in a convenience zone.

(b) Dealer registration shall be initiated by a dealer through online registration on the department's internet website. If a dealer is unable to use the online registration, the department shall provide an alternate format to the dealer upon written request mailed to the Dealer Registration Unit, Beverage Container Recycling Program, 1001 I Street, Sacramento CA 95814. The registration process shall require submission of all of the following for the retail location being registered:

(1) The legal name of the owner of the dealer and the store "doing business as" (DBA) name.

(2) For dealers that also sell fuel, the associated gas station name, if different than the store "doing business as" (DBA) name.

(3) The dealer's federal tax identification number, also known as an employer identification number (EIN).

(4) The store manager's name, title, phone number, and email address.

(5) The name, title, phone number, and email address of a secondary contact, who shall be different than the store manager.

(6) The dealer's physical business address.

(7) The dealer's mailing address.

(8) The primary phone number and email address for the dealer, and internet website address of the dealer, if such an internet website exists.

(9) A declaration of whether or not the dealer has a combined sales and storage area of less than 5,000 square feet at that retail location.

(10) A declaration of whether or not the gross annual sales of the dealer at that retail location are less than one million five hundred thousand dollars (\$1,500,000) based on the most recent tax return filed with the federal Internal Revenue Service, excluding any fuel sales.

(11) The date the dealer began business at that retail location.

(12) The beverage types, container material types, and container sizes offered for sale by the dealer at that retail location.

(13) The name, title, email address, and signature of the person signing the registration on behalf of the dealer, with the signature block indicating the date the registration was signed.

(c) The department shall require the following additional information if necessary to corroborate or clarify the registration information provided and the dealer shall provide the information within 15 working days in order to complete its registration:

(1) Documentation to support a declaration submitted pursuant to paragraph (9) of subdivision (b), including, but not limited to, a current lease agreement or floor plan.

(2) Documentation to support a declaration submitted pursuant to paragraph (10) of subdivision (b), including, but not limited to, evidence of cumulative gross annual sales.

(d) Within 45 working days of receiving a complete dealer registration pursuant to this section, the department shall provide the registering dealer with a dealer registration number for that retail location confirming registration has been successful.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### Section 2372. Dealer Notification Requirements and New Registration Required.

(a) A registered dealer shall notify the department electronically in writing 30 days before either of the following:

(1) A change in the dealer's federal tax identification number, also known as an employer identification number (EIN).

(2) A change in the dealer's physical business address.

(b) If a dealer's federal tax identification number, also known as an employer identification number (EIN), or physical business address changes, the dealer shall submit a new dealer registration within 30 days pursuant to section 2371. A dealer is not required to submit a new dealer registration if the dealer's new physical business address is not within a convenience zone.

(c) Within 30 days after any of the following, a dealer shall notify the department electronically in writing:

(1) A change to the information previously submitted as to the store's size or sales totals in the dealer registration.

(2) The dealer ceases operation.

(3) A change in the store manager's or secondary contact's information.

(4) A change in the dealer's mailing address, phone number, email address, or internet website address.

(d) A registered dealer shall annually submit to the department electronically in writing confirmation that the declarations specified in sections 2371(b)(9) and 2371(b)(10) are still accurate. This confirmation shall be submitted by July 1 following the dealer's registration, and each July 1 thereafter. If, at the time of the annual submission, any

documentation previously submitted to support the declaration is no longer accurate, the dealer shall submit updated documentation.

(e) A dealer may provide the information required by this section by certified postal mail instead of electronically in writing if the dealer demonstrates to the department that it is unable to submit the information electronically in writing and the department provides prior written approval.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### Section 2373. Dealer Redemption Requirements.

(a) A dealer located in an unserved convenience zone that is not a member of a dealer cooperative with a fully operational stewardship plan approved by the department shall redeem empty beverage containers on the dealer's premises in accordance with section 14578(a)(1) of the Act. This includes, but is not limited to, immediately complying with section 14578(a)(1) of the Act in the following circumstances:

(1) The dealer's membership in a dealer cooperative is terminated.

(2) The dealer is a member of a dealer cooperative with a stewardship plan that is revoked by the department pursuant to section 2385.

(3) The dealer is a member of a dealer cooperative that dissolves or that has its registration revoked by the department pursuant to section 2385.

(b) In accordance with section 2376(e), a dealer in an unserved convenience zone that is a member of a dealer cooperative shall continue redeeming empty beverage containers on the dealer's premises in accordance with section 14578(a)(1) of the Act until the dealer cooperative's approved stewardship plan is fully operational.

(c) A dealer that is a member of a dealer cooperative with a fully operational stewardship plan approved by the department is not required to redeem beverage containers on the dealer's premises.

(d) A dealer located in an unserved convenience zone with a fully operational dealer cooperative is not automatically a member of the dealer cooperative and shall comply with section 14578(a) of the Act if it is not a member of the dealer cooperative.

(e) (1) This section does not apply to a dealer that has demonstrated to the department that the dealer has gross annual sales of less than one million five hundred thousand dollars (\$1,500,000) or is less than 5,000 square feet.

(2) For purposes of paragraph (1), gross annual sales do not include sales of fuel.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### ARTICLE 3. Stewardship Plan

### Section 2375. Stewardship Plan Submission.

(a) (1) In order to receive approval for a stewardship plan, a dealer cooperative shall submit a stewardship plan to the department that includes the information required pursuant to sections 2375.2, 2375.4, 2375.6, and 2375.8.

(2) A stewardship plan submitted to the department pursuant to this section shall be submitted electronically. The date of electronic submittal shall be considered the date of receipt by the department.

(3) The dealer cooperative shall post the stewardship plan submitted to the department on an internet website identified in its stewardship plan.

(4) (A) A stewardship plan submitted to the department and posted online pursuant to this section shall be consistent with the standards set forth in section 7405 of the Government Code and the Web Content Accessibility Guidelines (WCAG) 2.0 published in 2008 by the World Wide Web Consortium at <http://www.w3.org/TR/WCAG20/>. The entirety of the Web Content Accessibility Guidelines (WCAG) 2.0 published in 2008 are incorporated by reference.

(B) Notwithstanding section 2376, a dealer cooperative's failure to comply with subparagraph (A) shall not be a basis for disapproval of the stewardship plan.

(b) Submission of the stewardship plan shall constitute a declaration that the dealer cooperative and dealer members are in compliance with all applicable requirements of the Act and this chapter.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

### Section 2375.2. Stewardship Plan Informational Contents.

The stewardship plan shall include all of the following information:

(a) (1) The dealer cooperative's federal tax identification number, also known as an employer identification number (EIN).

(2) A dealer cooperative may redact the dealer cooperative's federal tax identification number, also known as an employer identification number (EIN), when posting a stewardship plan on an internet website identified in its stewardship plan.

(b) Contact information for the individual(s) responsible for submitting and overseeing the stewardship plan on behalf of the dealer cooperative. The contact information shall include, at a minimum, all of the following:

(1) Contact name.

(2) Title.

(3) Name of dealer cooperative.

(4) Mailing address.

(5) Phone number.

(6) E-mail address.

(c) Names and titles for any person who will make decisions on behalf of the dealer cooperative, including, but not limited to, each member of the dealer cooperative's board of directors.

(d) Verification of current exemption from taxation under section 501(c)(3) of the federal Internal Revenue Code of 1986.

(e) The articles of incorporation most recently filed with the California Secretary of State, or the equivalent formation documents filed in the dealer cooperative's state of formation, as a nonprofit corporation.

(f) A list of all dealer members in the dealer cooperative, including each dealer's registration number issued pursuant to section 2371.

(g) A list of unserved convenience zones in which the dealer cooperative will provide redemption.

(h) A list of processors and recycling centers, including the certification numbers of the processors and recycling centers, to which the dealer cooperative will ship beverage containers.

(i) A list of redemption sites known at the time of submission.

(j) A timeline for the stewardship plan becoming fully operational once the stewardship plan is approved by the department.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14510.2, 14578 and 14578.5, Public Resources Code.

#### Section 2375.4. Stewardship Plan Substantive Contents.

The stewardship plan shall include descriptions of all of the following:

(a) Each method of redemption offered by the dealer cooperative.

(b) An education and outreach program that includes, at a minimum, all of the following:

(1) Activities to promote awareness and maximize consumer and dealer participation in the stewardship program, including, but not limited to, providing educational and outreach materials to persons selling and purchasing beverages in beverage containers in the area covered by a dealer cooperative's stewardship plan.

(2) Materials to be utilized that are distributed in languages suited to the area covered by a dealer cooperative's stewardship plan, including a list of the languages. At a minimum, materials shall be translated into each language that 5 percent or more of the

non-English speaking people speak in each census tract in which the unserved convenience zone is located. The materials shall include the following:

(A) Printed materials, including, but not limited to, public outreach materials and signage for dealer or redemption sites. The signage for a redemption site shall include, at a minimum, days and hours of operation. The signage for each dealer member shall include, at a minimum, either of the following posted at the front of the dealer member's retail location: days and hours of operation of the nearest redemption site or the internet website specified in subparagraph (B).

(B) The inclusion of all of the following on an internet website with functionality for mobile platforms and maintained to ensure all information is up to date and accurate:

(i) Redemption site addresses and the material types redeemed at each address.

(ii) Redemption site contact telephone numbers.

(iii) Redemption site days and hours of operation.

(C) In addition to subparagraphs (A) and (B), non-printed materials may be used, such as a toll-free telephone number to provide redemption options and other program information. If a toll-free telephone number is to be used, it shall provide services for hearing-impaired and speech-impaired individuals.

(c) A dispute resolution process for consumers in the event of non-payment or underpayment by the redemption contractor and a method to receive and resolve written complaints about the operation of the stewardship program from consumers, the public, or any other source.

(d) Opportunities for community input regarding collecting empty beverage containers in areas and communities that face unique challenges associated with empty beverage container redemption, such as poverty, language barriers, and littering of empty beverage containers.

(e) How the dealer cooperative will address factors that affect consumer convenience, such as safety and cleanliness of the redemption location, parking availability, and accessibility via public transportation or walking.

(f) (1) How the dealer cooperative will redeem all beverage container material types.

(2) How the dealer cooperative will have the capacity to redeem an amount of beverage containers equal to 100 percent of the beverage containers sold by dealer members into the unserved convenience zones in which any of the dealer members operate.

(3) How the dealer cooperative will provide "consumer convenience that is comparable to the requirements of section 14571 and section 14571.9 of the Act," as defined in section 2370.

(4) Not all redemption locations are required to redeem all beverage container material types; however, at least one redemption location in each unserved convenience zone covered by the stewardship plan shall redeem all beverage container material types with immediate payment of the refund value a minimum of 10 hours per week, with no less than five of those hours on a Saturday or Sunday between the hours of 9 a.m. and 5 p.m.

(5) A dealer cooperative may operate in more than one unserved convenience zone in which any of its dealer members operate, regardless of whether the unserved convenience zones are adjacent or overlap.

(6) The stewardship plan may establish a redemption limit per customer per day per redemption method; however, at least one redemption location in each unserved convenience zone covered by the stewardship plan shall redeem all beverage container material types with immediate payment of the refund value up to the daily load limits established in section 2535(f) a minimum of 10 hours per week, with no less than five of those hours on a Saturday or Sunday between the hours of 9 a.m. and 5 p.m.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14571, 14571.9, 14578 and 14578.5, Public Resources Code.

#### Section 2375.6. Stewardship Plan Performance Standards.

The stewardship plan shall include performance standards for each of the following, a description of how each of the performance standards will be achieved, and how achievement will be measured on a quarterly basis corresponding with the dealer cooperative's reports submitted pursuant to section 2381:

(a) The geographic spread of redemption sites and an explanation for the geographic spread. This shall include the number of redemption sites in each unserved convenience zone in which any of the dealer members operate per person.

(b) The beverage container redemption capacity per quarter for each unserved convenience zone in which any of the dealer members operate. The overall beverage container volume capacity of the dealer cooperative shall, at a minimum, be sufficient to redeem an amount of beverage containers equal to 100 percent of the beverage containers sold by dealer members into unserved convenience zones in which any of the dealer members operate pursuant to section 2375.4(f)(2). The redemption capacity specified in the stewardship plan may incorporate redemption limits established pursuant to section 2375.4(f)(6).

(c) Redemption of, at a minimum, an amount of beverage containers equal to 80 percent of the beverage containers sold by dealer members into unserved convenience zones in which any of the dealer members operate.



(d) (1) The average wait time for a consumer to redeem a beverage container in the area covered by a dealer cooperative's stewardship plan and how the wait time was calculated.

(2) Examples of wait time factors include the following: type of redemption methods; population and population density; number of redemption sites; number of redemption contractors; number of staff; staff experience; number of total operating hours; number of operating hours other than from Monday to Friday from 9 a.m. to 5 p.m.; location within the convenience zone; proximity of redemption sites to residences, dealers, and businesses; and estimated amount of beverage containers an average consumer will seek to redeem.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### Section 2375.8. Stewardship Plan Budget.

The stewardship plan shall include the dealer cooperative's budget and how dealer cooperative stewardship fees assessed on dealer members will support that budget, including both of the following:

(a) An itemized list of anticipated costs associated with the administration and implementation of the stewardship plan. The list shall include the monetary amount and purpose on which the funds will be spent. The list shall include, at a minimum, anticipated costs for the categories listed in section 2381(c)(6) for the first four quarters the dealer cooperative will operate.

(b) A recommended funding level necessary to cover the stewardship plan's budgeted costs and to operate the stewardship program in a prudent and responsible manner. This shall include the target amount for the dealer cooperative's monetary reserves, and the operating deficit amounts that the target monetary reserves will be able to cover, and a description of how surplus funds and operating deficits that exceed those amounts will be addressed by the dealer cooperative during the operation of the stewardship plan.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### Section 2376. Stewardship Plan Review and Approval or Disapproval; Operational Notice.

(a) The department shall require additional information if necessary to corroborate or clarify the information provided in the stewardship plan and the dealer cooperative shall provide the additional information within 10 days.

(b) Within 90 days of the department's receipt of a stewardship plan, the department shall review and approve or disapprove the stewardship plan.

(c) The department shall approve a stewardship plan if the stewardship plan meets all applicable requirements of the Act and this chapter.

(d) (1) Upon approving a stewardship plan submitted by a dealer cooperative that does not have a dealer cooperative registration number, the department shall issue the dealer cooperative a dealer cooperative registration number.

(2) If the department disapproves a stewardship plan, the department shall explain the basis on which the department determined the stewardship plan does not comply with the Act and this chapter and provide written notice to the dealer cooperative within 30 days of disapproval. The dealer cooperative may resubmit a revised stewardship plan following issuance of the written notice, and the department shall review the revised stewardship plan within 90 days of resubmittal.

(e) (1) After a dealer cooperative's stewardship plan is approved, the dealer cooperative shall notify the department electronically in writing once the stewardship plan is fully operational. Dealer members shall continue to redeem empty beverage containers on the dealer's premises in accordance with section 14578(a)(1) of the Act until that notification is provided and the stewardship plan is fully operational.

(2) The notification shall list any processors or recycling centers, including the certification numbers of the processors and recycling centers, that were not included in the stewardship plan to which the dealer cooperative will ship beverage containers.

(3) The notification shall list all of the following for each redemption site:

(A) Address of the site.

(B) Name, title, and contact information of a contact person for the site.

(C) Any certification or registration number held or previously held by a person operating the redemption site who at any time was a responsible party for an entity certified or registered by the department for an activity relating to beverage containers.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### Section 2377. Stewardship Plan Five-Year Updates.

(a) A dealer cooperative shall review its stewardship plan a minimum of every five years from the date of approval by the department to determine whether the stewardship plan needs to be updated.

(b) (1) If a dealer cooperative determines pursuant to subdivision (a) that its stewardship plan does not need to be updated, the dealer cooperative shall submit that determination to the department at least nine months before the review deadline specified in subdivision (a).

(2) The department shall reject a determination received pursuant to paragraph (1) and require the dealer cooperative to update and submit its stewardship plan to the department within 90 days if the department concludes that the dealer cooperative cannot implement the applicable requirements of the Act and this chapter without updating the stewardship plan.

(c) If a dealer cooperative determines pursuant to subdivision (a) that its stewardship plan needs to be updated, the dealer cooperative shall submit the updated stewardship plan to the department at least six months before the review deadline specified in subdivision (a).

(d) The department shall review and approve or disapprove an updated stewardship plan submitted pursuant to this section in accordance with section 2376. After a dealer cooperative's updated stewardship plan is approved, the dealer cooperative shall notify the department electronically in writing once the updated stewardship plan is fully operational.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### Section 2378. Stewardship Plan Changes and Notification.

(a) A dealer cooperative shall notify the department electronically in writing 30 days before any of the following:

(1) A change to the information specified in section 2375.2(a), 2375.2(d), 2375.2(e), 2375.2(f), 2375.2(g), 2375.2(i), or 2375.2(j).

(2) A new redemption contractor or new redemption site becoming operational as part of the stewardship program.

(3) A redemption site ceasing operation.

(b) A dealer cooperative shall notify the department electronically in writing within 30 days after any change to the information specified in section 2375.2(b), 2375.2(c), 2375.2(h), or 2375.8.

(c) (1) A dealer cooperative shall submit electronically in writing for approval by the department any proposed change to the information specified in section 2375.4 or 2375.6 and shall not implement the change prior to that approval.

(2) The department shall review and approve or disapprove a stewardship plan change submitted pursuant to paragraph (1) within 30 days.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### ARTICLE 4. Recordkeeping, Reporting, and Operation

##### Section 2380. Recordkeeping.

(a) (1) If a dealer cooperative is required to prepare annual audited financial statements pursuant to section 12586(e) of the Government Code, the dealer cooperative shall electronically submit those annual audited financial statements to the department no later than nine months after the close of the fiscal year to which the statements relate.

