

PART III: Before You Begin...

GUIDELINES FOR COMPLETING THE SURVEY

This section provides an overview of particular items on the forms and provides guidelines for filling out and completing the survey. Before you begin filling out the survey forms, please carefully read through these guidelines and the instructions on the back of the forms. **Note: use only the 2003 survey forms in this packet; do not use any previous consumer product survey forms.**

Who Must Complete the Survey?

Each *responsible party* must complete the entire survey. For the purpose of this survey, the "*responsible party*" means the company, firm, or establishment listed on the label of a consumer or commercial product reportable under this survey (see survey categories in Attachment A, and "Types of Products to Report... and Not Report" on page III-3) that was sold with intention for use in California during Calendar Year 2003. If the label lists two companies, firms, or establishments, the responsible party is the party that the product was "manufactured for" or "distributed by," as noted on the label.

If you are a *responsible party* for any product reportable under this survey (see survey categories, Attachment A), this survey is mandatory and must be submitted to the ARB by March 15, 2005. Companies that do not return a completed survey by the due date, will have violated state regulations, and will be referred to the ARB's Enforcement Division for appropriate enforcement action.

**The survey must be received
from both the *responsible party*
and *formulator* by
March 15, 2005.**

For the purposes of this survey, the "*formulator*" means a company/person, other than the *responsible party*, that holds the ingredient information for a product. Because many *responsible parties* do not hold their own formulas, it is expected that many *formulators* will be submitting product ingredient information directly to the ARB. FORM 2 has been provided for *responsible parties* to identify *formulators* submitting ingredient information on behalf of their company. If you are using a *formulator*, you need to send the copy of the ingredient form (FORM 4) to your *formulator* in a timely manner to allow completion before the due date. The *responsible party* is ultimately responsible for ensuring all survey data are submitted to the ARB by the due date.

The *formulator's* primary responsibility is to complete FORM 4(s) on behalf of a *responsible party*, after the *responsible party* forwards the FORM 4(s) to the *formulator*. Per California State Law, *formulators* are required to submit this data to the ARB. *Formulators* are encouraged to become familiar with the survey packet and the types of data requested, in preparation for completing their portion of the survey.

The completed survey must be received by the ARB from both the *responsible party* and the *formulator* by March 15, 2005.

Designation of Confidential Information

State law protects the confidentiality of trade secrets (title 17, CCR, sections 91000-91022). The Confidential Information Form on page IV-2 provides a summary of these regulations and the full citation of these sections is provided in Attachment B. The ARB has many years of experience in handling confidential information and takes its responsibilities very seriously. All confidential information will be kept in designated, locked file cabinets and will only be accessible to authorized ARB staff on an "as needed" basis.

If you wish to designate information as confidential, fill out the Confidential Information Form on page IV-2 and check the confidential box on each form as described. The confidential boxes, like the one shown to the left, are located in the upper left-hand corner of all forms. All information that is designated as confidential will be handled in strict accordance with ARB confidentiality regulations and policies.

Check (✓) if
Confidential

Types of Products to Report... and not to Report

This survey is intended to collect information about chemically formulated *consumer* and *commercial products* used by households and institutions (such as commercial, service, and government establishments), and products used by industrial entities for the maintenance or operation of their facilities. Reportable under this survey are products sold with intention for use in California, during Calendar Year 2003. This survey is not intended to collect information about *industrial products* used exclusively for on-site manufacture or construction of goods or commodities, with the exception of thinners, reducers, and industrial aerosol adhesives. Please note, products that do not contain VOCs must still be reported.

Prescription-only drugs are not covered by this survey and do not need to be reported. However, for the purposes of this survey, over-the-counter drugs (OTC), anti-microbial, and health benefit products must be reported. While *pet care products* are consumer products that must also be reported, please note that only *pet care products* that fall under categories included in Attachment A need to be reported; all other *pet care products* are planned to be included in the 2005 Survey, which will take place in 2006.

The comprehensive list of product categories covered by this survey has been provided in Attachment A. Please note that although the category list is comprehensive, selected products are proposed for the next survey, which will take place in 2006 for Calendar Year 2005 sales.

The following is a list of products and product types not to report (*italicized terms* are defined in Part VII):

- ***Aerosol Coating Products*** (will be surveyed for 2005)
- ***Agricultural use products***
- ***Architectural Coatings***
- ***Articles***
- ***Brake fluid***
- ***Commercial Dry Cleaning Fluids***
- **Drugs intended for ingestion**
- ***Fuel Additives***
- ***Furniture Coatings, other paint products***
- ***Industrial products used exclusively*** for on-site manufacture or construction of goods or commodities
- ***Laboratory Reagents***
- **Non-Aerosol Adhesives that weigh more than one pound and consist of more than 16 fluid ounces**
- ***Non-Aerosol Undercoatings***
- **Pesticide products that are restricted materials and that require a permit for use and possession**
- **Prescription-only drugs**
- **Refrigerants**
- **Sealants and caulking compounds that weigh more than one pound and consist of more than 16 fluid ounces**
- **Categories designated for 2005 Survey (will take place in 2006); look for "****" survey code designations on the product category list (Attachment A)**

Survey Definitions

To help you complete the survey, many definitions have been included in the survey packet (see Part VII).

Definitions for Bolded Categories. The definitions for the bolded categories in the category list, which are ARB defined categories, have been included, beginning on page VII-2. These definitions should not be used as a basis for deciding to report or not report a product. Products that do not fall into a defined category are likely required to be reported under a different category code. *Please note that some definitions are in strikeout/underline format, which reflects changes from the recent 2004 Consumer Products Regulation Amendments that have not yet been approved by the California Office of Administrative Law (OAL).*

Related Definitions. To help clarify italicized terms used throughout the survey, many related definitions have been provided, beginning on page VII-18. Many of these definitions were developed for survey purposes and are intended for survey purposes only. *Please note that some definitions are in strikeout/underline format, which reflects changes from the recent 2004 Consumer Products Regulation Amendments that have not yet been approved by the California Office of Administrative Law (OAL).*

Reporting Products

This section provides instruction on how to report specific products and keep track of multiple products when submitting the survey.

Locating Categories and Codes on the List. A list of the survey categories with their respective ARB survey codes has been provided in Attachment A. On FORM 3, Item 3 "Primary Category Code," you must enter the category code from this list that best describes your product according to the product's *principal display panel*.

The following steps will help guide you through the category list, help you determine which categories your products fall under, and how to choose the category codes for your reportable products.

1) Review guidelines.

Review the guidelines on page III-3 for which products need to be reported and not reported.

2) Browse the list.

Browse the entire category list, Attachment A, to get an idea for where your products will fall. *Take note of the list organization, including the major market sectors and major product headings, which should guide you through the list.*

3) Locate the product category that best describes your product.

Once you have narrowed your choices down to a major product category, look for the specific category in the list that best describes your product. If you have experience with the Consumer Products Regulation, you may know that your product falls into a defined and/or regulated category. If this is the case, choose that category for your product. If you are unsure, or know that your product does not fall into a defined and/or regulated category, choose the category that best describes your product.

Note: The bolded categories are defined in the Consumer Products Regulation and the definitions can be found in Part VII.

Continued....

4) Assess if your product is reportable for this survey.

Look to the left of the category title you've chosen in Attachment A to see if the product is reportable for the 2003 survey. If a 5-digit code is present, the product is reportable. If asterisks are present (***), then you do not need to report the product for this survey; it is proposed for the next survey effort, which will take place in 2006 for Calendar Year 2005 sales.

5) List the product's category code on FORM 3.

For reportable products, list the 5-digit category code under item 3 on FORM 3. See the next item concerning products that fall under more than one category code.