(2) A dealer cooperative shall prepare its financial records in a prudent and responsible manner.

(b) As part of a stewardship program, the following records shall be prepared and retained for each beverage container redemption transaction:

(1) The date the beverage container material was received from the customer redeeming the empty beverage containers. This shall be demonstrated by the use of a daily customer log that includes each customer's printed first and last name and signature, or another method sufficient to track the redemption of individual customers that is described in the dealer cooperative's stewardship plan.

(2) The date when payment is made to the customer.

(3) The address where the customer redeemed or delivered the material.

(4) The method of redemption.

(5) The payment amount made to the customer by material type.

(c) As part of a stewardship program, the following records shall be prepared and retained for any material received for which the refund value was not paid to a customer:

(1) The date the material was received.

(2) An explanation as to why the refund value was not paid to a customer (e.g., system failure, ineligible for refund value, or customer not identifiable).

(3) The total weight or count of materials by material type.

(4) An explanation of how the material was managed (e.g., shipped to a processor as scrap or sent to a solid waste facility).

(5) Whether scrap value was paid for the material and the amount of scrap value paid.

(d) A dealer cooperative shall maintain records of dealer cooperative stewardship fees assessed on dealer members and how the dealer cooperative stewardship fees were utilized.

(e) Records maintained as part of a stewardship program shall be suitable for examination, including both of the following:

(1) Records shall be legible.

(2) Records shall be stored in a secured area where the records are protected from debris, moisture, contamination, hazardous waste, fire, and theft.

(f) (1) A dealer cooperative shall provide immediate access to the department to any original record required by the Act or this chapter. Immediate access may include physical inspection of the record at any redemption site or location identified in the approved stewardship plan.

(2) A dealer cooperative shall transfer any original record required by the Act or this chapter to the department in the form and manner requested by the department within 10 days of the request.

(g) A dealer cooperative is subject to the record retention period required pursuant to section 2085(b).

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14552, 14553, 14578 and 14578.5, Public Resources Code.

#### Section 2381. Reporting.

(a) (1) A dealer cooperative shall submit a quarterly report to the department that includes the components specified in subdivisions (b) and (c). The quarterly reporting periods shall cover stewardship program activities occurring January 1 through March 31, April 1 through June 30, July 1 through September 30, and October 1 through December 31.

(2) A report submitted to the department pursuant to this section shall be submitted electronically in writing no later than the 10th day after the quarterly reporting period ends.

(3) A report submitted to the department or posted online pursuant to this section shall be consistent with the standards set forth in section 7405 of the Government Code and the Web Content Accessibility Guidelines (WCAG) 2.0 published in 2008 by the World Wide Web Consortium at <http://www.w3.org/TR/WCAG20/>. The entirety of the Web Content Accessibility Guidelines (WCAG) 2.0 published in 2008 are incorporated by reference.

(b) (1) A report submitted pursuant to paragraph (1) of subdivision (a) shall include a redemption component that includes all of the following for the stewardship program for the quarterly reporting period:

(A) The total number of empty beverage containers, by material type and collection method, redeemed from consumers, broken down by redemption site for each calendar month.

(B) The amount of refund value payments made to consumers by material type and collection method, broken down by redemption site for each calendar month.

(C) The total weight or count by material type of all material received for which no refund value was paid to a consumer, broken down by an explanation of why the material was deemed ineligible for payment to a consumer (e.g., line breakage, previously redeemed, previously baled, or out-of-state material), for each calendar month.

(D) Data regarding the stewardship program's collection methods implemented as part of the stewardship plan, including all of the following:

(i) The operating time and downtime for any reverse vending machine or bag drop used to collect empty beverage containers for each day of the reporting period. For purposes of this subparagraph, the following definitions apply:

(I) "Downtime" means the dates and times the reverse vending machine or bag drop was not accepting empty beverage containers during its identified operational hours. "Downtime" includes any period a reverse vending machine or bag drop was down greater than a day.

(II) "Operating time" means the dates and times the reverse vending machine or bag drop was in operation during its identified operational hours.

(ii) For each downtime period the reverse vending machine or bag drop experienced, the number of containers redeemed by material type and number of transactions that occurred using an alternative redemption method.

(iii) If no containers were redeemed during the downtime period by an alternative redemption method, an explanation as to why.

(E) A description of education and outreach activities related to promoting the stewardship program, including the challenges or successes experienced.

(2) The redemption component of the quarterly report shall not constitute a record that is exempt from disclosure under the California Public Records Act (Division 10 (commencing with section 7920.000) of Title 1 of the Government Code) or section 14554 of the Act on the basis that it contains trade secret, commercial, or financial information. The redemption component is a public record and shall be publicly disclosed upon request unless an exemption otherwise applies under existing law.

(3) A dealer cooperative shall post the redemption component of a report that it submits to the department on an internet website identified in its stewardship plan.

(c) A report submitted pursuant to paragraph (1) of subdivision (a) shall include an operational component that includes all of the following for the stewardship program for the quarterly reporting period:

(1) How many inspections or reviews were undertaken of the redemption sites and what the inspections revealed, including any problems and how those problems were addressed.

(2) If the dealer cooperative received a Notice of Violation pursuant to section 2386, how it plans to correct, or has already corrected, the underlying behavior for which the Notice of Violation was issued.

(3) The number of beverages in beverage containers cumulatively sold by dealer members of the dealer cooperative into each unserved convenience zone in which any of the dealer members operate.

(4) A description of how the dealer cooperative achieved each performance standard identified in its stewardship plan pursuant to section 2375.6.

(5) The amount of dealer cooperative stewardship fees received and how the fees were utilized.

(6) The gross revenue and expenditures experienced by the dealer cooperative, including an itemization of, at a minimum, all of the following if applicable to the dealer cooperative:

(A) Program development and planning.

(B) Administration, personnel, and overhead.

(C) Operational costs.

(D) Education and outreach.

(E) Technology and equipment.

(F) Regulatory compliance and reporting.

(G) Partnerships and collaborations.

(H) Legal and professional services.

(I) Contingency fund.

(d) (1) A quarterly report submitted pursuant to this section that is incomplete is a violation of this section.

(2) If the department determines a submitted quarterly report is incomplete, the department shall provide written notice to the dealer cooperative identifying the missing information within 30 days.

(3) The dealer cooperative shall submit, electronically in writing, the missing information within 30 days of the date the department issued the written notice.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14554, 14578 and 14578.5, Public Resources Code.

Section 2382. Dealer Cooperative Operation.

(a) A dealer cooperative shall operate in accordance with the information specified in the dealer cooperative's approved stewardship plan pursuant to sections 2375.4 and 2375.6 and a failure to do so is a violation of this section.

(b) Each dealer cooperative redemption site shall keep any material determined to be ineligible for redemption segregated from any other material intended for delivery to a certified processor.

(c) A dealer cooperative shall provide the department with immediate access to any stewardship program storage location or redemption site upon request of the department. A dealer cooperative, dealer member, or redemption contractor shall not store beverage container material at a residential address.

(d) A person who has had a certification or registration revoked under the Act or this chapter within the past five years or has ever been found to have violated section 14597 of the Act is ineligible to operate as a redemption contractor or dealer cooperative as part of a stewardship program.

(e) (1) In addition to redemption contractors, a dealer cooperative may contract with, consult with, or employ persons to create and implement its stewardship program, such as an accountant, accessibility coordinator, web content specialist, or stewardship plan writer.

(2) A board member of a dealer cooperative is not required to be a dealer.

(f) More than one dealer cooperative may operate in a single unserved convenience zone.

(g) (1) Redemption locations operating as part of a dealer cooperative's stewardship program shall not make an unserved convenience zone served, as described in section 14571(a) of the Act.

(2) The operation of a dealer cooperative in an unserved convenience zone does not relieve dealers within that unserved convenience zone from complying with either section 14578(a)(1) or 14578(a)(2) of the Act.

(h) A dealer cooperative may terminate the membership of a dealer member.

(i) A dealer cooperative shall notify the department electronically in writing at least six months before the dealer cooperative dissolves or ceases operation.

(j) A dealer cooperative is not required to accept, and shall not pay the refund value for, material that is ineligible for refund value.

(k) A dealer cooperative shall not refuse to redeem a beverage container on the basis that the beverage container material type or the beverage type is not sold by a dealer member of the dealer cooperative.



(l) A dealer cooperative shall not accept empty beverage containers from a dropoff or collection program, community service program, or curbside program.

(m) (1) A dealer cooperative shall inspect each load of containers, subject to the Act, delivered to the dealer cooperative, for which refund value is claimed, to determine whether the load is eligible for any refund value.

(2) Notwithstanding any other provision of this chapter, a dealer cooperative redemption site consisting of an innovative method of redemption shall inspect containers following receipt of the containers and before payment of the refund value to the consumer.

(3) A dealer cooperative is subject to sections 2501(b), (c), (d), (e), (f), and (g).

(n) (1) (A) Except as specified in subparagraph (B), a dealer cooperative shall pay on delivery the refund value for every eligible empty beverage container delivered to the dealer cooperative for the refund value.

(B) A dealer cooperative redemption site that is an innovative method of redemption shall pay within three working days of delivery the refund value for every eligible empty beverage container delivered to the redemption site for redemption.

(2) A dealer cooperative is subject to sections 2535(c), (d), and (e).

(o) A dealer cooperative with a fully operational stewardship plan approved by the department is eligible for handling fees pursuant to section 2516(g).

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578, 14578.5 and 14597, Public Resources Code.

## ARTICLE 5. Enforcement

### Section 2385. Stewardship Plan Revocation; Enforcement Mechanisms.

(a) (1) A dealer cooperative failing to comply with any applicable requirement of the Act or this chapter constitutes grounds for the department to require the dealer cooperative to take corrective action.

(2) Corrective action includes the following:

(A) Resubmittal of part or all of a previously approved stewardship plan, within 30 days of the date of written notification that includes a description of the failure or failures of the dealer cooperative to comply with any applicable requirement of the Act or this chapter by the department, demonstrating the corrections have been addressed. The department shall review and approve or disapprove a resubmitted stewardship plan, or part of a stewardship plan, in accordance with section 2376.

(B) Additional reporting of any of the components listed in section 2381 to verify compliance with any applicable provision of the Act or this chapter.

(b) A dealer cooperative failing to comply with a corrective action required pursuant to subdivision (a) or failing to implement the information specified in the dealer cooperative's approved stewardship plan pursuant to sections 2375.4 and 2375.6 constitutes grounds for the department to revoke part or all of the dealer cooperative's previously approved stewardship plan. Revoking the entirety of a previously approved stewardship plan shall include revoking the dealer cooperative registration number.

(c) Prior to the department's action pursuant to subdivision (b), the department shall issue a written notice to the dealer cooperative.

(d) A dealer cooperative may submit to the department a request for a hearing to contest the proposed action within 30 days of receipt of the notice issued pursuant to subdivision (c). The hearing request shall be submitted electronically in writing to an email address that the department specifies in the notice and shall state the basis for objecting to the department's proposed action. A conforming request for hearing causes a hearing to be undertaken. Failure to submit a timely hearing request under this subdivision may be deemed a waiver of the right to a hearing and the department shall proceed with the action specified in the written notice. The right to a hearing need not be deemed waived for an untimely hearing request if the dealer cooperative demonstrates good cause for the untimely hearing request.

(e) A hearing undertaken pursuant to subdivision (d) shall be conducted pursuant to Article 10 (commencing with section 11445.10) of Chapter 4.5 of Part 1 of Division 3 of Title 2 of the Government Code. The hearing shall be held before the Director or the Director's designee.

(f) The Director or the Director's designee shall issue a written decision within 60 days from the date the hearing is concluded.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578 and 14578.5, Public Resources Code.

#### Section 2386. Penalties and Interest Charges.

(a) A violation of this subchapter or sections 14578 and 14578.5 of the Act constitutes grounds for the department to issue a Notice of Violation. The Notice of Violation shall be issued to a manager or other person in authority at the site of the violation and shall contain the information specified in paragraphs (1) to (4). A copy shall be legally served through certified mail with proof of service upon the dealer cooperative within 10 working days. The Notice of Violation served upon the dealer cooperative shall contain all of the following statements:

(1) A statement of the violation(s) alleged.

(2) The right to a hearing conducted pursuant to Article 10 (commencing with section 11445.10) of Chapter 4.5 of Part 1 of Division 3 of Title 2 of the Government Code, upon request, at which the dealer cooperative may be represented by counsel.

(3) The right to a hearing shall be deemed waived if the dealer cooperative fails to respond within 30 days from the date service of the Notice of Violation was received by the dealer cooperative, or the dealer cooperative's agent for service of process, stating that it wishes to assert that right and that, in the event of such failure to respond, the department shall assess any civil penalty specified in the Notice of Violation. The right to a hearing need not be deemed waived for an untimely hearing request if the dealer cooperative demonstrates good cause for the untimely hearing request. The hearing request shall be submitted electronically in writing to an email address that the department specifies in the Notice of Violation.

(4) A statement, signed by the department inspector issuing the violation(s), verifying the acts or omissions that form the basis of the violation(s).

(b) For violations of this subchapter and sections 14578 and 14578.5 of the Act by a dealer, the Notice of Violation specified in subdivision (a) shall be legally served through certified mail with proof of service upon the dealer.

(c) For civil penalties sought by the department that exceed the dollar amount specified in section 14591.1(a)(2) of the Act, the department shall provide for notice and a hearing regarding such penalties in accordance with the provisions of Chapter 5 (commencing with section 11500) of Part 1 of Division 3 of Title 2 of the Government Code.

(d) Interest on a penalty for a violation of this subchapter or section 14578 or 14578.5 of the Act shall accrue from the date the department decision regarding the payment becomes final.

Authority cited: Sections 14530.5 and 14578.5, Public Resources Code. Reference: Sections 14578, 14578.5 and 14591.1, Public Resources Code.

## **SUBCHAPTER 5. Processors**

### **ARTICLE 1. Requirements for Processors**

#### **Section 2400. Operation Standards.**

(a) All certified processors shall operate in accordance with all of the following requirements:

(1) Processors certified by the department shall begin operation within sixty (60) calendar days of approval of the certification. Failure to begin operation within sixty (60) calendar days shall result in invalidation of the certification by the department.

(2) The processor shall accept one or more type(s) of redeemable beverage container(s).

(3) Certified processors shall redeem empty beverage containers from any certified or registered operators of recycling centers, dealer cooperatives, dropoff or collection programs, ~~or community service programs and operators of~~ or curbside programs

which have been issued an identification number in accordance with this chapter. Payments shall be made in accordance with section 2430.

(4) Certified processors shall make payments and invoice the department within the time periods specified in article 3 of this subchapter.

(5) Certified processors shall cancel redeemable beverage containers in any one or more of the manners prescribed in section 2000(a)(4).

(b) Notwithstanding paragraph (3) of subdivision (a), a bottle washer processor may reject a shipment of beverage containers that contains any of the following:

(1) A beverage container not capable of being washed for refill and sale by a beverage manufacturer, such as a broken glass beverage container.

(2) A beverage container other than a glass beverage container.

(3) A beverage container of a type or size that the bottle washer processor is not capable of processing.

Authority cited: Sections 14530.5, 14536-and, 14539, and 14578.5, Public Resources Code. Reference: Sections 14539, 14573, 14573.5-and, 14573.6, 14578 and 14578.5, Public Resources Code.

#### Section 2401. Load Inspection Requirements.

(a) Certified processors shall inspect each load of containers, subject to the Act, delivered to the processor, for which refund value is claimed, to determine whether the load is eligible for any refund value and, if so, to determine whether the load is segregated or commingled, as follows:

(1) For any load delivered to a processor from a dropoff or collection program, community service program, curbside program, dealer cooperative, or recycling center, each processor taking delivery of the material shall visually inspect each load of material by monitoring the unloading and/or conveyor process to determine eligibility and whether the load is segregated or commingled.

(b) In addition to the requirements of section 2110-~~of these regulations~~, a load of aluminum material shall be deemed not eligible for any refund value if there are pieces of broken, densified bales or biscuits of aluminum beverage containers within the load. This does not include cans which have merely been flattened. A load of plastic material shall be deemed not eligible for any refund value, if pieces of bales of plastic are found in the load.

(c) Once eligibility is determined, payment shall be calculated pursuant to section 2430 ~~of these regulations~~.

(d) All out-of-state material, whether labeled with the message required in ~~Section~~ section 14561 of the Act or not, and all rejected and line breakage containers are not eligible for any refund value payments.

(e) Notwithstanding ~~Section~~ section 2530(b)(1) ~~of these regulations~~, a certified processor shall not inspect, weigh or receive a load of material subject to the Act from a recycling center unless and until the shipper's section of the shipping report is completed and accompanies the load of material delivered to the certified processor's site.

(f) All rejected, line breakage or out-of-state containers in the load, whether labeled or not with the message required in ~~Section 1451~~ section 14561 of the Act, must be excluded from the received weight of the load.

Authority cited: Sections 14530.5 ~~and~~, 14536, ~~and~~ 14578.5, Public Resources Code.

Reference: Sections 14539 ~~and~~, 14553, 14578 and 14578.5, Public Resources Code.

### ARTICLE 3. Accounting and Reporting Requirements

#### Section 2420. Recordkeeping.

Processors shall maintain the following records in accordance with the general requirements set forth in section 2085 ~~of these regulations~~.

(a) Shipping reports. Processors shall obtain shipping reports from each recycling center and also prepare shipping reports for material received from all other persons, including, but not limited to, dealer cooperatives. Processors shall retain copies of all shipping reports.

(b) Weight tickets. Processors shall prepare and retain weight tickets indicating material and weight of individual loads of beverage containers by material type received from recycling centers and other persons. A copy of any weight ticket prepared pursuant to this section shall be provided to the shipper unless the receiving processor and the shipper are the same person and located at the same physical address or location.