Multiple Categories Codes. There is space on Form 3, item 3, for listing additional category codes for products that fit into more than one survey category according to their *principal display panel*. The "Additional Category Codes" field has been included in this survey because of the unique products being surveyed that have multiple-use claims listed on their *principal display panel*. If your product fits into more than one category, you should list these additional category codes.



For example: a 3-in-1 nail product that is a nail polish primarily, but also has topcoat and base coat claims listed on the *principal display panel*, would require three different category codes: a primary category code of 30906 for nail polish, and the additional category codes of 30911 for topcoat, and 30903 for base coat/undercoat.

Grouping of Products. Rather than reporting very similar products multiple times, a single *product group* may be reported. If a group of products meets the requirements for grouping as defined below, only one FORM 3 and one FORM 4 is required for that *product group*. Note that products with more than two percent variation in VOC content cannot be grouped. Also note that if your products meet the criteria for grouping, and you do report products as a group, you will need to list the details of the group on the Supplement to FORM 3.

Product Group means a group of products represented together for the purposes of this survey that differ only by size, color, botanical/herbal extract, and/or *fragrance*, and meet all of the following grouping requirements:

- 1) All products must have the same Category Code(s);
- 2) All products must be the same dispensed form (e.g. liquid, solid, mist/dispersed spray etc., from the choices in item 6 on FORM 3); and
- 3) Grouped products must have no greater than two percent variation in total VOC content, where the difference is only due to the type or amount of *fragrance*, colorant, or botanical/herbal extracts.

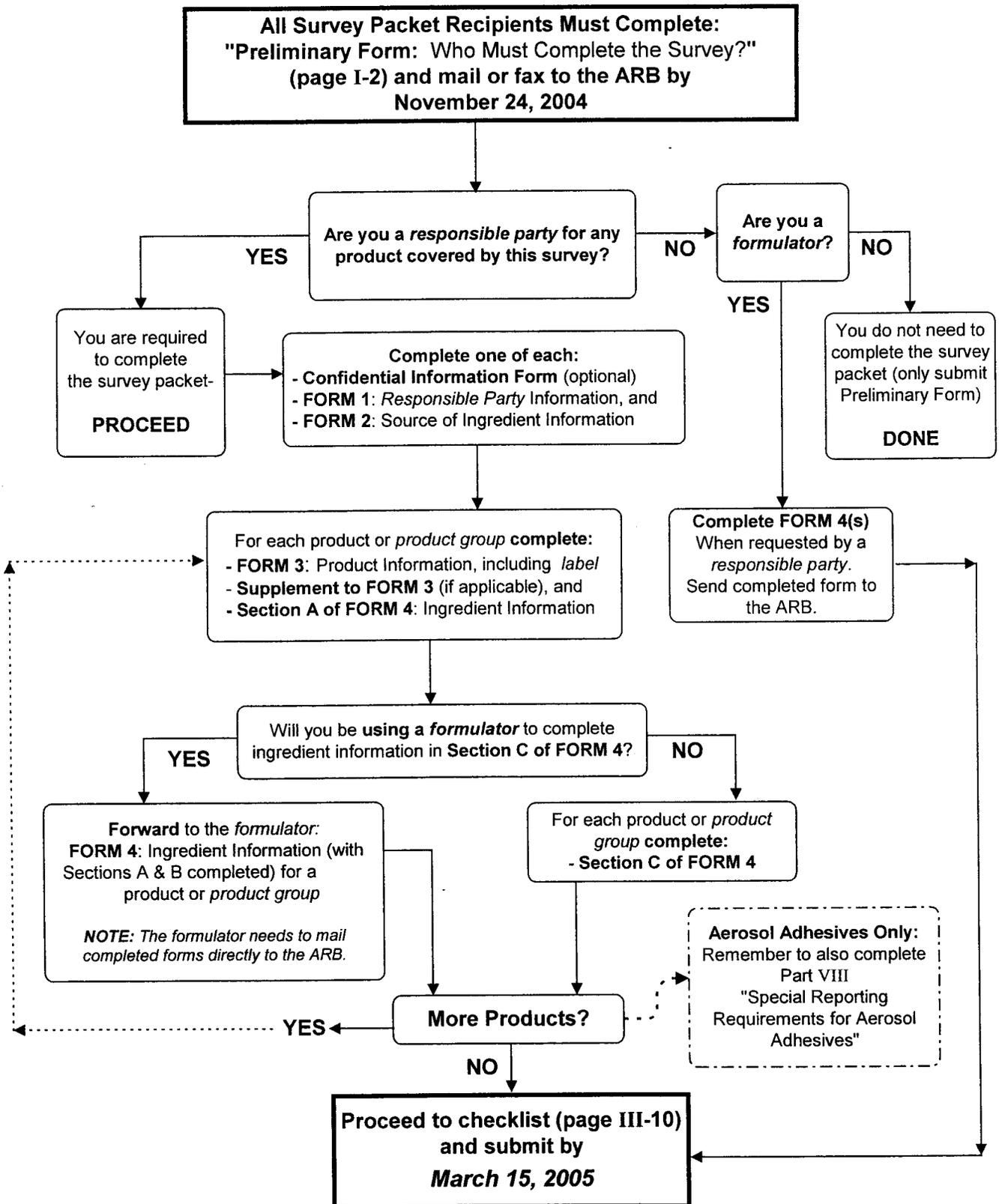
Using Product Tracking Numbers. For each product or *product group*, a "product tracking number" must be assigned by the *responsible party* to associate all related forms and *labels* that provide data for each product or *product group*. The *responsible party* must assign a sequential (1,2,3,4...) tracking number for each product or *product group* submitted. The number should then be entered into the "Product Tracking #" box, like the one shown to the right, which is located in the upper right corner of FORM 3, the Supplement to FORM 3, and FORM 4.

Product Tracking #:

For example: the first product submitted will have a "1" written into the "Product Tracking #" box on both FORM 3 and FORM 4 for that product; the second product will have a "2" in the "Product Tracking #" box on both FORM 3 and FORM 4; and so on. This tracking number is also used on FORM 2, the Supplement to FORM 3, and to identify the label.

Flowchart for Completing the Survey

This flowchart has been provided as an aid to guide respondents in completing this survey. Respondents can use this chart to ensure that they understand the steps in completing survey forms.



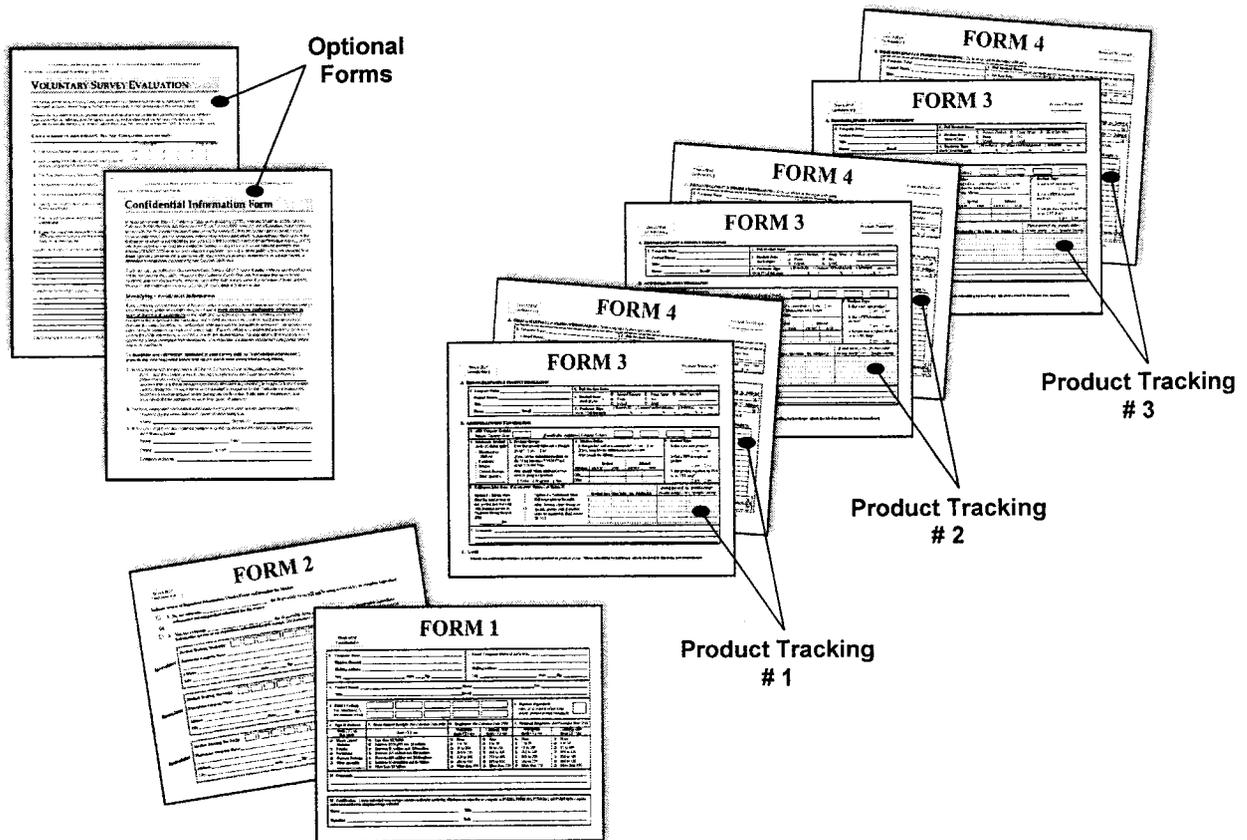
SUBMITTING THE COMPLETED SURVEY

This section provides details about the two options to complete and submit the survey (hardcopy and electronic options), how to submit the survey once complete, and how to submit product *labels*. Choose only one submission option, either the hardcopy option or the electronic option as described below. A checklist is also provided to reference before mailing the survey back to ARB.

Hardcopy Option

Hardcopy versions of the survey forms are available to *responsible parties* and *formulators*. The forms may be typed or filled out by hand. Once completed, mail the hardcopies to one of the addresses listed below in the "Mailing" section.

Responsible Parties: When mailing hardcopies, assemble the forms in such a way as to keep related forms together, as shown in the example below.



Formulators: If you will be submitting ingredient information (FORM 4(s)) on behalf of a *responsible party*, after the *responsible party* has forwarded hardcopy FORM 4(s) to you, you will need to complete Section C, the ingredient portion of the form(s), and then mail the form(s) to the ARB. Note that the *responsible party* is required to provide the full product name and tracking # on the FORM 4(s) before sending them to you. Ensure that you identify the full product name and tracking # as chosen by the *responsible party* prior to submitting FORM 4(s) to the ARB. These important items allow ARB staff to link your ingredient information to corresponding product information that the *responsible party* will be submitting.