(c) Processor reports to the ~~Division~~ department. Processors shall retain copies of reports to the ~~Division~~ department pursuant to section 2425 ~~of these regulations~~.

(d) Verification of cancellation. Processors shall retain proof that the processor canceled or had canceled in accordance with section 2000(a)(4) ~~of these regulations~~ all empty beverage containers received. The verification shall include:

(1) For shipments by sea, the proof of cancellation by export from the state shall be the on-board bill of lading.

(2) For other shipments out of the State or to a location of end use, the proof of cancellation shall include a receipt issued by the person receiving the shipment and any applicable bill of lading.

(3) For other forms of cancellation defined in section 2000(a)(4) ~~of these regulations~~, proof shall be a certification prepared in accordance with ~~subsection~~ section 2090(d) ~~of these regulations~~ and signed by the person performing the cancellation. The certification shall identify the cancelled materials, the date of cancellation, and the method of cancellation, pursuant to ~~subsections~~ section 2000(a)(4)(A), (B), (C), (D), (E), or (F) ~~of these regulations~~.

(e) Records of processor to processor transactions. Processors shall prepare and retain a record of all exchanges of materials subject to the Act. Such records shall identify:

(1) The shipping processor and receiving processor(s);

(2) The date of the shipment, material type, and the weight of the material; and

(3) The amount of mixed-color glass collected by curbside program(s).

(f) Notices of Disposal. Processors shall retain copies of written notices of disposal sent to the ~~Division~~ department pursuant to section 2410 ~~of these regulations~~.

(g) The processor shall prepare and retain a receipt setting forth the weight and type of material delivered to the processor and payment made or credit granted for all scrap transactions. In addition, the receipt shall indicate if the load consisted of rejected containers, line-breakage containers, or out-of-state beverage containers.

(h) Records of scrap value survey data. Processors shall maintain records to support all of the information provided to the ~~Division~~ department on the Scrap Value Purchases Survey Form DOR - SV (10/00) required by ~~Section~~ section 2425(f) ~~of this subchapter~~.

Authority cited: Sections 14530.5, 14536 ~~and~~, 14536.1, and 14578.5, Public Resources Code. Reference: Sections 14504, 14537, 14539, 14550, 14552 ~~and~~, 14575, 14578 and 15478.5, Public Resources Code.

#### Section 2425. Reporting.

The processor initially receiving material from recycling centers, dealer cooperatives, curbside programs, dropoff or collection programs, or community service programs shall prepare and submit to the ~~Division~~ department the report described in this section.

(a) The report, whether submitted electronically or by hardcopy, shall be submitted monthly or, at the option of the processor, up to thirty (30) times per calendar month. The reporting periods for the month must cover from the beginning to the end of the calendar month and not overlap any days.

(1) All reports shall be submitted no later than 30 days after the last day of the reporting period.

(2) Processors shall be allowed to submit no more than four supplemental processor invoices per material type, per original processor invoice, provided each is submitted no later than forty-five (45) days from the following events:

(A) The due date of the original processor invoice that the supplemental processor invoice covers, if it is for new shipping reports not previously submitted with the original processor invoice being supplemented; or

(B) The date appearing on the Notice of Denial (NOD) if the reports were previously denied or if the reports are a combination of new shipping reports not previously submitted with the original processor invoice and previously denied shipping reports.

(3) Processors shall be allowed to submit multiple amended processor invoices per material type, per original processor invoice, provided each is submitted no later than thirty (30) days after the due date of the original processor invoice being amended.

(4) Nothing herein shall limit the ~~Division's~~ department's authority to accept an amended processor invoice.

(b) The report shall contain the following information, by material type, in addition to the general requirements for reporting contained in section 2090 ~~of these regulations~~.

(c) A summary of the processor's transactions during the period covered by the report, including all of the following information:

(1) The total weight of all material, including empty beverage containers received by the processor; and

(2) The total weight of empty beverage containers received, and the refund value, and applicable administrative and processing payments paid for such material by material type; and

(3) Total payments requested from the ~~Division~~ department for the period. These payments are computed as the sum of the total reported refund value paid, the administrative fees paid, and the processing payments paid.

(d) Each report shall also include copies of the shipping reports for the period of the report. The total number of shipping reports included shall be specified.

(e) Each report shall also contain a shipping report prepared by the processor for each shipment of materials received from any dealer cooperative, curbside program, dropoff or collection program, or community service program, and a shipping report for each shipment of materials received from a recycling center that has been prepared by the recycling center and completed by the processor. Each report shall include all of the following information:

(1) The name and identification number or certification number, of the entity shipping the material to the processor; and

(2) The name and the certification number of the processor receiving the material; and

(3) The date the material was received and the material type covered by the report; and

(4) The received weight, excluding line breakage, rejected containers, and out-of-state containers; and

(5) The total weight of empty beverage containers purchased by the basis for the refund value payment (e.g. segregated and weighed; commingled and weighed, segregated and counted); and, for plastic, aluminum, and glass, collected by a curbside program, or a dropoff or collection program that meets the requirements of ~~Section~~ section 2850, the registered curbside program or certified entity eligible for the quality incentive payment shall be identified as either the Shipper (S), or the Receiver (R) in the QIP (Quality Incentive Payment) Box.

(6) The refund value paid; and

(7) The total administrative fees paid, when applicable; and

(8) The processing payments paid; and

(9) The name and signature of the shipper or an authorized representative of the shipper and date signed; and

(10) The weight ticket date and weight ticket number; and

(11) The shrinkage deduction taken, if any; and

(12) The name and signature of an authorized representative of the processor and the date signed.

(f) Additionally each certified processor shall submit a Scrap Value Purchases Survey Form DOR - SV (10/00) report for purchases of beverage container material types every month. The DOR - SV (10/00) Scrap Value Purchases Survey Form shall be submitted to the ~~Division~~ department no later than the 10th day of the month following the month of the report. The DOR - SV (10/00) Scrap Value Purchases Survey Form must be submitted regardless of whether or not purchases occurred in the applicable time period. In addition to the general requirements for reporting contained in section 2090 of these regulations, the DOR - SV (10/00) Scrap Value Purchases Survey Form shall contain all of the following information, if applicable:

(1) The processor's name, address and certification number, physical address, including city, phone number and date prepared; and,

(2) The month covered by the report; and

(3) The total weight, in tons, of each beverage container material type purchased, even if zero, from nonaffiliated sellers, excluding beverage container material types received in a form mixed with other beverage material types or material types not covered by the Act, in each of the following categories: certified recycling centers, registered dealer cooperatives, certified dropoff or collection programs, certified community service programs, certified processors, registered curbside programs, and any certified and



non-certified entities; in the case of glass, beneficiating and nonbeneficiating processors shall be reported separately; and

(4) The total weight, in tons, of each beverage container material type received from affiliates and/or subsidiaries. Beverage container material that processors receive in a form mixed with other beverage container material types and/or material types not covered by the Act, whether from affiliates or nonaffiliates, shall be reported with the affiliated transaction after the material has been sorted and the received weight determined.

(5) The total net payment for the reported total monthly weight, in tons, for each beverage container material type purchased, by the reporting processor from nonaffiliated sellers in each of the categories listed in ~~item 3~~ paragraph (3) above; and

(6) For glass only, the monthly total weight, in tons, of purchased beverage container material types by color; and the monthly total weight of color sorted or mixed glass purchased from any non-affiliated beneficiating or nonbeneficiating processor; and

(7) For plastic, the monthly total weight, in tons, of purchased beverage container material types, by each plastic resin code type (1 through 7); and

(8) The printed name and signature of an authorized representative of the reporting processor.

(g) Processors purchasing materials directly from more than one curbside program, dropoff or collection program, or community service program may apply to the ~~Division~~ department to request the use of alternative methods for preparing the corresponding shipping reports. The ~~Division~~ department shall consider each proposed alternative method and issue a written approval or denial within forty-five (45) calendar days.

(1) In order for alternative methods to be accepted, they must be based on reasonable allocation methods.

(2) An application for an alternative allocation method shall be denied if:

(A) The received weight of the material purchased by an entity from the processor is not used to calculate allocations to the curbside programs, dropoff or collection programs, or community service programs; or

(B) The processor does not ensure that the weight of rejected containers, line breakage, and out-of-state containers is not included in the allocated weight (this does not require a physical separation); or

(C) The processor does not account for each incoming load of material; or

(D) The processor does not inspect incoming material to verify that it is eligible for refund value payments, as specified in section 2401.

(3) Processors may file a formal appeal by writing the Assistant Director for Recycling within thirty (30) calendar days after the receipt of a notice denying an application requesting an alternative method for shipping report preparation. Appeals submitted after this time period shall be rejected. All written appeals shall include:

(A) A copy of the notice denying the allocation method;

(B) A detailed explanation of why the determination was in error; and,

(C) Any other documentation that supports the appeal.

(4) A written decision on the appeal shall be sent to the processor within seven (7) calendar days of the receipt of the appeal.

(h) Processors purchasing commingled glass from a certified dropoff or collection program including a "waste reduction facility", a certified community service program, or a registered curbside program, shall visually inspect every load delivered to determine eligibility for refund value and the level of contamination in the load. If a load presented to a processor is eligible for refund value and has residual or other contamination, the processor shall reduce the load for shrinkage. If a load has a residual or other contamination level of greater than 10% by weight, and the load is otherwise eligible for refund value, the receiving processor shall request an alternative method of preparing the shipping report for payment. The ~~Division~~ department shall consider each proposed alternative method and issue a written approval or denial within forty-five (45) calendar days.

(1) In order for the alternative method to be accepted, it must:

(A) Be based on a recycled glass cleaning process that produces cullet which meets the American Society for Testing and Materials standard specification for waste glass as a raw material for the manufacture of glass as specified in ~~Section~~ section 2000(a)(3.1)(A).

(B) Clearly state:

~~1-(i)~~ That the received weight, for beverage container redemption purposes, shall be determined from the cullet produced in subparagraph (A) above.

~~2-(ii)~~ That the redemption weight shall be determined using the applicable commingled rates and the received weight from ~~1-~~ clause (i).

~~3-(iii)~~ That, if a sampling procedure will be used to determine the received weight of contaminated loads from each entity, the sampling procedure must be included with the request for an alternative method of preparing the shipping report.

(2) An application for an alternate method will be denied if:

(A) The total weight of all contaminated materials received at the facility is not recorded.

(B) All material received at this facility is not inspected for the presence of out-of-state, rejected, or line breakage containers and this weight excluded from shipping reports.

(C) Records accurately supporting both cullet sold and residual or contaminated material disposed of or used for an alternative market is not made available to ~~Department~~ department staff upon request.

(D) The method does not clearly account for the weight of empty beverage containers for each certified dropoff or collection program including a "waste reduction facility", certified community service program, or registered curbside program from which the processor receives this material.

(3) When used in this ~~subsection~~ subdivision, "waste reduction facility" means a dropoff or collection program certified by the ~~Department~~ department, which separates beverage container material types from mixed waste.

Authority cited: Sections 14530.5, 14536 ~~and~~, 14536.1 and 14578.5, Public Resources Code. Reference: Sections 14504, 14515.5, 14518.5, 14519.5, 14537, 14539, 14549.1, 14550, 14552, 14552.51, 14575, 14578, 14578.5 and 18015, Public Resources Code.

#### Section 2430. Payments.

(a) Payments to recycling centers or dealer cooperatives.

(1) Substantiation of payment. The processor shall weigh, and pursuant to section 2401, inspect, all loads received from recycling centers before completing the receiver's section of the shipping reports and all loads received from dealer cooperatives before completing the entire shipping report. The processor shall do all of the following for materials received from recycling centers or dealer cooperatives:

(A) ~~Verify~~ For recycling centers, verify all calculations are accurate and that all other pieces of information shown on the shipping report, including signatures, are filled in.

(B) Record the received weight, excluding the weight of rejected containers, line breakage and out-of-state containers provided by the shipping recycler or dealer cooperative, onto the shipping report.

(C) Sign and date the shipping report to verify the receipt of the materials as indicated on the report.

(D) Calculate the refund value payment. If the redemption weight does not exceed the received weight by more than 2.5 percent, then the processor shall reimburse the recycler or dealer cooperative the refund value claimed. Otherwise, the processor shall multiply the received weight by the segregated rate per pound and record that amount as the refund value paid.

(E) Calculate the processing payment. If the redemption weight does not exceed the received weight by more than 2.5 percent, then the processor shall multiply the redemption weight claimed by the processing payment in effect on the date the material

was received and pay that amount. Otherwise, the processor shall multiply the received weight by the processing payment in effect on the date the material was received and pay that amount.

(F) Calculate the administrative fee. The processor shall multiply the refund value paid from subparagraph (D) by the administrative fee rate in effect on the date the material was received and pay that amount.

(2) In addition to the provisions of this section, processors shall not make any payments pursuant to the Act for materials which have not been delivered to the processor unless the following conditions are met:

(A) The shipper is a certified recycling center to which the processor has given authorization to cancel pursuant to section 2110 ~~of these regulations~~; and

(B) The delivery to a location of end use and cancellation are verified in accordance with section 2420(d) ~~of these regulations~~.

(3) In the case of processors that do not take delivery of the material, the weight shall mean the weight received by the entity to whom the material is physically delivered.

(4) In no case shall a processor make any payments pursuant to the Act for any material which the processor has rejected for any reason.

(b) Payments to curbside programs. Processors shall pay the refund value, administrative fees and any applicable processing payments for materials delivered to the processor from curbside programs. Processors shall adjust the refund value rate to account for shrinkage in the same manner as set forth in ~~subsection~~ section 2535(e) ~~of these regulations~~.

(1) Substantiation of payment. The processor shall compute the refund value, administrative fees and applicable processing payments based upon the materials delivered on the shipping report prepared pursuant to ~~subsection~~ section 2425(c) ~~of these regulations~~. The processor shall provide a duplicate copy of the shipping report to the shipper. Notwithstanding any other provision of this subchapter, curbside programs may not be paid at more than the applicable statewide average commingled rate, or the ~~Division's~~ department's approved individual commingled rate.

(2) Calculation of payment and fee.

(A) The processor shall pay based on the received weight of the material, excluded the weight of rejected, line breakage and out-of-state containers, multiplied by:

1. (i) the statewide commingled rate, or the ~~Division's~~ department's approved individual commingled rate in effect on the date received; and

2. (ii) the per pound processing payment in effect on the date received, when applicable.

(B) In addition, administrative fees shall be calculated as three-fourths of one percent (3/4%) of the total refund value.

(c) Payments to dropoff or collection programs and community service programs. Processors shall adjust the refund value rate to account for shrinkage in the same manner as set forth in ~~subsection~~ section 2535(e) ~~of subchapter 6 these regulations~~. Notwithstanding any other provision of this subchapter, dropoff or collection, and community service programs may not be paid at more than the applicable statewide average commingled rate, or the ~~Division's~~ department's approved individual commingled rate.

(1) Substantiation of payment. Based upon materials received, the processor shall prepare a shipping report which states the refund value and applicable processing payments paid. The shipping report shall be prepared pursuant to ~~subsection~~ section 2425(c) ~~of these regulations~~. The processor shall provide a copy of the shipping report to the shipper.

(2) Calculation of payment and fee.

(A) The processor shall pay based on the received weight of the material, excluding the weight of rejected, line breakage and out-of-state containers, multiplied by:

1. ~~(i)~~ the statewide commingled rate, or the ~~Division's~~ department's approved individual commingled rate in effect on the date received; and

2. ~~(ii)~~ the per pound processing payment in effect on the date received, when applicable.

(d) Payments for canceled material. The authorizing processor shall make payment in accordance with ~~Section~~ section 14573.5 of the Act, to recycling centers for canceled material provided the material is shipped to the authorizing processor or to a location designated by the authorizing processor. For such transactions, program payments will be issued by the ~~Division~~ department to processors issuing the written authorization to cancel. Program payments will not be issued by the ~~Division~~ department to processors for loads for which they have received authorization to cancel.

Authority cited: Sections 14530.5 ~~and~~, 14536 ~~and~~ 14578.5, Public Resources Code.

Reference: Sections 14518.5, 14539, 14552(a), 14572 ~~and~~, 14573.5, 14578 and 14578.5, Public Resources Code.

## **SUBCHAPTER 6. Recycling Centers**

### **ARTICLE 1. Requirements for Recycling Centers**

#### **Section 2501. Load Inspection Requirements.**

(a) ~~Certified~~ A certified recycling centers shall inspect each load of containers, subject to the Act, delivered to the recycling center, for which refund value is claimed, to determine whether the load is eligible for any refund value and, if so, to determine whether the load is segregated or commingled, as follows:

(1) For transactions with consumers, the recycling center shall remove the containers from any bag, box or other receptacle used to deliver the material to the recycling center and visually inspect the containers prior to determining the basis for payment and paying the seller. In no case shall a certified recycling center pay or claim the refund value for any material not inspected by the recycling center.

(2) For any load delivered to a recycling center, from a dropoff or collection program, community service program, curbside program, or other recycling center, each recycling center taking delivery of the material shall visually inspect each load of material by monitoring the unloading and/or conveyor process to determine eligibility and whether the load is segregated or commingled.

(b) In addition to the requirements of section 2110 of these regulations, a load of material shall be deemed not eligible for any refund value if any one of the following conditions exist:

(1) There are pieces of broken, densified bales or biscuits of aluminum beverage containers within the load. This does not include cans which have merely been flattened.

(2) Pieces of bales of plastic are found in the load.