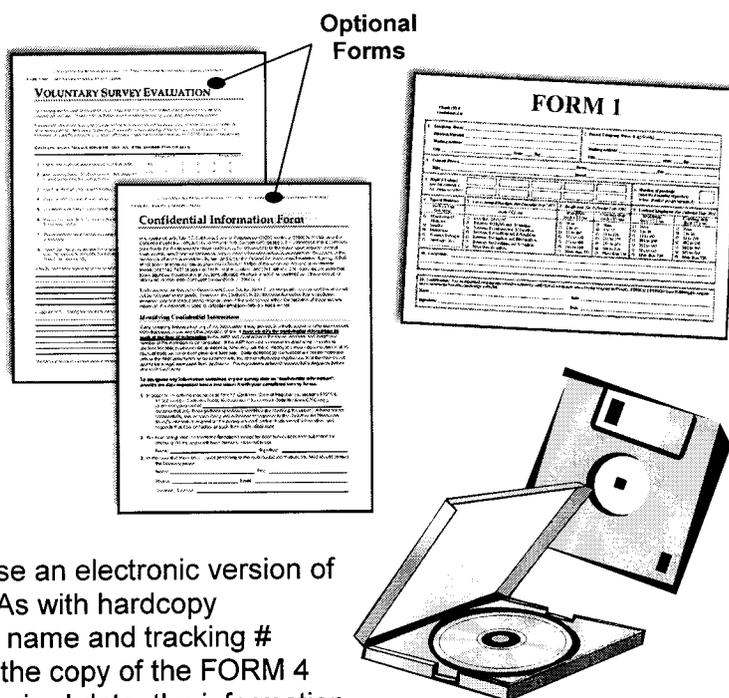
Electronic Option

Two interactive electronic versions of the survey, one for *responsible parties* and one for *formulators*, are being offered to assist you in filling out the forms. To save time, the electronic versions will automatically fill in duplicative areas on the forms and allow you to generate reports after entering the survey data. To simplify and streamline the data gathering process, we strongly encourage using the electronic submittal options.

Responsible Parties: The electronic version for *responsible parties* allows you to type your responses to FORMS 1, 2, 3, and 4 (if applicable). Following the entry of all required data, the information should be saved to a disc and mailed to the ARB, along with a completed hardcopy of FORM 1. If applicable, also include one hardcopy of the Confidential Information Form and the Voluntary Survey Evaluation. Note that while most information on FORM 1 can be entered electronically, an original signature is required (thus, a hardcopy must be printed and sent to the ARB).

Formulators: If you will be submitting ingredient information (FORM 4) on behalf of a *responsible party*, you have the option to use an electronic version of FORM 4 designed specifically for *formulators*. As with hardcopy submittal, you must first acquire the full product name and tracking # from the *responsible party*, which should be on the copy of the FORM 4 that is sent to you. Following the entry of all required data, the information should be saved to a disc and mailed to the ARB (see mailing addresses below). If applicable, send a hardcopy of the Confidential Information Form and the Voluntary Survey Evaluation with the disc. You may submit FORM 4(s) for multiple *responsible parties* on one disc.

Contact Jessica Dean via e-mail at jdean@arb.ca.gov to request either of the two electronic versions of the survey, which will be mailed to you on a compact disc (CD). In your email, make sure to specify whether you are requesting the *responsible party* version or the *formulator* version, by typing in the subject line either "**Responsible Party CD Request**" or "**Formulator CD Request**". For all other questions regarding electronic submittal, contact the ARB staff (page III-11) or visit the survey website for more information: www.arb.ca.gov/consprod/regact/2003surv/2003surv.htm.



Submitting Product Labels

Responsible parties must submit one entire product *label* for each FORM 3 submitted (submit only one *label* for each product or *product group*). Make sure to include the entire *label* as defined:

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

Although electronic submittal of *labels* is preferred, you do have the option to submit your *label* via electronic file or hardcopy:

Electronic labels: Submit clear, complete, and legible *labels* via PDF (Adobe Acrobat) image file, or other common file type, and name each file according to the Product Tracking # listed on all corresponding forms for that product. For example, when submitting the *label* for Product Tracking # "5," the acrobat file should be named: *product5.pdf*.

Hardcopy labels: Send a clear, complete, and legible photocopy, or hard copy of a scanned image of the original *label*. Make sure to write the appropriate Product Tracking # on the *label*, according to the number listed on all corresponding forms for that product. Attach the *label* (or photocopy of the *label*) to the corresponding FORM 3 for the product or *product group*.

As noted at the bottom of FORM 3, the *responsible party* must check (✓) which option they will be using to submit the *label* for that product or *product group*. The options are:

- Label attached or submitted electronically, OR
- Label submitted in 2001 survey; 2001 Survey Product Tracking # _____.