(3) The motor vehicle, if any, used to deliver the load has a license plate from any foreign country, or any state other than California, unless all of the following conditions are met:

(A) The person delivering the load is not a noncertified recycler, as defined at Section section 14520.6 of the Act; and,

(B) The total refund value of material delivered by any one person per day does not exceed fifty dollars (\$50.00); and,

(C) The load is not ineligible pursuant to subsection (b)(1), above.

(c) Once eligibility is determined payment shall be calculated pursuant to section 2535(d), of these regulations.

(d) All out-of-state material, whether labeled with the message required in Section section 14561 of the Act or not, and all rejected and line breakage containers are not eligible for any refund value payments.

(e) All rejected and line breakage containers in a load delivered from ~~another~~ a dealer cooperative, recycling center, dropoff or collection program, community service program or curbside program, whether labeled or not with the message required in Section section 14561 of the Act, must be excluded from the received weight of the load.

(f) ~~Certified~~ A certified recycling centers shall not receive, accept, or take delivery from any source material that the certified recycling center knows, or should know, was imported into this State, whether labeled with the message required in ~~Section~~ section

14561 of the Act or not. All loads containing out-of-state material are not eligible for any refund value payments.

(g) Loads received from consumers shall have rejected or line breakage containers removed from the load or the load is not eligible for any refund value payments.

Authority cited: Sections 14530.5, 14536, 14578.5, 14596 and 14599, Public Resources Code. Reference: Sections 14538, 14539, 14539.5, 14553, 14572(d)(2), 14578, 14578.5, 14595, 14595.4, 14595.5, 14596 and 14597, Public Resources Code.

## ARTICLE 2. Handling Fees

### Section 2516. Eligibility Criteria.

(a) In addition to meeting the requirements of section 14585 of the Act, a recycling center shall meet all of the following criteria for handling fees eligibility on the first day of the calendar month for which they are claimed. A recycling center must be:

(1) certified, operational, and accepting and paying refund value to consumers for all empty beverage container material types; and

(2) located within a convenience zone; and

(3) a "supermarket-site" recycling center as defined in section 14526.6 of the Act, or a nonprofit convenience zone recycler as defined in section 14514.7 of the Act, or a rural region recycler as defined in section 14525.5.1 of the Act; and

(4) the only certified, non-grandfathered recycling center in the convenience zone.

(5) not operating fewer than 30 hours per week on a reduced schedule pursuant to section 2045(a)(11) or on a Type 1 alternative schedule pursuant to section 2503.

(b) The department shall inspect each supermarket site, nonprofit convenience zone recycler, or rural region recycler to determine whether such sites satisfy the requirements of this section.

(c) ~~Commencing January 1, 1993, a~~ A recycling center, which locates within a convenience zone, thereby causing a preexisting recycling center to become ineligible to receive handling fees, shall never be eligible to receive handling fees in that convenience zone. Such ineligibility shall apply to the parent company, its subsidiaries and affiliates even if the preexisting recycling center ceases to operate within the convenience zone. Such ineligibility shall also apply to the parent, the subsidiaries and the affiliates of any grandfathered recycling center which elects to begin accepting all material types.

(d) A rural region recycler may combine total monthly beverage container purchases from two or more of its convenience zone sites to establish eligibility for a single handling fee payment by submitting the following information monthly in writing:

- (1) The certification numbers and addresses of the locations where receipt and/or log transactions are to be combined;
  - (2) The month and year of the transactions to be combined;
  - (3) The company name, address, contact person and business phone number, signed and dated by the contact person.
- (e) The additional information required in subdivision (d) shall be submitted no later than the fifth day of the first month following the reporting month. A rural region recycler that fails to provide this information by the date specified in this subdivision shall not be eligible for a single handling fee payment based on combined monthly beverage container purchases from two or more of its convenience zone sites.
- (f) A rural region recycler shall submit a separate Handling Fee Application Form (Form DR-14 (1/00)) for each convenience zone site which is combined with one or more convenience zone sites to establish eligibility for a single handling fee payment.
- (g) A dealer cooperative with a fully operational stewardship plan approved by the department pursuant to subchapter 4.5 is eligible for a single handling fee payment for each beverage container redeemed as part of its stewardship program, regardless of location within an unserved convenience zone. More than one dealer cooperative is eligible to receive handling fees within a single unserved convenience zone.

Authority cited: Sections 14530.5 and 14536 and 14578.5, Public Resources Code.  
Reference: Sections 14513.4, 14514.7, 14525.5.1, 14526.6, 14552, 14571, 14571.8, 14572, 14578, 14578.5 and 14585, Public Resources Code.

#### Section 2518. Calculations and Payments.

- (a) ~~The Division~~ department shall determine handling fee payments for a recycling center meeting the requirements of ~~Section~~ section 14585 of the Act and ~~Section~~ section 2516, above, ~~or for a dealer cooperative based on data contained in the Handling Fee Application Form (Form DR-14 (1/00)) by performing the following calculations:~~
- (1) The reported redemption weights shall be converted to number of empty beverage containers using the ~~Division's~~ department's statewide average containers-per-pound rate for each material type, and pursuant to ~~Subsection~~ section 14585(e) of the Act.
  - (2) The total number of empty beverage containers for the calendar month shall be calculated by summing the number of empty aluminum, glass, plastic and bimetal beverage containers. ~~If the total number of empty beverage containers is less than the minimum number required by Section 14585(a)(2)(A) of the Act, the recycling center is not eligible for handling fees for that calendar month.~~
  - (3) ~~The Division~~ department shall determine the number of empty beverage containers eligible for handling fees pursuant to ~~Subsection~~ section 14585(a)(4)(2) of the Act.



(4) On and after July 1, 2008, the ~~Department~~ department shall pay a handling fee per eligible beverage container as determined by the handling fee cost survey required by ~~Section section~~ 14585(f) of the Act.

(b) Prior to release of handling fees for each month during which a recycling center or dealer cooperative is eligible, the ~~Division~~ department may determine that such fees should be withheld for any of the following reasons:

(1) The ~~Division~~ department has prevailed against the ~~recycler~~ recycling center or dealer cooperative in a civil or administrative action and money is owed to the ~~Division~~ department as a result of the action.

(2) The ~~Division~~ department determines, based on information contained in the shipping reports filed pursuant to ~~Section section~~ 2530 of Article 3 of Subchapter 6, that the ~~recycler~~ recycling center or dealer cooperative has received handling fees for materials which were not redeemed for refund value and such discrepancies between reported redemption weights and shipping weights are more than two and one-half percent.

Authority cited: Sections 14530.5, 14536 and, 14552(e) and 14578.5, Public Resources Code. Reference: Sections 14504, 14526.6, 14578, 14578.5 and 14585, Public Resources Code.

#### Section 2519. Handling Fee Appeals.

(a) Recycling centers may file a formal appeal by writing to the ~~Division~~ department within thirty (30) calendar days of the warrant date of the payment or the date of the Notice of Denial (NOD). Appeals submitted after this time period will be rejected. All written appeals must include:

- (1) A list of applicable certification numbers and corresponding facility addresses; and,
- (2) the month(s) and year(s) in question; and,
- (3) the canceled, original Form(s) DR-14 (1/00) and NOD(s), if this is an appeal of a denial; and,
- (4) a copy of the remittance advice, if this is an appeal of a payment determination; and,
- (5) a short explanation of why you believe the determination was in error; and,
- (6) any other documentation that supports your appeal.

(b) A decision on the appeal will be sent, in writing, within fifteen (15) working days of receipt of the appeal.

(c) A dealer cooperative may also file a formal appeal under this section. A dealer cooperative filing a formal appeal under this section shall include only the dealer cooperative registration number rather than the information specified in paragraph (1) of subdivision (a).

Authority cited: Sections 14530.5 ~~and~~, 14536 ~~and~~ 14578.5, Public Resources Code.  
Reference: Sections 14526.6 ~~and~~, 14578, 14578.5 ~~and~~ 14585, Public Resources Code.

### ARTICLE 3. Accounting and Reporting Requirements

#### Section 2530. Reporting.

Recycling centers shall prepare and submit all of the following reports in accordance with the general requirements for reporting of section 2090 ~~of these regulations~~.

(a) A shipping report for each delivery (of material subject to the Act) between:

- (1) the recycling center and any other recycling center; or
- (2) the recycling center and the processor; or
- (3) the recycling center and a dealer cooperative, dropoff or collection program, community service program, or curbside program, as provided in subdivision (f), below.

(b) The shipping recycling center shall indicate on the shipping report all information listed under ~~subsection~~ section 2530(e)(1) through (6), provide the shipping report containing this information to the person receiving the shipment and shall retain a completed copy; the shipping report shall accompany the material shipped, except as noted in paragraph (1) below. For shipments to processors, the recycling center shall receive a copy of the completed shipping report from the processor upon payment, pursuant to section 2430(a)(1) ~~of these regulations~~.

(1) In the case of glass, recyclers may add up the daily summaries until total weight is equal to received weight and claim the corresponding redemption weight and refund value. In such cases, a shipping report need not accompany the load.

(c) The shipping report shall be based upon any receipts or log entries prepared pursuant to section 2525 above, or any shipping reports for material received by recycling centers from other recycling centers.

(d) Copies of any shipping reports for material received by a recycling center from other recycling centers, dealer cooperatives, dropoff or collection programs, community service programs, or curbside programs, shall be appended to the shipping report prepared pursuant to this section.

(e) Except as provided for in ~~subsection~~ subdivision (f) below, a separate shipping report shall be prepared for each material type and shall include all of the following information:

- (1) The name, address, and certification number of the recycling center shipping the material as well as the name and telephone number of a contact person; and
- (2) The name and certification number of the recycling center or processor receiving the material; and

- (3) The period and the material type covered by the report; and
- (4) The following information based upon the information contained in the receipts and logs and the received shipping reports:
  - (A) Total weight of empty beverage containers purchased by basis for the refund value payment (e.g. segregated and weighed, commingled and weighed, segregated and counted).
  - (B) The redemption weight of the material.
  - (C) The total refund value.
- (5) The number of attached shipping reports which pertain to material included in the shipment.
- (6) The printed name, title and signature of an authorized representative of the recycling center and the date signed.
- (f) For material received by the recycling center from a dealer cooperative, dropoff or collection program, community service program or curbside program, the recycling center shall prepare a separate shipping report for each material type and provide a copy of the completed shipping report to the shipping dealer cooperative, dropoff or collection program, community service program or curbside program. Shipping reports prepared pursuant to this ~~subsection~~ subdivision shall contain all of the following information:
  - (1) The name, certification or identification number for the entity shipping the material, as well as the name and telephone number of a contact person; and
  - (2) The name and certification number of the recycling center receiving the material; and
  - (3) The date the material was received and the material type covered by the report; and
  - (4) The received weight, excluding rejected containers, line breakage, and out-of-state containers; and
  - (5) The refund value paid; and
  - (6) The name and signature of the shipper or an authorized representative of the shipper and the date signed; and
  - (7) The name and signature of an authorized representative of the recycling center and the date signed; and
  - (8) The weight ticket date and weight ticket number; and
  - (9) The shrinkage deduction taken, if any.

(10) The redemption weight; and, for plastic, aluminum, and glass, collected by a curbside program, or a dropoff or collection program that meets the requirements of ~~Section~~ section 2850, the registered curbside program or certified entity eligible for the quality incentive payment shall be identified as either the Shipper (S), or the Receiver (R) in the QIP (Quality Incentive Payment) Box.

(g) For material received by a recycling center from another recycling center, the receiving recycling center shall ensure that all the information specified in ~~subsection~~ section 2530(f)(1) through (8) is recorded on the report and provide a copy of the completed shipping report to the shipping recycling center.

(h) To obtain handling fees, only those recycling centers eligible for such fees, as described in section 2516, shall submit a Handling Fee Application Form (Form DR-14 (1/00)) to the ~~Division~~ department for the calendar month for which handling fees are being claimed. The Form DR-14 (1/00) shall be submitted no later than the first day of the second month following the reporting month. Forms submitted after this date, and incorrectly completed forms, will be denied for payment and the handling fee will be forfeited for that calendar month. Forfeiture for that calendar month will not affect eligibility for subsequent months. There shall be a separate Form DR-14 (1/00) completed for each supermarket site recycling center, nonprofit convenience zone recycler, or rural region recycler which shall include all of the following information in addition to that required by section 2090 ~~of these regulations~~:

- (1) The calendar month and year covered by the report; and
- (2) The name and mailing address of the recycling center; and
- (3) The name and telephone number of a contact person; and
- (4) The certification number of the supermarket site recycling center, nonprofit convenience zone recycler, or rural region recycler; and,
- (5) A change of mailing address, ownership or a closing of the supermarket site recycling center, nonprofit convenience zone recycler, or rural region recycler; and
- (6) The weight, to the nearest tenth of a pound, of empty beverage containers, by material type, redeemed by that recycling center, at that supermarket site, nonprofit convenience zone recycler, or rural region recycler, only from consumers delivering that material during the hours the recycling center was open for business. This weight shall be taken from the receipts and logs of that recycling center for that calendar month; and,
- (7) The signature and title of an authorized representative of the recycling center in accordance with ~~subsections~~ sections 2090(d)(4) and (5) ~~of subchapter 2 of these regulations~~; and
- (8) The date the application was signed.

(i) Recycling centers purchasing materials directly from more than one curbside program, dropoff or collection program, or community service program may apply to the Division department to request the use of alternative methods for preparing the corresponding shipping reports. The Division department shall consider each proposed alternative method and issue a written approval or denial within forty-five (45) calendar days.

(1) In order for alternative methods to be accepted, they must be based on reasonable allocation methods.

(2) An application for an alternative allocation method shall be denied if:

(A) The received weight of the material purchased by an entity from the recycling center is not used to calculate allocations to the curbside programs, dropoff or collection programs, or community service programs; or

(B) The recycling center does not ensure that the weight of rejected containers, line breakage, and out-of-state containers is not included in the allocated weight (this does not require a physical separation); or

(C) The recycling center does not account for each incoming load of material; or

(D) The recycling center does not inspect incoming material to verify that it is eligible for refund value payments, as specified in section 2501.

(3) Recycling centers may file a formal appeal by writing the Assistant Director for Recycling within thirty (30) calendar days after the receipt of a notice denying an application requesting an alternative method for shipping report preparation. Appeals submitted after this time period shall be rejected. All written appeals shall include:

(A) A copy of the notice denying the allocation method;

(B) A detailed explanation of why the determination was in error; and,

(C) any other documentation that supports the appeal.

(4) A written decision on the appeal shall be sent to the recycling center within seven (7) calendar days of the receipt of the appeal.

Authority cited: Sections 14530.5(b) and, 14536 and 14578.5, Public Resources Code.  
Reference: Sections 14526.6, 14538, 14549.1, 14578, 14578.5 and 14585, Public Resources Code.



# Web Content Accessibility Guidelines (WCAG) 2.0

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**Editors:**

Ben Caldwell, Trace R&D Center, University of Wisconsin-Madison  
Michael Cooper, W3C  
Loretta Guarino Reid, Google, Inc.  
Gregg Vanderheiden, Trace R&D Center, University of Wisconsin-Madison

**Previous Editors:**

Wendy Chisholm (until July 2006 while at W3C)  
John Slatin (until June 2006 while at Accessibility Institute, University of Texas at Austin)  
Jason White (until June 2005 while at University of Melbourne)

Please refer to the [errata](#) for this document, which may include normative corrections.

See also [translations](#).

This document is also available in non-normative formats, available from [Alternate Versions of Web Content Accessibility Guidelines 2.0](#).

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## Abstract

Web Content Accessibility Guidelines (WCAG) 2.0 covers a wide range of recommendations for making Web content more accessible. Following these guidelines will make content accessible to a wider range of people with disabilities, including blindness and low vision, deafness and hearing loss, learning disabilities, cognitive limitations, limited movement, speech disabilities, photosensitivity and combinations of these. Following these guidelines will also often make your Web content more usable to users in general.

WCAG 2.0 success criteria are written as testable statements that are not technology-specific. Guidance about satisfying the success criteria in specific technologies, as well as general information about interpreting the success criteria, is provided in separate documents. See [Web Content Accessibility Guidelines \(WCAG\) Overview](#) for an introduction and links to WCAG technical and educational material.

WCAG 2.0 succeeds [Web Content Accessibility Guidelines 1.0 \[WCAG10\]](#), which was published as a W3C Recommendation May 1999. Although it is possible to conform either to WCAG 1.0 or to WCAG 2.0 (or both), the W3C recommends that new and updated content use WCAG 2.0. The W3C also recommends that Web accessibility policies reference WCAG 2.0.

## Status of this Document

*This section describes the status of this document at the time of its publication. Other documents may supersede this document. A list of current W3C publications and the latest revision of this technical report can be found in the [W3C technical reports index](http://www.w3.org/TR/) at <http://www.w3.org/TR/>.*

This is the Web Content Accessibility Guidelines (WCAG) 2.0 [W3C Recommendation](#) from the [Web Content Accessibility Guidelines Working Group](#).

This document has been reviewed by W3C Members, by software developers, and by other W3C groups and interested parties, and is endorsed by the Director as a W3C Recommendation. It is a stable document and may be used as reference material or cited from another document. W3C's role in making the Recommendation is to draw attention to the specification and to promote its widespread deployment. This enhances the functionality and interoperability of the Web.

WCAG 2.0 is supported by the associated non-normative documents, [Understanding WCAG 2.0](#) and [Techniques for WCAG 2.0](#). Although those documents do not have the formal status that WCAG 2.0 itself has, they provide information important to understanding and implementing WCAG.

The Working Group requests that any comments be made using the provided [online comment form](#). If this is not possible, comments can also be sent to [public-comments-wcag20@w3.org](mailto:public-comments-wcag20@w3.org). The [archives for the public comments list](#) are publicly available. Comments received on the WCAG 2.0 Recommendation cannot result in changes to this version of the guidelines, but may be addressed in errata or future versions of WCAG. The Working Group does not plan to make formal responses to comments. Archives of the [WCAG WG mailing list discussions](#) are publicly available, and future work undertaken by the Working Group may address comments received on this document.

This document has been produced as part of the W3C [Web Accessibility Initiative](#) (WAI). The goals of the WCAG Working Group are discussed in the [WCAG Working Group charter](#). The WCAG Working Group is part of the [WAI Technical Activity](#).

This document was produced by a group operating under the [5 February 2004 W3C Patent Policy](#). W3C maintains a [public list of any patent disclosures](#) made in connection with the deliverables of the group; that page also includes instructions for disclosing a patent. An individual who has actual knowledge of a patent which the individual believes contains [Essential Claim\(s\)](#) must disclose the information in accordance with [section 6 of the W3C Patent Policy](#).

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## Introduction

This section is informative.

Web Content Accessibility Guidelines (WCAG) 2.0 defines how to make Web content more accessible to people with disabilities. Accessibility involves a wide range of disabilities, including visual, auditory, physical, speech, cognitive, language, learning, and neurological disabilities. Although these guidelines cover a wide range of issues, they are not able to address the needs of people with all types, degrees, and combinations of disability. These guidelines also make Web content more usable by older individuals with changing abilities due to aging and often improve usability for users in general.

WCAG 2.0 is developed through the W3C process in cooperation with individuals and organizations around the world, with a goal of providing a shared standard for Web content accessibility that meets the needs of individuals, organizations, and governments internationally. WCAG 2.0 builds on WCAG 1.0 [WCAG10] and is designed to apply broadly to different Web technologies now and in the future, and to be testable with a combination of automated testing and human evaluation. For an introduction to WCAG, see the Web Content Accessibility Guidelines (WCAG) Overview.

Web accessibility depends not only on accessible content but also on accessible Web browsers and other user agents. Authoring tools also have an important role in Web accessibility. For an overview of how these components of Web development and interaction work together, see:

- Essential Components of Web Accessibility
- User Agent Accessibility Guidelines (UAAG) Overview
- Authoring Tool Accessibility Guidelines (ATAG) Overview

## WCAG 2.0 Layers of Guidance

The individuals and organizations that use WCAG vary widely and include Web designers and developers, policy makers, purchasing agents, teachers, and students. In order to meet the varying needs of this audience, several layers of guidance are provided including overall *principles*, general *guidelines*, testable *success criteria* and a rich collection of *sufficient techniques*, *advisory techniques*, and *documented common failures* with examples, resource links and code.

- **Principles** - At the top are four principles that provide the foundation for Web accessibility: *perceivable*, *operable*, *understandable*, and *robust*. See also Understanding the Four Principles of Accessibility.



- **Guidelines** - Under the principles are guidelines. The 12 guidelines provide the basic goals that authors should work toward in order to make content more accessible to users with different disabilities. The guidelines are not testable, but provide the framework and overall objectives to help authors understand the success criteria and better implement the techniques.
- **Success Criteria** - For each guideline, testable success criteria are provided to allow WCAG 2.0 to be used where requirements and conformance testing are necessary such as in design specification, purchasing, regulation, and contractual agreements. In order to meet the needs of different groups and different situations, three levels of conformance are defined: A (lowest), AA, and AAA (highest). Additional information on WCAG levels can be found in [Understanding Levels of Conformance](#).
- **Sufficient and Advisory Techniques** - For each of the *guidelines* and *success criteria* in the WCAG 2.0 document itself, the working group has also documented a wide variety of *techniques*. The techniques are informative and fall into two categories: those that are *sufficient* for meeting the success criteria and those that are *advisory*. The advisory techniques go beyond what is required by the individual success criteria and allow authors to better address the guidelines. Some advisory techniques address accessibility barriers that are not covered by the testable success criteria. Where common failures are known, these are also documented. See also [Sufficient and Advisory Techniques in Understanding WCAG 2.0](#).

All of these layers of guidance (principles, guidelines, success criteria, and sufficient and advisory techniques) work together to provide guidance on how to make content more accessible. Authors are encouraged to view and apply all layers that they are able to, including the advisory techniques, in order to best address the needs of the widest possible range of users.

Note that even content that conforms at the highest level (AAA) will not be accessible to individuals with all types, degrees, or combinations of disability, particularly in the cognitive language and learning areas. Authors are encouraged to consider the full range of techniques, including the advisory techniques, as well as to seek relevant advice about current best practice to ensure that Web content is accessible, as far as possible, to this community. [Metadata](#) may assist users in finding content most suitable for their needs.

## WCAG 2.0 Supporting Documents

The WCAG 2.0 document is designed to meet the needs of those who need a stable, referenceable technical standard. Other documents, called supporting documents, are based on the WCAG 2.0 document and address other important purposes, including the ability to be updated to describe how WCAG would be applied with new technologies. Supporting documents include:

1. **[How to Meet WCAG 2.0](#)** - A customizable quick reference to WCAG 2.0 that includes all of the guidelines, success criteria, and techniques for authors to use as they are developing and evaluating Web content.
2. **[Understanding WCAG 2.0](#)** - A guide to understanding and implementing WCAG 2.0. There is a short "Understanding" document for each guideline and success criterion in WCAG 2.0 as well as key topics.
3. **[Techniques for WCAG 2.0](#)** - A collection of techniques and common failures, each in a separate document that includes a description, examples, code and tests.
4. **[The WCAG 2.0 Documents](#)** - A diagram and description of how the technical documents are related and linked.

See [Web Content Accessibility Guidelines \(WCAG\) Overview](#) for a description of the WCAG 2.0 supporting material, including education resources related to WCAG 2.0. Additional resources covering topics such as the business case for Web accessibility, planning implementation to improve the accessibility of Web sites, and accessibility policies are listed in [WAI Resources](#).

## Important Terms in WCAG 2.0

WCAG 2.0 includes three important terms that are different from WCAG 1.0. Each of these is introduced briefly below and defined more fully in the glossary.

It is important to note that, in this standard, the term "Web page" includes much more than static HTML pages. It also includes the increasingly dynamic Web pages that are emerging on the Web, including "pages" that can present entire virtual interactive communities. For example, the term "Web page" includes an immersive, interactive movie-like experience found at a single URI. For more information, see Understanding "Web Page".

### **Programmatically Determined**

Several success criteria require that content (or certain aspects of content) can be "programmatically determined." This means that the content is delivered in such a way that user agents, including assistive technologies, can extract and present this information to users in different modalities. For more information, see Understanding Programmatically Determined.

### **Accessibility Supported**

Using a technology in a way that is accessibility supported means that it works with assistive technologies (AT) and the accessibility features of operating systems, browsers, and other user agents. Technology features can only be relied upon to conform to WCAG 2.0 success criteria if they are used in a way that is "accessibility supported". Technology features can be used in ways that are not accessibility supported (do not work with assistive technologies, etc.) as long as they are not relied upon to conform to any success criterion (i.e., the same information or functionality is also available another way that is supported).

The definition of "accessibility supported" is provided in the Appendix A: Glossary section of these guidelines. For more information, see Understanding Accessibility Support.

## **WCAG 2.0 Guidelines**

This section is normative.

**Principle 1: Perceivable - Information and user interface components must be presentable to users in ways they can perceive.**

**Guideline 1.1 Text Alternatives:** Provide text alternatives for any non-text content so that it can be changed into other forms people need, such as large print, braille, speech, symbols or simpler language.

Understanding Guideline 1.1

**1.1.1 Non-text Content:** All non-text content that is presented to the user has a text alternative that serves the equivalent purpose, except for the situations listed below. (Level A)

How to Meet 1.1.1  
Understanding 1.1.1

- **Controls, Input:** If non-text content is a control or accepts user input, then it has a name that describes its purpose. (Refer to Guideline 4.1 for additional requirements for controls and content that accepts user input.)
- **Time-Based Media:** If non-text content is time-based media, then text alternatives at least provide descriptive identification of the non-text content. (Refer to Guideline 1.2 for additional requirements for media.)
- **Test:** If non-text content is a test or exercise that would be invalid if presented in text, then text alternatives at least provide descriptive identification of the non-text content.
- **Sensory:** If non-text content is primarily intended to create a specific sensory experience, then text alternatives at least provide descriptive identification of the non-text content.
- **CAPTCHA:** If the purpose of non-text content is to confirm that content is being accessed by a person rather than a computer, then text alternatives that identify and describe the purpose of the non-text content are provided, and

alternative forms of CAPTCHA using output modes for different types of sensory perception are provided to accommodate different disabilities.

- **Decoration, Formatting, Invisible:** If non-text content is pure decoration, is used only for visual formatting, or is not presented to users, then it is implemented in a way that it can be ignored by assistive technology.

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**Guideline 1.2 Time-based Media: Provide alternatives for time-based media.**

Understanding Guideline 1.2

**1.2.1 Audio-only and Video-only (Prerecorded):** For prerecorded audio-only and prerecorded video-only media, the following are true, except when the audio or video is a media alternative for text and is clearly labeled as such: (Level A)

How to Meet 1.2.1  
Understanding 1.2.1

- **Prerecorded Audio-only:** An alternative for time-based media is provided that presents equivalent information for prerecorded audio-only content.
- **Prerecorded Video-only:** Either an alternative for time-based media or an audio track is provided that presents equivalent information for prerecorded video-only content.

**1.2.2 Captions (Prerecorded):** Captions are provided for all prerecorded audio content in synchronized media, except when the media is a media alternative for text and is clearly labeled as such. (Level A)

How to Meet 1.2.2  
Understanding 1.2.2

**1.2.3 Audio Description or Media Alternative (Prerecorded):** An alternative for time-based media or audio description of the prerecorded video content is provided for synchronized media, except when the media is a media alternative for text and is clearly labeled as such. (Level A)

How to Meet 1.2.3  
Understanding 1.2.3

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**1.2.4 Captions (Live):** Captions are provided for all live audio content in synchronized media. (Level AA)

How to Meet 1.2.4  
Understanding 1.2.4

**1.2.5 Audio Description (Prerecorded):** Audio description is provided for all prerecorded video content in synchronized media. (Level AA)

How to Meet 1.2.5  
Understanding 1.2.5

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**1.2.6 Sign Language (Prerecorded):** Sign language interpretation is provided for all prerecorded audio content in synchronized media. (Level AAA)

How to Meet 1.2.6  
Understanding 1.2.6

**1.2.7 Extended Audio Description (Prerecorded):** Where pauses in foreground audio are insufficient to allow audio descriptions to convey the sense of the video, extended audio description is provided for all prerecorded video content in synchronized media. (Level AAA)

How to Meet 1.2.7  
Understanding 1.2.7

**1.2.8 Media Alternative (Prerecorded):** An alternative for time-based media is provided for all prerecorded synchronized media and for all prerecorded video-only media. (Level AAA)

How to Meet 1.2.8  
Understanding 1.2.8

**1.2.9 Audio-only (Live):** An alternative for time-based media that presents equivalent information for live audio-only content is provided. (Level AAA)

How to Meet 1.2.9  
Understanding 1.2.9

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Guideline 1.3 Adaptable: Create content that can be presented in different ways (for example simpler layout) without losing information or structure.

Understanding Guideline 1.3

**1.3.1 Info and Relationships:** Information, structure, and relationships conveyed through presentation can be programmatically determined or are available in text. (Level A)

How to Meet 1.3.1  
Understanding 1.3.1

**1.3.2 Meaningful Sequence:** When the sequence in which content is presented affects its meaning, a correct reading sequence can be programmatically determined. (Level A)

How to Meet 1.3.2  
Understanding 1.3.2

**1.3.3 Sensory Characteristics:** Instructions provided for understanding and operating content do not rely solely on sensory characteristics of components such as shape, size, visual location, orientation, or sound. (Level A)

How to Meet 1.3.3  
Understanding 1.3.3

*Note:* For requirements related to color, refer to Guideline 1.4.

Guideline 1.4 Distinguishable: Make it easier for users to see and hear content including separating foreground from background.

Understanding Guideline 1.4

**1.4.1 Use of Color:** Color is not used as the only visual means of conveying information, indicating an action, prompting a response, or distinguishing a visual element. (Level A)

How to Meet 1.4.1  
Understanding 1.4.1

*Note:* This success criterion addresses color perception specifically. Other forms of perception are covered in Guideline 1.3 including programmatic access to color and other visual presentation coding.

**1.4.2 Audio Control:** If any audio on a Web page plays automatically for more than 3 seconds, either a mechanism is available to pause or stop the audio, or a mechanism is available to control audio volume independently from the overall system volume level. (Level A)

How to Meet 1.4.2  
Understanding 1.4.2

*Note:* Since any content that does not meet this success criterion can interfere with a user's ability to use the whole page, all content on the Web page (whether or not it is used to meet other success criteria) must meet this success criterion. See Conformance Requirement 5: Non-Interference.

**1.4.3 Contrast (Minimum):** The visual presentation of text and images of text has a contrast ratio of at least 4.5:1, except for the following: (Level AA)

How to Meet 1.4.3  
Understanding 1.4.3

- **Large Text:** Large-scale text and images of large-scale text have a contrast ratio of at least 3:1;
- **Incidental:** Text or images of text that are part of an inactive user interface component, that are pure decoration, that are not visible to anyone, or that are part of a picture that contains significant other visual content, have no contrast requirement.
- **Logotypes:** Text that is part of a logo or brand name has no minimum contrast requirement.

**1.4.4 Resize text:** Except for captions and images of text, text can be resized without assistive technology up to 200 percent without loss of content or functionality. (Level AA)

How to Meet 1.4.4  
Understanding 1.4.4

**1.4.5 Images of Text:** If the technologies being used can achieve the visual presentation, text is used to convey information rather than images of text except for the following: (Level AA)

How to Meet 1.4.5  
Understanding 1.4.5

- **Customizable:** The image of text can be visually customized to the user's requirements;
- **Essential:** A particular presentation of text is essential to the information being conveyed.

*Note:* Logotypes (text that is part of a logo or brand name) are considered essential.

**1.4.6 Contrast (Enhanced):** The visual presentation of text and images of text has a contrast ratio of at least 7:1, except for the following: (Level AAA)

How to Meet 1.4.6  
Understanding 1.4.6

- **Large Text:** Large-scale text and images of large-scale text have a contrast ratio of at least 4.5:1;
- **Incidental:** Text or images of text that are part of an inactive user interface component, that are pure decoration, that are not visible to anyone, or that are part of a picture that contains significant other visual content, have no contrast requirement.
- **Logotypes:** Text that is part of a logo or brand name has no minimum contrast requirement.

**1.4.7 Low or No Background Audio:** For prerecorded audio-only content that (1) contains primarily speech in the foreground, (2) is not an audio CAPTCHA or audio logo, and (3) is not vocalization intended to be primarily musical expression such as singing or rapping, at least one of the following is true: (Level AAA)

How to Meet 1.4.7  
Understanding 1.4.7

- **No Background:** The audio does not contain background sounds.
- **Turn Off:** The background sounds can be turned off.
- **20 dB:** The background sounds are at least 20 decibels lower than the foreground speech content, with the exception of occasional sounds that last for only one or two seconds.

*Note:* Per the definition of "decibel," background sound that meets this requirement will be approximately four times quieter than the foreground speech content.

**1.4.8 Visual Presentation:** For the visual presentation of blocks of text, a mechanism is available to achieve the following: (Level AAA)

How to Meet 1.4.8  
Understanding 1.4.8

1. Foreground and background colors can be selected by the user.
2. Width is no more than 80 characters or glyphs (40 if CJK).
3. Text is not justified (aligned to both the left and the right margins).
4. Line spacing (leading) is at least space-and-a-half within paragraphs, and paragraph spacing is at least 1.5 times larger than the line spacing.
5. Text can be resized without assistive technology up to 200 percent in a way that does not require the user to scroll horizontally to read a line of text on a full-screen window.

**1.4.9 Images of Text (No Exception):** Images of text are only used for pure decoration or where a particular presentation of text is essential to the information being conveyed. (Level AAA)

How to Meet 1.4.9  
Understanding 1.4.9

*Note:* Logotypes (text that is part of a logo or brand name) are considered essential.

## Principle 2: Operable - User interface components and navigation must be operable.

**Guideline 2.1 Keyboard Accessible:** Make all functionality available from a keyboard.

[Understanding Guideline 2.1](#)

**2.1.1 Keyboard:** All functionality of the content is operable through a keyboard interface without requiring specific timings for individual keystrokes, except where the underlying function requires input that depends on the path of the user's movement and not just the endpoints. (Level A)

[How to Meet 2.1.1](#)  
[Understanding 2.1.1](#)

*Note 1:* This exception relates to the underlying function, not the input technique. For example, if using handwriting to enter text, the input technique (handwriting) requires path-dependent input but the underlying function (text input) does not.

*Note 2:* This does not forbid and should not discourage providing mouse input or other input methods in addition to keyboard operation.

**2.1.2 No Keyboard Trap:** If keyboard focus can be moved to a component of the page using a keyboard interface, then focus can be moved away from that component using only a keyboard interface, and, if it requires more than unmodified arrow or tab keys or other standard exit methods, the user is advised of the method for moving focus away. (Level A)

[How to Meet 2.1.2](#)  
[Understanding 2.1.2](#)

*Note:* Since any content that does not meet this success criterion can interfere with a user's ability to use the whole page, all content on the Web page (whether it is used to meet other success criteria or not) must meet this success criterion. See [Conformance Requirement 5: Non-Interference](#).

**2.1.3 Keyboard (No Exception):** All functionality of the content is operable through a keyboard interface without requiring specific timings for individual keystrokes. (Level AAA)

[How to Meet 2.1.3](#)  
[Understanding 2.1.3](#)

**Guideline 2.2 Enough Time:** Provide users enough time to read and use content.

[Understanding Guideline 2.2](#)

**2.2.1 Timing Adjustable:** For each time limit that is set by the content, at least one of the following is true: (Level A)

[How to Meet 2.2.1](#)  
[Understanding 2.2.1](#)

- **Turn off:** The user is allowed to turn off the time limit before encountering it; or
- **Adjust:** The user is allowed to adjust the time limit before encountering it over a wide range that is at least ten times the length of the default setting; or
- **Extend:** The user is warned before time expires and given at least 20 seconds to extend the time limit with a simple action (for example, "press the space bar"), and the user is allowed to extend the time limit at least ten times; or
- **Real-time Exception:** The time limit is a required part of a real-time event (for example, an auction), and no alternative to the time limit is possible; or

- **Essential Exception:** The time limit is essential and extending it would invalidate the activity; or
- **20 Hour Exception:** The time limit is longer than 20 hours.

*Note:* This success criterion helps ensure that users can complete tasks without unexpected changes in content or context that are a result of a time limit. This success criterion should be considered in conjunction with Success Criterion 3.2.1, which puts limits on changes of content or context as a result of user action.

**2.2.2 Pause, Stop, Hide:** For moving, blinking, scrolling, or auto-updating information, all of the following are true: (Level A)

How to Meet 2.2.2  
Understanding 2.2.2

- **Moving, blinking, scrolling:** For any moving, blinking or scrolling information that (1) starts automatically, (2) lasts more than five seconds, and (3) is presented in parallel with other content, there is a mechanism for the user to pause, stop, or hide it unless the movement, blinking, or scrolling is part of an activity where it is essential; and
- **Auto-updating:** For any auto-updating information that (1) starts automatically and (2) is presented in parallel with other content, there is a mechanism for the user to pause, stop, or hide it or to control the frequency of the update unless the auto-updating is part of an activity where it is essential.

*Note 1:* For requirements related to flickering or flashing content, refer to Guideline 2.3.

*Note 2:* Since any content that does not meet this success criterion can interfere with a user's ability to use the whole page, all content on the Web page (whether it is used to meet other success criteria or not) must meet this success criterion. See Conformance Requirement 5: Non-Interference.

*Note 3:* Content that is updated periodically by software or that is streamed to the user agent is not required to preserve or present information that is generated or received between the initiation of the pause and resuming presentation, as this may not be technically possible, and in many situations could be misleading to do so.

*Note 4:* An animation that occurs as part of a preload phase or similar situation can be considered essential if interaction cannot occur during that phase for all users and if not indicating progress could confuse users or cause them to think that content was frozen or broken.

**2.2.3 No Timing:** Timing is not an essential part of the event or activity presented by the content, except for non-interactive synchronized media and real-time events. (Level AAA)

How to Meet 2.2.3  
Understanding 2.2.3

**2.2.4 Interruptions:** Interruptions can be postponed or suppressed by the user, except interruptions involving an emergency. (Level AAA)

How to Meet 2.2.4  
Understanding 2.2.4

**2.2.5 Re-authenticating:** When an authenticated session expires, the user can continue the activity without loss of data after re-authenticating. (Level AAA)

How to Meet 2.2.5  
Understanding 2.2.5

**Guideline 2.3 Seizures:** Do not design content in a way that is known to cause seizures.

Understanding Guideline 2.3

**2.3.1 Three Flashes or Below Threshold:** Web pages do not contain anything that flashes more than three times in any one second period, or the flash is below the

How to Meet 2.3.1  
Understanding 2.3.1

general flash and red flash thresholds. (Level A)

*Note:* Since any content that does not meet this success criterion can interfere with a user's ability to use the whole page, all content on the Web page (whether it is used to meet other success criteria or not) must meet this success criterion. See Conformance Requirement 5: Non-Interference.

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**2.3.2 Three Flashes:** Web pages do not contain anything that flashes more than three times in any one second period. (Level AAA)

[How to Meet 2.3.2](#)  
[Understanding 2.3.2](#)

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Guideline 2.4 Navigable: Provide ways to help users navigate, find content, and determine where they are.

[Understanding Guideline 2.4](#)

**2.4.1 Bypass Blocks:** A mechanism is available to bypass blocks of content that are repeated on multiple Web pages. (Level A)

[How to Meet 2.4.1](#)  
[Understanding 2.4.1](#)

**2.4.2 Page Titled:** Web pages have titles that describe topic or purpose. (Level A)

[How to Meet 2.4.2](#)  
[Understanding 2.4.2](#)

**2.4.3 Focus Order:** If a Web page can be navigated sequentially and the navigation sequences affect meaning or operation, focusable components receive focus in an order that preserves meaning and operability. (Level A)

[How to Meet 2.4.3](#)  
[Understanding 2.4.3](#)

**2.4.4 Link Purpose (In Context):** The purpose of each link can be determined from the link text alone or from the link text together with its programmatically determined link context, except where the purpose of the link would be ambiguous to users in general. (Level A)

[How to Meet 2.4.4](#)  
[Understanding 2.4.4](#)

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**2.4.5 Multiple Ways:** More than one way is available to locate a Web page within a set of Web pages except where the Web Page is the result of, or a step in, a process. (Level AA)

[How to Meet 2.4.5](#)  
[Understanding 2.4.5](#)

**2.4.6 Headings and Labels:** Headings and labels describe topic or purpose. (Level AA)

[How to Meet 2.4.6](#)  
[Understanding 2.4.6](#)

**2.4.7 Focus Visible:** Any keyboard operable user interface has a mode of operation where the keyboard focus indicator is visible. (Level AA)

[How to Meet 2.4.7](#)  
[Understanding 2.4.7](#)

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**2.4.8 Location:** Information about the user's location within a set of Web pages is available. (Level AAA)

[How to Meet 2.4.8](#)  
[Understanding 2.4.8](#)

**2.4.9 Link Purpose (Link Only):** A mechanism is available to allow the purpose of each link to be identified from link text alone, except where the purpose of the link would be ambiguous to users in general. (Level AAA)

[How to Meet 2.4.9](#)  
[Understanding 2.4.9](#)

**2.4.10 Section Headings:** Section headings are used to organize the content. (Level AAA)

[How to Meet 2.4.10](#)  
[Understanding 2.4.10](#)



*Note 1:* "Heading" is used in its general sense and includes titles and other ways to add a heading to different types of content.

*Note 2:* This success criterion covers sections within writing, not user interface components. User Interface components are covered under Success Criterion 4.1.2.

## Principle 3: Understandable - Information and the operation of user interface must be understandable.

**Guideline 3.1 Readable:** Make text content readable and understandable.

Understanding Guideline 3.1

**3.1.1 Language of Page:** The default human language of each Web page can be programmatically determined. (Level A)

How to Meet 3.1.1  
Understanding 3.1.1

**3.1.2 Language of Parts:** The human language of each passage or phrase in the content can be programmatically determined except for proper names, technical terms, words of indeterminate language, and words or phrases that have become part of the vernacular of the immediately surrounding text. (Level AA)

How to Meet 3.1.2  
Understanding 3.1.2

**3.1.3 Unusual Words:** A mechanism is available for identifying specific definitions of words or phrases used in an unusual or restricted way, including idioms and jargon. (Level AAA)

How to Meet 3.1.3  
Understanding 3.1.3

**3.1.4 Abbreviations:** A mechanism for identifying the expanded form or meaning of abbreviations is available. (Level AAA)

How to Meet 3.1.4  
Understanding 3.1.4

**3.1.5 Reading Level:** When text requires reading ability more advanced than the lower secondary education level after removal of proper names and titles, supplemental content, or a version that does not require reading ability more advanced than the lower secondary education level, is available. (Level AAA)

How to Meet 3.1.5  
Understanding 3.1.5

**3.1.6 Pronunciation:** A mechanism is available for identifying specific pronunciation of words where meaning of the words, in context, is ambiguous without knowing the pronunciation. (Level AAA)

How to Meet 3.1.6  
Understanding 3.1.6

**Guideline 3.2 Predictable:** Make Web pages appear and operate in predictable ways.

Understanding Guideline 3.2

**3.2.1 On Focus:** When any component receives focus, it does not initiate a change of context. (Level A)

How to Meet 3.2.1  
Understanding 3.2.1

**3.2.2 On Input:** Changing the setting of any user interface component does not automatically cause a change of context unless the user has been advised of the

How to Meet 3.2.2  
Understanding 3.2.2

behavior before using the component. (Level A)

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**3.2.3 Consistent Navigation:** Navigational mechanisms that are repeated on multiple Web pages within a set of Web pages occur in the same relative order each time they are repeated, unless a change is initiated by the user. (Level AA)

[How to Meet 3.2.3](#)  
[Understanding 3.2.3](#)

**3.2.4 Consistent Identification:** Components that have the same functionality within a set of Web pages are identified consistently. (Level AA)

[How to Meet 3.2.4](#)  
[Understanding 3.2.4](#)

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**3.2.5 Change on Request:** Changes of context are initiated only by user request or a mechanism is available to turn off such changes. (Level AAA)

[How to Meet 3.2.5](#)  
[Understanding 3.2.5](#)

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**Guideline 3.3 Input Assistance:** Help users avoid and correct mistakes.

[Understanding Guideline 3.3](#)

**3.3.1 Error Identification:** If an input error is automatically detected, the item that is in error is identified and the error is described to the user in text. (Level A)

[How to Meet 3.3.1](#)  
[Understanding 3.3.1](#)

**3.3.2 Labels or Instructions:** Labels or instructions are provided when content requires user input. (Level A)

[How to Meet 3.3.2](#)  
[Understanding 3.3.2](#)

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**3.3.3 Error Suggestion:** If an input error is automatically detected and suggestions for correction are known, then the suggestions are provided to the user, unless it would jeopardize the security or purpose of the content. (Level AA)

[How to Meet 3.3.3](#)  
[Understanding 3.3.3](#)

**3.3.4 Error Prevention (Legal, Financial, Data):** For Web pages that cause legal commitments or financial transactions for the user to occur, that modify or delete user-controllable data in data storage systems, or that submit user test responses, at least one of the following is true: (Level AA)

[How to Meet 3.3.4](#)  
[Understanding 3.3.4](#)

1. **Reversible:** Submissions are reversible.
2. **Checked:** Data entered by the user is checked for input errors and the user is provided an opportunity to correct them.
3. **Confirmed:** A mechanism is available for reviewing, confirming, and correcting information before finalizing the submission.

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**3.3.5 Help:** Context-sensitive help is available. (Level AAA)

[How to Meet 3.3.5](#)  
[Understanding 3.3.5](#)

**3.3.6 Error Prevention (All):** For Web pages that require the user to submit information, at least one of the following is true: (Level AAA)

[How to Meet 3.3.6](#)  
[Understanding 3.3.6](#)

1. **Reversible:** Submissions are reversible.
  2. **Checked:** Data entered by the user is checked for input errors and the user is provided an opportunity to correct them.
  3. **Confirmed:** A mechanism is available for reviewing, confirming, and correcting information before finalizing the submission.
-

**Principle 4: Robust - Content must be robust enough that it can be interpreted reliably by a wide variety of user agents, including assistive technologies.**

**Guideline 4.1 Compatible: Maximize compatibility with current and future user agents, including assistive technologies.**

Understanding Guideline 4.1

**4.1.1 Parsing:** In content implemented using markup languages, elements have complete start and end tags, elements are nested according to their specifications, elements do not contain duplicate attributes, and any IDs are unique, except where the specifications allow these features. (Level A)

How to Meet 4.1.1  
Understanding 4.1.1

*Note:* Start and end tags that are missing a critical character in their formation, such as a closing angle bracket or a mismatched attribute value quotation mark are not complete.

**4.1.2 Name, Role, Value:** For all user interface components (including but not limited to: form elements, links and components generated by scripts), the name and role can be programmatically determined; states, properties, and values that can be set by the user can be programmatically set; and notification of changes to these items is available to user agents, including assistive technologies. (Level A)

How to Meet 4.1.2  
Understanding 4.1.2

*Note:* This success criterion is primarily for Web authors who develop or script their own user interface components. For example, standard HTML controls already meet this success criterion when used according to specification.

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## Conformance

This section is normative.

This section lists requirements for conformance to WCAG 2.0. It also gives information about how to make conformance claims, which are optional. Finally, it describes what it means to be accessibility supported, since only accessibility-supported ways of using technologies can be relied upon for conformance. Understanding Conformance includes further explanation of the accessibility-supported concept.

### Conformance Requirements

In order for a Web page to conform to WCAG 2.0, all of the following conformance requirements must be satisfied:

**1. Conformance Level:** One of the following levels of conformance is met in full.

- **Level A:** For Level A conformance (the minimum level of conformance), the Web page satisfies all the Level A Success Criteria, or a conforming alternate version is provided.
- **Level AA:** For Level AA conformance, the Web page satisfies all the Level A and Level AA Success Criteria, or a Level AA conforming alternate version is provided.
- **Level AAA:** For Level AAA conformance, the Web page satisfies all the Level A, Level AA and Level AAA Success Criteria, or a Level AAA conforming alternate version is provided.

*Note 1:* Although conformance can only be achieved at the stated levels, authors are encouraged to report (in their claim) any progress toward meeting success criteria from all levels beyond the achieved level of conformance.

*Note 2:* It is not recommended that Level AAA conformance be required as a general policy for entire sites because it is not possible to satisfy all Level AAA Success Criteria for some content.

**2. Full pages:** Conformance (and conformance level) is for full Web page(s) only, and cannot be achieved if part of a Web page is excluded.

*Note 1:* For the purpose of determining conformance, alternatives to part of a page's content are considered part of the page when the alternatives can be obtained directly from the page, e.g., a long description or an alternative presentation of a video.

*Note 2:* Authors of Web pages that cannot conform due to content outside of the author's control may consider a Statement of Partial Conformance.

**3. Complete processes:** When a Web page is one of a series of Web pages presenting a process (i.e., a sequence of steps that need to be completed in order to accomplish an activity), all Web pages in the process conform at the specified level or better. (Conformance is not possible at a particular level if any page in the process does not conform at that level or better.)

*Example:* An online store has a series of pages that are used to select and purchase products. All pages in the series from start to finish (checkout) conform in order for any page that is part of the process to conform.

**4. Only Accessibility-Supported Ways of Using Technologies:** Only accessibility-supported ways of using technologies are relied upon to satisfy the success criteria. Any information or functionality that is provided in a way that is not accessibility supported is also available in a way that is accessibility supported. (See Understanding accessibility support.)

**5. Non-Interference:** If technologies are used in a way that is not accessibility supported, or if they are used in a non-conforming way, then they do not block the ability of users to access the rest of the page. In addition, the Web page as a whole continues to meet the conformance requirements under each of the following conditions:

1. when any technology that is not relied upon is turned on in a user agent,
2. when any technology that is not relied upon is turned off in a user agent, and
3. when any technology that is not relied upon is not supported by a user agent

In addition, the following success criteria apply to all content on the page, including content that is not otherwise relied upon to meet conformance, because failure to meet them could interfere with any use of the page:

- **1.4.2 - Audio Control,**
- **2.1.2 - No Keyboard Trap,**
- **2.3.1 - Three Flashes or Below Threshold, and**
- **2.2.2 - Pause, Stop, Hide.**

*Note:* If a page cannot conform (for example, a conformance test page or an example page), it cannot be included in the scope of conformance or in a conformance claim.

For more information, including examples, see Understanding Conformance Requirements.

## Conformance Claims (Optional)

Conformance is defined only for Web pages. However, a conformance claim may be made to cover one page, a series of pages, or multiple related Web pages.

### Required Components of a Conformance Claim

Conformance claims are **not required**. Authors can conform to WCAG 2.0 without making a claim. However, if a conformance claim is made, then the conformance claim **must** include the following information:

1. **Date** of the claim
2. **Guidelines title, version and URI** "Web Content Accessibility Guidelines 2.0 at <http://www.w3.org/TR/2008/REC-WCAG20-20081211/>"
3. **Conformance level** satisfied: (Level A, AA or AAA)
4. **A concise description of the Web pages**, such as a list of URIs for which the claim is made, including whether subdomains are included in the claim.

*Note 1:* The Web pages may be described by list or by an expression that describes all of the URIs included in the claim.

Note 2: Web-based products that do not have a URI prior to installation on the customer's Web site may have a statement that the product would conform when installed.

5. A list of the Web content technologies relied upon.

Note: If a conformance logo is used, it would constitute a claim and must be accompanied by the required components of a conformance claim listed above.

### Optional Components of a Conformance Claim

In addition to the required components of a conformance claim above, consider providing additional information to assist users. Recommended additional information includes:

- A list of success criteria beyond the level of conformance claimed that have been met. This information should be provided in a form that users can use, preferably machine-readable metadata.
- A list of the specific technologies that are "*used but not relied upon*."
- A list of user agents, including assistive technologies that were used to test the content.
- Information about any additional steps taken that go beyond the success criteria to enhance accessibility.
- A machine-readable metadata version of the list of specific technologies that are relied upon.
- A machine-readable metadata version of the conformance claim.

Note 1: Refer to Understanding Conformance Claims for more information and example conformance claims.

Note 2: Refer to Understanding Metadata for more information about the use of metadata in conformance claims.

### Statement of Partial Conformance - Third Party Content

Sometimes, Web pages are created that will later have additional content added to them. For example, an email program, a blog, an article that allows users to add comments, or applications supporting user-contributed content. Another example would be a page, such as a portal or news site, composed of content aggregated from multiple contributors, or sites that automatically insert content from other sources over time, such as when advertisements are inserted dynamically.

In these cases, it is not possible to know at the time of original posting what the uncontrolled content of the pages will be. It is important to note that the uncontrolled content can affect the accessibility of the controlled content as well. Two options are available:

1. A determination of conformance can be made based on best knowledge. If a page of this type is monitored and repaired (non-conforming content is removed or brought into conformance) within two business days, then a determination or claim of conformance can be made since, except for errors in externally contributed content which are corrected or removed when encountered, the page conforms. No conformance claim can be made if it is not possible to monitor or correct non-conforming content;  
**OR**
2. A "statement of partial conformance" may be made that the page does not conform, but could conform if certain parts were removed. The form of that statement would be, "This page does not conform, but would conform to WCAG 2.0 at level X if the following parts from uncontrolled sources were removed." In addition, the following would also be true of uncontrolled content that is described in the statement of partial conformance:
  - a. It is not content that is under the author's control.
  - b. It is described in a way that users can identify (e.g., they cannot be described as "all parts that we do not control" unless they are clearly marked as such.)

### Statement of Partial Conformance - Language

A "statement of partial conformance due to language" may be made when the page does not conform, but would conform if accessibility support existed for (all of) the language(s) used on the page. The form of that statement would be, "This page does not conform, but would conform to WCAG 2.0 at level X if accessibility support existed for the following language(s)."

## Appendix A: Glossary

This section is normative.

### abbreviation

shortened form of a word, phrase, or name where the abbreviation has not become part of the language

*Note 1:* This includes initialisms and acronyms where:

1. **initialisms** are shortened forms of a name or phrase made from the initial letters of words or syllables contained in that name or phrase

*Note 1:* Not defined in all languages.

*Example 1:* SNCF is a French initialism that contains the initial letters of the Société Nationale des Chemins de Fer, the French national railroad.

*Example 2:* ESP is an initialism for extrasensory perception.

2. **acronyms** are abbreviated forms made from the initial letters or parts of other words (in a name or phrase) which may be pronounced as a word

*Example:* NOAA is an acronym made from the initial letters of the National Oceanic and Atmospheric Administration in the United States.

*Note 2:* Some companies have adopted what used to be an initialism as their company name. In these cases, the new name of the company is the letters (for example, Ecma) and the word is no longer considered an abbreviation.

### accessibility supported

supported by users' assistive technologies as well as the accessibility features in browsers and other user agents

To qualify as an accessibility-supported use of a Web content technology (or feature of a technology), both 1 and 2 must be satisfied for a Web content technology (or feature):

1. **The way that the Web content technology is used must be supported by users' assistive technology (AT).** This means that the way that the technology is used has been tested for interoperability with users' assistive technology in the human language(s) of the content,  
**AND**
2. **The Web content technology must have accessibility-supported user agents that are available to users.** This means that at least one of the following four statements is true:
  - a. The technology is supported natively in widely-distributed user agents that are also accessibility supported (such as HTML and CSS);  
**OR**
  - b. The technology is supported in a widely-distributed plug-in that is also accessibility supported;  
**OR**
  - c. The content is available in a closed environment, such as a university or corporate network, where the user agent required by the technology and used by the organization is also accessibility supported;  
**OR**
  - d. The user agent(s) that support the technology are accessibility supported and are available for download or purchase in a way that:
    - does not cost a person with a disability any more than a person without a disability **and**
    - is as easy to find and obtain for a person with a disability as it is for a person without disabilities.

*Note 1:* The WCAG Working group and the W3C do not specify which or how much support by assistive technologies there must be for a particular use of a Web technology in order for it to be classified as accessibility supported. (See Level of Assistive Technology Support Needed for "Accessibility Support".)

*Note 2:* Web technologies can be used in ways that are not accessibility supported as long as they are not relied upon and the page as a whole meets the conformance requirements, including Conformance

Requirement 4: Only Accessibility-Supported Ways of Using Technologies and Conformance Requirement 5: Non-Interference, are met.

*Note 3:* When a Web Technology is used in a way that is "accessibility supported," it does not imply that the entire technology or all uses of the technology are supported. Most technologies, including HTML, lack support for at least one feature or use. Pages conform to WCAG only if the uses of the technology that are accessibility supported can be relied upon to meet WCAG requirements.

*Note 4:* When citing Web content technologies that have multiple versions, the version(s) supported should be specified.

*Note 5:* One way for authors to locate uses of a technology that are accessibility supported would be to consult compilations of uses that are documented to be accessibility supported. (See Understanding Accessibility-Supported Web Technology Uses.) Authors, companies, technology vendors, or others may document accessibility-supported ways of using Web content technologies. However, all ways of using technologies in the documentation would need to meet the definition of accessibility-supported Web content technologies above.

#### **alternative for time-based media**

document including correctly sequenced text descriptions of time-based visual and auditory information and providing a means for achieving the outcomes of any time-based interaction

*Note:* A screenplay used to create the synchronized media content would meet this definition only if it was corrected to accurately represent the final synchronized media after editing.

#### **ambiguous to users in general**

the purpose cannot be determined from the link and all information of the Web page presented to the user simultaneously with the link (i.e., readers without disabilities would not know what a link would do until they activated it)

*Example:* The word guava in the following sentence "One of the notable exports is guava" is a link. The link could lead to a definition of guava, a chart listing the quantity of guava exported or a photograph of people harvesting guava. Until the link is activated, all readers are unsure and the person with a disability is not at any disadvantage.

#### **ASCII art**

picture created by a spatial arrangement of characters or glyphs (typically from the 95 printable characters defined by ASCII).

#### **assistive technology (as used in this document)**

hardware and/or software that acts as a user agent, or along with a mainstream user agent, to provide functionality to meet the requirements of users with disabilities that go beyond those offered by mainstream user agents

*Note 1:* functionality provided by assistive technology includes alternative presentations (e.g., as synthesized speech or magnified content), alternative input methods (e.g., voice), additional navigation or orientation mechanisms, and content transformations (e.g., to make tables more accessible).

*Note 2:* Assistive technologies often communicate data and messages with mainstream user agents by using and monitoring APIs.

*Note 3:* The distinction between mainstream user agents and assistive technologies is not absolute. Many mainstream user agents provide some features to assist individuals with disabilities. The basic difference is that mainstream user agents target broad and diverse audiences that usually include people with and without disabilities. Assistive technologies target narrowly defined populations of users with specific disabilities. The assistance provided by an assistive technology is more specific and appropriate to the needs of its target users. The mainstream user agent may provide important functionality to assistive technologies like retrieving Web content from program objects or parsing markup into identifiable bundles.

*Example:* Assistive technologies that are important in the context of this document include the following:

- screen magnifiers, and other visual reading assistants, which are used by people with visual, perceptual and physical print disabilities to change text font, size, spacing, color, synchronization with speech, etc. in order to improve the visual readability of rendered text and images;

- screen readers, which are used by people who are blind to read textual information through synthesized speech or braille;
- text-to-speech software, which is used by some people with cognitive, language, and learning disabilities to convert text into synthetic speech;
- speech recognition software, which may be used by people who have some physical disabilities;
- alternative keyboards, which are used by people with certain physical disabilities to simulate the keyboard (including alternate keyboards that use head pointers, single switches, sip/puff and other special input devices.);
- alternative pointing devices, which are used by people with certain physical disabilities to simulate mouse pointing and button activations.

## **audio**

the technology of sound reproduction

*Note:* Audio can be created synthetically (including speech synthesis), recorded from real world sounds, or both.

## **audio description**

narration added to the soundtrack to describe important visual details that cannot be understood from the main soundtrack alone

*Note 1:* Audio description of video provides information about actions, characters, scene changes, on-screen text, and other visual content.

*Note 2:* In standard audio description, narration is added during existing pauses in dialogue. (See also extended audio description.)

*Note 3:* Where all of the video information is already provided in existing audio, no additional audio description is necessary.

*Note 4:* Also called "video description" and "descriptive narration."

## **audio-only**

a time-based presentation that contains only audio (no video and no interaction)

## **blinking**

switch back and forth between two visual states in a way that is meant to draw attention

*Note:* See also flash. It is possible for something to be large enough and blink brightly enough at the right frequency to be also classified as a flash.

## **blocks of text**

more than one sentence of text

## **CAPTCHA**

initialism for "Completely Automated Public Turing test to tell Computers and Humans Apart"

*Note 1:* CAPTCHA tests often involve asking the user to type in text that is displayed in an obscured image or audio file.

*Note 2:* A Turing test is any system of tests designed to differentiate a human from a computer. It is named after famed computer scientist Alan Turing. The term was coined by researchers at Carnegie Mellon University. [CAPTCHA]

## **captions**

synchronized visual and/or text alternative for both speech and non-speech audio information needed to understand the media content

*Note 1:* Captions are similar to dialogue-only subtitles except captions convey not only the content of spoken dialogue, but also equivalents for non-dialogue audio information needed to understand the program content, including sound effects, music, laughter, speaker identification and location.

*Note 2:* Closed Captions are equivalents that can be turned on and off with some players.

*Note 3:* Open Captions are any captions that cannot be turned off. For example, if the captions are visual equivalent images of text embedded in video.

*Note 4:* Captions should not obscure or obstruct relevant information in the video.



*Note 5:* In some countries, captions are called subtitles.

*Note 6:* Audio descriptions can be, but do not need to be, captioned since they are descriptions of information that is already presented visually.

### **changes of context**

major changes in the content of the Web page that, if made without user awareness, can disorient users who are not able to view the entire page simultaneously

Changes in context include changes of:

1. user agent;
2. viewport;
3. focus;
4. content that changes the meaning of the Web page.

*Note:* A change of content is not always a change of context. Changes in content, such as an expanding outline, dynamic menu, or a tab control do not necessarily change the context, unless they also change one of the above (e.g., focus).

*Example:* Opening a new window, moving focus to a different component, going to a new page (including anything that would look to a user as if they had moved to a new page) or significantly re-arranging the content of a page are examples of changes of context.

### **conformance**

satisfying all the requirements of a given standard, guideline or specification

### **conforming alternate version**

version that

1. conforms at the designated level, and
2. provides all of the same information and functionality in the same human language, and
3. is as up to date as the non-conforming content, and
4. for which at least one of the following is true:
  - a. the conforming version can be reached from the non-conforming page via an accessibility-supported mechanism, or
  - b. the non-conforming version can only be reached from the conforming version, or
  - c. the non-conforming version can only be reached from a conforming page that also provides a mechanism to reach the conforming version

*Note 1:* In this definition, "can only be reached" means that there is some mechanism, such as a conditional redirect, that prevents a user from "reaching" (loading) the non-conforming page unless the user had just come from the conforming version.

*Note 2:* The alternate version does not need to be matched page for page with the original (e.g., the conforming alternate version may consist of multiple pages).

*Note 3:* If multiple language versions are available, then conforming alternate versions are required for each language offered.

*Note 4:* Alternate versions may be provided to accommodate different technology environments or user groups. Each version should be as conformant as possible. One version would need to be fully conformant in order to meet conformance requirement 1.

*Note 5:* The conforming alternative version does not need to reside within the scope of conformance, or even on the same Web site, as long as it is as freely available as the non-conforming version.

*Note 6:* Alternate versions should not be confused with supplementary content, which support the original page and enhance comprehension.

*Note 7:* Setting user preferences within the content to produce a conforming version is an acceptable mechanism for reaching another version as long as the method used to set the preferences is accessibility supported.

See Understanding Conforming Alternate Versions

### **content (Web content)**

information and sensory experience to be communicated to the user by means of a user agent, including code or markup that defines the content's structure, presentation, and interactions

**context-sensitive help**

help text that provides information related to the function currently being performed

*Note:* Clear labels can act as context-sensitive help.

**contrast ratio**

$(L1 + 0.05) / (L2 + 0.05)$ , where

- L1 is the relative luminance of the lighter of the colors, and
- L2 is the relative luminance of the darker of the colors.

*Note 1:* Contrast ratios can range from 1 to 21 (commonly written 1:1 to 21:1).

*Note 2:* Because authors do not have control over user settings as to how text is rendered (for example font smoothing or anti-aliasing), the contrast ratio for text can be evaluated with anti-aliasing turned off.

*Note 3:* For the purpose of Success Criteria 1.4.3 and 1.4.6, contrast is measured with respect to the specified background over which the text is rendered in normal usage. If no background color is specified, then white is assumed.

*Note 4:* Background color is the specified color of content over which the text is to be rendered in normal usage. It is a failure if no background color is specified when the text color is specified, because the user's default background color is unknown and cannot be evaluated for sufficient contrast. For the same reason, it is a failure if no text color is specified when a background color is specified.

*Note 5:* When there is a border around the letter, the border can add contrast and would be used in calculating the contrast between the letter and its background. A narrow border around the letter would be used as the letter. A wide border around the letter that fills in the inner details of the letters acts as a halo and would be considered background.

*Note 6:* WCAG conformance should be evaluated for color pairs specified in the content that an author would expect to appear adjacent in typical presentation. Authors need not consider unusual presentations, such as color changes made by the user agent, except where caused by authors' code.

**correct reading sequence**

any sequence where words and paragraphs are presented in an order that does not change the meaning of the content

**emergency**

a sudden, unexpected situation or occurrence that requires immediate action to preserve health, safety, or property

**essential**

if removed, would fundamentally change the information or functionality of the content, **and** information and functionality cannot be achieved in another way that would conform

**extended audio description**

audio description that is added to an audiovisual presentation by pausing the video so that there is time to add additional description

*Note:* This technique is only used when the sense of the video would be lost without the additional audio description and the pauses between dialogue/narration are too short.

**flash**

a pair of opposing changes in relative luminance that can cause seizures in some people if it is large enough and in the right frequency range

*Note 1:* See general flash and red flash thresholds for information about types of flash that are not allowed.

*Note 2:* See also blinking.

**functionality**

processes and outcomes achievable through user action

**general flash and red flash thresholds**

a flash or rapidly changing image sequence is below the threshold (i.e., content **passes**) if any of the following are true:

1. there are no more than three **general flashes** and / or no more than three **red flashes** within any one-second period; or
2. the combined area of flashes occurring concurrently occupies no more than a total of .006 steradians within any 10 degree visual field on the screen (25% of any 10 degree visual field on the screen) at typical viewing distance

where:

- A **general flash** is defined as a pair of opposing changes in relative luminance of 10% or more of the maximum relative luminance where the relative luminance of the darker image is below 0.80; and where "a pair of opposing changes" is an increase followed by a decrease, or a decrease followed by an increase, and
- A **red flash** is defined as any pair of opposing transitions involving a saturated red.

*Exception:* Flashing that is a fine, balanced, pattern such as white noise or an alternating checkerboard pattern with "squares" smaller than 0.1 degree (of visual field at typical viewing distance) on a side does not violate the thresholds.

*Note 1:* For general software or Web content, using a 341 x 256 pixel rectangle anywhere on the displayed screen area when the content is viewed at 1024 x 768 pixels will provide a good estimate of a 10 degree visual field for standard screen sizes and viewing distances (e.g., 15-17 inch screen at 22-26 inches). (Higher resolutions displays showing the same rendering of the content yield smaller and safer images so it is lower resolutions that are used to define the thresholds.)

*Note 2:* A transition is the change in relative luminance (or relative luminance/color for red flashing) between adjacent peaks and valleys in a plot of relative luminance (or relative luminance/color for red flashing) measurement against time. A flash consists of two opposing transitions.

*Note 3:* The current working definition in the field for "**pair of opposing transitions involving a saturated red**" is where, for either or both states involved in each transition,  $R/(R + G + B) \geq 0.8$ , and the change in the value of  $(R-G-B) \times 320$  is  $> 20$  (negative values of  $(R-G-B) \times 320$  are set to zero) for both transitions. R, G, B values range from 0-1 as specified in "relative luminance" definition. [HARDING-BINNIE]

*Note 4:* Tools are available that will carry out analysis from video screen capture. However, no tool is necessary to evaluate for this condition if flashing is less than or equal to 3 flashes in any one second. Content automatically passes (see #1 and #2 above).

## human language

language that is spoken, written or signed (through visual or tactile means) to communicate with humans

*Note:* See also sign language.

## idiom

phrase whose meaning cannot be deduced from the meaning of the individual words and the specific words cannot be changed without losing the meaning

*Note:* idioms cannot be translated directly, word for word, without losing their (cultural or language-dependent) meaning.

*Example 1:* In English, "spilling the beans" means "revealing a secret." However, "knocking over the beans" or "spilling the vegetables" does not mean the same thing.

*Example 2:* In Japanese, the phrase "さじを投げる" literally translates into "he throws a spoon," but it means that there is nothing he can do and finally he gives up.

*Example 3:* In Dutch, "Hij ging met de kippen op stok" literally translates into "He went to roost with the chickens," but it means that he went to bed early.

## image of text

text that has been rendered in a non-text form (e.g., an image) in order to achieve a particular visual effect

*Note:* This does not include text that is part of a picture that contains significant other visual content.

*Example:* A person's name on a nametag in a photograph.

#### **informative**

for information purposes and not required for conformance

*Note:* Content required for conformance is referred to as "normative."

#### **input error**

information provided by the user that is not accepted

*Note:* This includes:

1. Information that is required by the Web page but omitted by the user
2. Information that is provided by the user but that falls outside the required data format or values

#### **jargon**

words used in a particular way by people in a particular field

*Example:* The word StickyKeys is jargon from the field of assistive technology/accessibility.

#### **keyboard interface**

interface used by software to obtain keystroke input

*Note 1:* A keyboard interface allows users to provide keystroke input to programs even if the native technology does not contain a keyboard.

*Example:* A touchscreen PDA has a keyboard interface built into its operating system as well as a connector for external keyboards. Applications on the PDA can use the interface to obtain keyboard input either from an external keyboard or from other applications that provide simulated keyboard output, such as handwriting interpreters or speech-to-text applications with "keyboard emulation" functionality.

*Note 2:* Operation of the application (or parts of the application) through a keyboard-operated mouse emulator, such as MouseKeys, does not qualify as operation through a keyboard interface because operation of the program is through its pointing device interface, not through its keyboard interface.

#### **label**

text or other component with a text alternative that is presented to a user to identify a component within Web content

*Note 1:* A label is presented to all users whereas the name may be hidden and only exposed by assistive technology. In many (but not all) cases the name and the label are the same.

*Note 2:* The term label is not limited to the label element in HTML.

#### **large scale (text)**

with at least 18 point or 14 point bold or font size that would yield equivalent size for Chinese, Japanese and Korean (CJK) fonts

*Note 1:* Fonts with extraordinarily thin strokes or unusual features and characteristics that reduce the familiarity of their letter forms are harder to read, especially at lower contrast levels.

*Note 2:* Font size is the size when the content is delivered. It does not include resizing that may be done by a user.

*Note 3:* The actual size of the character that a user sees is dependent both on the author-defined size and the user's display or user-agent settings. For many mainstream body text fonts, 14 and 18 point is roughly equivalent to 1.2 and 1.5 em or to 120% or 150% of the default size for body text (assuming that the body font is 100%), but authors would need to check this for the particular fonts in use. When fonts are defined in relative units, the actual point size is calculated by the user agent for display. The point size should be obtained from the user agent, or calculated based on font metrics as the user agent does, when evaluating this success criterion. Users who have low vision would be responsible for choosing appropriate settings.

*Note 4:* When using text without specifying the font size, the smallest font size used on major browsers for unspecified text would be a reasonable size to assume for the font. If a level 1 heading is rendered in 14pt bold or higher on major browsers, then it would be reasonable to assume it is large text. Relative scaling can be calculated from the default sizes in a similar fashion.

*Note 5:* The 18 and 14 point sizes for roman texts are taken from the minimum size for large print (14pt) and the larger standard font size (18pt). For other fonts such as CJK languages, the "equivalent" sizes would be

the minimum large print size used for those languages and the next larger standard large print size.

**legal commitments**

transactions where the person incurs a legally binding obligation or benefit

*Example:* A marriage license, a stock trade (financial and legal), a will, a loan, adoption, signing up for the army, a contract of any type, etc.

**link purpose**

nature of the result obtained by activating a hyperlink

**live**

information captured from a real-world event and transmitted to the receiver with no more than a broadcast delay

*Note 1:* A broadcast delay is a short (usually automated) delay, for example used in order to give the broadcaster time to queue or censor the audio (or video) feed, but not sufficient to allow significant editing.

*Note 2:* If information is completely computer generated, it is not live.

**lower secondary education level**

the two or three year period of education that begins after completion of six years of school and ends nine years after the beginning of primary education

*Note:* This definition is based on the International Standard Classification of Education [UNESCO].

**mechanism**

process or technique for achieving a result

*Note 1:* The mechanism may be explicitly provided in the content, or may be relied upon to be provided by either the platform or by user agents, including assistive technologies.

*Note 2:* The mechanism needs to meet all success criteria for the conformance level claimed.

**media alternative for text**

media that presents no more information than is already presented in text (directly or via text alternatives)

*Note:* A media alternative for text is provided for those who benefit from alternate representations of text. Media alternatives for text may be audio-only, video-only (including sign-language video), or audio-video.

**name**

text by which software can identify a component within Web content to the user

*Note 1:* The name may be hidden and only exposed by assistive technology, whereas a label is presented to all users. In many (but not all) cases, the label and the name are the same.

*Note 2:* This is unrelated to the name attribute in HTML.

**navigated sequentially**

navigated in the order defined for advancing focus (from one element to the next) using a keyboard interface

**non-text content**

any content that is not a sequence of characters that can be programmatically determined or where the sequence is not expressing something in human language

*Note:* This includes ASCII Art (which is a pattern of characters), emoticons, leetspeak (which uses character substitution), and images representing text

**normative**

required for conformance

*Note 1:* One may conform in a variety of well-defined ways to this document.

*Note 2:* Content identified as "informative" or "non-normative" is never required for conformance.

**on a full-screen window**

on the most common sized desktop/laptop display with the viewport maximized

*Note:* Since people generally keep their computers for several years, it is best not to rely on the latest desktop/laptop display resolutions but to consider the common desktop/laptop display resolutions over the course of several years when making this evaluation.

**paused**

stopped by user request and not resumed until requested by user

**prerecorded**

information that is not live

**presentation**

rendering of the content in a form to be perceived by users

**primary education level**

six year time period that begins between the ages of five and seven, possibly without any previous education

*Note:* This definition is based on the International Standard Classification of Education [UNESCO].

**process**

series of user actions where each action is required in order to complete an activity

*Example 1:* Successful use of a series of Web pages on a shopping site requires users to view alternative products, prices and offers, select products, submit an order, provide shipping information and provide payment information.

*Example 2:* An account registration page requires successful completion of a Turing test before the registration form can be accessed.

**programmatically determined (programmatically determinable)**

determined by software from author-supplied data provided in a way that different user agents, including assistive technologies, can extract and present this information to users in different modalities

*Example 1:* Determined in a markup language from elements and attributes that are accessed directly by commonly available assistive technology.

*Example 2:* Determined from technology-specific data structures in a non-markup language and exposed to assistive technology via an accessibility API that is supported by commonly available assistive technology.

**programmatically determined link context**

additional information that can be programmatically determined from relationships with a link, combined with the link text, and presented to users in different modalities

*Example:* In HTML, information that is programmatically determinable from a link in English includes text that is in the same paragraph, list, or table cell as the link or in a table header cell that is associated with the table cell that contains the link.

*Note:* Since screen readers interpret punctuation, they can also provide the context from the current sentence, when the focus is on a link in that sentence.

**programmatically set**

set by software using methods that are supported by user agents, including assistive technologies

**pure decoration**

serving only an aesthetic purpose, providing no information, and having no functionality

*Note:* Text is only purely decorative if the words can be rearranged or substituted without changing their purpose.

*Example:* The cover page of a dictionary has random words in very light text in the background.

**real-time event**

event that a) occurs at the same time as the viewing and b) is not completely generated by the content

*Example 1:* A Webcast of a live performance (occurs at the same time as the viewing and is not prerecorded).

*Example 2:* An on-line auction with people bidding (occurs at the same time as the viewing).

*Example 3:* Live humans interacting in a virtual world using avatars (is not completely generated by the content and occurs at the same time as the viewing).

**relationships**

meaningful associations between distinct pieces of content

**relative luminance**

the relative brightness of any point in a colorspace, normalized to 0 for darkest black and 1 for lightest white

*Note 1:* For the sRGB colorspace, the relative luminance of a color is defined as  $L = 0.2126 * R + 0.7152 * G + 0.0722 * B$  where **R**, **G** and **B** are defined as:

- if  $R_{sRGB} \leq 0.03928$  then  $R = R_{sRGB}/12.92$  else  $R = ((R_{sRGB} + 0.055)/1.055) ^ 2.4$
- if  $G_{sRGB} \leq 0.03928$  then  $G = G_{sRGB}/12.92$  else  $G = ((G_{sRGB} + 0.055)/1.055) ^ 2.4$
- if  $B_{sRGB} \leq 0.03928$  then  $B = B_{sRGB}/12.92$  else  $B = ((B_{sRGB} + 0.055)/1.055) ^ 2.4$

and  $R_{sRGB}$ ,  $G_{sRGB}$ , and  $B_{sRGB}$  are defined as:

- $R_{sRGB} = R_{8bit}/255$
- $G_{sRGB} = G_{8bit}/255$
- $B_{sRGB} = B_{8bit}/255$

The "^" character is the exponentiation operator. (Formula taken from [\[sRGB\]](#) and [\[IEC-4WD\]](#)).

*Note 2:* Almost all systems used today to view Web content assume sRGB encoding. Unless it is known that another color space will be used to process and display the content, authors should evaluate using sRGB colorspace. If using other color spaces, see [Understanding Success Criterion 1.4.3](#).

*Note 3:* If dithering occurs after delivery, then the source color value is used. For colors that are dithered at the source, the average values of the colors that are dithered should be used (average R, average G, and average B).

*Note 4:* Tools are available that automatically do the calculations when testing contrast and flash.

*Note 5:* A [MathML version of the relative luminance definition](#) is available.

**relied upon (technologies that are)**

the content would not conform if that technology is turned off or is not supported

**role**

text or number by which software can identify the function of a component within Web content

*Example:* A number that indicates whether an image functions as a hyperlink, command button, or check box.

**same functionality**

same result when used

*Example:* A submit "search" button on one Web page and a "find" button on another Web page may both have a field to enter a term and list topics in the Web site related to the term submitted. In this case, they would have the same functionality but would not be labeled consistently.

**same relative order**

same position relative to other items

*Note:* Items are considered to be in the same relative order even if other items are inserted or removed from the original order. For example, expanding navigation menus may insert an additional level of detail or a secondary navigation section may be inserted into the reading order.

**satisfies a success criterion**

the success criterion does not evaluate to 'false' when applied to the page

**section**

A self-contained portion of written content that deals with one or more related topics or thoughts

*Note:* A section may consist of one or more paragraphs and include graphics, tables, lists and sub-sections.

**set of Web pages**

collection of Web pages that share a common purpose and that are created by the same author, group or organization

*Note:* Different language versions would be considered different sets of Web pages.

**sign language**

a language using combinations of movements of the hands and arms, facial expressions, or body positions to convey meaning

**sign language interpretation**

translation of one language, generally a spoken language, into a sign language

*Note:* True sign languages are independent languages that are unrelated to the spoken language(s) of the same country or region.

**specific sensory experience**

a sensory experience that is not purely decorative and does not primarily convey important information or perform a function

*Example:* Examples include a performance of a flute solo, works of visual art etc.

**structure**

1. The way the parts of a Web page are organized in relation to each other; and
2. The way a collection of Web pages is organized

**supplemental content**

additional content that illustrates or clarifies the primary content

*Example 1:* An audio version of a Web page.

*Example 2:* An illustration of a complex process.

*Example 3:* A paragraph summarizing the major outcomes and recommendations made in a research study.

**synchronized media**

audio or video synchronized with another format for presenting information and/or with time-based interactive components, unless the media is a media alternative for text that is clearly labeled as such

**technology (Web content)**

mechanism for encoding instructions to be rendered, played or executed by user agents

*Note 1:* As used in these guidelines "Web Technology" and the word "technology" (when used alone) both refer to Web Content Technologies.

*Note 2:* Web content technologies may include markup languages, data formats, or programming languages that authors may use alone or in combination to create end-user experiences that range from static Web pages to synchronized media presentations to dynamic Web applications.

*Example:* Some common examples of Web content technologies include HTML, CSS, SVG, PNG, PDF, Flash, and JavaScript.

**text**

sequence of characters that can be programmatically determined, where the sequence is expressing something in human language

**text alternative**

Text that is programmatically associated with non-text content or referred to from text that is programmatically associated with non-text content. Programmatically associated text is text whose location can be programmatically determined from the non-text content.

*Example:* An image of a chart is described in text in the paragraph after the chart. The short text alternative for the chart indicates that a description follows.

*Note:* Refer to Understanding Text Alternatives for more information.

**used in an unusual or restricted way**

words used in such a way that requires users to know exactly which definition to apply in order to understand the content correctly

*Example:* The term "gig" means something different if it occurs in a discussion of music concerts than it does in article about computer hard drive space, but the appropriate definition can be determined from



context. By contrast, the word "text" is used in a very specific way in WCAG 2.0, so a definition is supplied in the glossary.

**user agent**

any software that retrieves and presents Web content for users

*Example:* Web browsers, media players, plug-ins, and other programs — including assistive technologies — that help in retrieving, rendering, and interacting with Web content.

**user-controllable**

data that is intended to be accessed by users

*Note:* This does not refer to such things as Internet logs and search engine monitoring data.

*Example:* Name and address fields for a user's account.

**user interface component**

a part of the content that is perceived by users as a single control for a distinct function

*Note 1:* Multiple user interface components may be implemented as a single programmatic element.

Components here is not tied to programming techniques, but rather to what the user perceives as separate controls.

*Note 2:* User interface components include form elements and links as well as components generated by scripts.

*Example:* An applet has a "control" that can be used to move through content by line or page or random access. Since each of these would need to have a name and be settable independently, they would each be a "user interface component."

**video**

the technology of moving or sequenced pictures or images

*Note:* Video can be made up of animated or photographic images, or both.

**video-only**

a time-based presentation that contains only video (no audio and no interaction)

**viewport**

object in which the user agent presents content

*Note 1:* The user agent presents content through one or more viewports. Viewports include windows, frames, loudspeakers, and virtual magnifying glasses. A viewport may contain another viewport (e.g., nested frames). Interface components created by the user agent such as prompts, menus, and alerts are not viewports.

*Note 2:* This definition is based on User Agent Accessibility Guidelines 1.0 Glossary.

**visually customized**

the font, size, color, and background can be set

**Web page**

a non-embedded resource obtained from a single URI using HTTP plus any other resources that are used in the rendering or intended to be rendered together with it by a user agent

*Note 1:* Although any "other resources" would be rendered together with the primary resource, they would not necessarily be rendered simultaneously with each other.

*Note 2:* For the purposes of conformance with these guidelines, a resource must be "non-embedded" within the scope of conformance to be considered a Web page.

*Example 1:* A Web resource including all embedded images and media.

*Example 2:* A Web mail program built using Asynchronous JavaScript and XML (AJAX). The program lives entirely at <http://example.com/mail>, but includes an inbox, a contacts area and a calendar. Links or buttons are provided that cause the inbox, contacts, or calendar to display, but do not change the URI of the page as a whole.

*Example 3:* A customizable portal site, where users can choose content to display from a set of different content modules.

*Example 4:* When you enter "http://shopping.example.com/" in your browser, you enter a movie-like interactive shopping environment where you visually move around in a store dragging products off of the shelves around you and into a visual shopping cart in front of you. Clicking on a product causes it to be demonstrated with a specification sheet floating alongside. This might be a single-page Web site or just one page within a Web site.

## Appendix B: Acknowledgments

This section is informative.

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Additional information about participation in the Web Content Accessibility Guidelines Working Group (WCAG WG) can be found on the [Working Group home page](#).

### Participants active in the WCAG WG at the time of publication

- Bruce Bailey (U.S. Access Board)
- Frederick Boland (NIST)
- Ben Caldwell (Trace R&D Center, University of Wisconsin)
- Sofia Celic (W3C Invited Expert)
- Michael Cooper (W3C)
- Roberto Ellero (International Webmasters Association / HTML Writers Guild)
- Bengt Farre (Rigab)
- Loretta Guarino Reid (Google)
- Katie Haritos-Shea
- Andrew Kirkpatrick (Adobe)
- Drew LaHart (IBM)
- Alex Li (SAP AG)
- David MacDonald (E-Ramp Inc.)
- Roberto Scano (International Webmasters Association / HTML Writers Guild)
- Cynthia Shelly (Microsoft)
- Andi Snow-Weaver (IBM)
- Christophe Strobbe (DocArch, K.U.Leuven)
- Gregg Vanderheiden (Trace R&D Center, University of Wisconsin)

### Other previously active WCAG WG participants and other contributors to WCAG 2.0

Shadi Abou-Zahra, Jim Allan, Jenae Andershonis, Avi Arditti, Aries Arditi, Mike Barta, Sandy Bartell, Kynn Bartlett, Marco Bertoni, Harvey Bingham, Chris Blouch, Paul Bohman, Patrice Bourlon, Judy Brewer, Andy Brown, Dick Brown, Doyle Burnett, Raven Calais, Tomas Caspers, Roberto Castaldo, Sambhavi Chandrashekar, Mike Cherim, Jonathan Chetwynd, Wendy Chisholm, Alan Chuter, David M Clark, Joe Clark, James Coltham, James Craig, Tom Croucher, Nir Dagan, Daniel Dardailler, Geoff Deering, Pete DeVasto, Don Evans, Neal Ewers, Steve Faulkner, Lainey Feingold, Alan J. Flavell, Nikolaos Floratos, Kentarou Fukuda, Miguel Garcia, P.J. Gardner, Greg Gay, Becky Gibson, Al Gilman, Kerstin Goldsmith, Michael Grade, Jon Gunderson, Emmanuelle Gutiérrez y Restrepo, Brian Hardy, Eric Hansen, Sean Hayes, Shawn Henry, Hans Hillen, Donovan Hipke, Bjoern Hoehrmann, Chris Hofstadter, Yvette Hoitink, Carlos Iglesias, Ian Jacobs, Phill Jenkins, Jyotsna Kaki, Leonard R. Kasday, Kazuhito Kidachi, Ken Kipness, Marja-Riitta Koivunen, Preety Kumar, Gez Lemon, Chuck Letourneau, Scott Luebking, Tim Lacy, Jim Ley, William Loughborough, Greg Lowney, Luca Mascaro, Liam McGee, Jens Meiert, Niqui Merret, Alessandro Miele, Mathew J Mirabella, Charles McCathieNeville, Matt May, Marti McCuller, SORCHA Moore, Charles

F. Munat, Robert Neff, Bruno von Niman, Tim Noonan, Sebastiano Nutarelli, Graham Oliver, Sean B. Palmer, Sailesh Panchang, Nigel Peck, Anne Pemberton, David Poehlman, Adam Victor Reed, Chris Ridpath, Lee Roberts, Gregory J. Rosmaita, Matthew Ross, Sharron Rush, Gian Sampson-Wild, Joel Sanda, Gordon Schantz, Lisa Seeman, John Slatin, Becky Smith, Jared Smith, Neil Soiffer, Jeanne Spellman, Mike Squillace, Michael Stenitzer, Jim Thatcher, Terry Thompson, Justin Thorp, Makoto Ueki, Eric Velleman, Dena Wainwright, Paul Walsch, Takayuki Watanabe, Jason White.

## Appendix C: References

This section is informative.

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