Where a *label* is not submitted (because the *label* was already submitted as part of the 2001 survey), the following conditions must be met: 1) the product *label*, for sales year 2003, must be identical (same wording, claims, graphics, ingredients, size, and the like) to the *label* already submitted in the 2001 survey, **AND** 2) the product tracking number that was submitted for that *label* in the 2001 survey is listed at the bottom of FORM 3 (for purposes of tracking the previously submitted *label*).

If you have any questions about *label* submission, feel free to contact ARB staff (see page III-11).

Mailing

Refer to the "Checklist for Submitting the Survey" on the next page to ensure your survey packet is complete, and then return the completed survey (either the electronic or hardcopy option) to one of the addresses below.

Regular Mail:

California Air Resources Board
 P.O. Box 2815
 Sacramento, CA 95812
 Attn: SSD, Measures Development Section,
 2003 Survey

Overnight Mail:

California EPA Headquarters Building
 Air Resources Board
 1001 I Street (6th Floor)
 Sacramento, CA 95814
 Attn: SSD, Measures Development Section,
 2003 Survey

Checklist for Submitting the Survey

This checklist has been provided as a tool to help respondents ensure that each part of the survey has been completed before mailing. See "Mailing" section (previous page) for addresses. The table also summarizes "who" is responsible for "which" components of the survey, and lists the due dates for each survey component.

Required By:	Survey Component:	Due Date:
Everyone Who Receives the Survey Packet	<ul style="list-style-type: none"> ✓ Preliminary Form: Who Must Complete the 2003 Survey? <ul style="list-style-type: none"> -upon receipt, immediately mail or fax to the ARB -submit one 	November 24, 2004
Responsible Party	<ul style="list-style-type: none"> ✓ FORM 1 - Responsible Party Information <ul style="list-style-type: none"> -submit one ✓ FORM 2 - Source of Ingredient Information <ul style="list-style-type: none"> -submit one ✓ FORM 3 - Product Information <ul style="list-style-type: none"> -submit one per product or <i>product group</i> -attach one representative <i>label</i> to each FORM 3 ✓ Supplement to FORM 3 - Product Group Details <ul style="list-style-type: none"> -submit one per <i>product group</i> 	March 15, 2005
Responsible Party and Formulator (if applicable)	<ul style="list-style-type: none"> ✓ FORM 4 - Ingredient Information <ul style="list-style-type: none"> -submit one per product or <i>product group</i> -<i>responsible party</i> completes Section A (and B if applicable) -<i>responsible party</i> may need to forward FORM 4 to a <i>formulator</i> for completion of Section C 	March 15, 2005
Responsible Parties for Aerosol Adhesives ONLY	<ul style="list-style-type: none"> ✓ FORMS AA-1, AA-2, and AA-3 	March 15, 2005
Optional For:	Survey Component:	Due Date:
Responsible Party and Formulator	<ul style="list-style-type: none"> ✓ Confidential Information Form <ul style="list-style-type: none"> -submit one ✓ Voluntary Survey Evaluation <ul style="list-style-type: none"> -submit one 	March 15, 2005

FOR MORE INFORMATION...

This section lists ways to obtain more information about this survey, *consumer products* and other air pollution regulations, and provides staff contacts.

Websites

The following sites are provided for more information, however, they are not required to complete this survey.

- **2003 Survey** – www.arb.ca.gov/consprod/regact/2003surv/2003surv.htm – Survey forms, related meetings and information, correspondence and other activities related to this survey are posted here. Survey Frequently Asked Questions (FAQ) will also be available here.
- **Consumer Products Program** – www.arb.ca.gov/consprod/consprod.htm – Provides information about the ARB consumer products program and allows you to sign up for a list-server, which will send you an e-mail notice when new information is posted to the consumer products website.
- **Consumer Products Regulations** – www.arb.ca.gov/consprod/regs/regs.htm – Provides links to the five existing consumer product regulations in California.
- **Reactivity** – www.arb.ca.gov/research/reactivity/reactivity.htm – Visit this site for background, current activities, and the latest information concerning reactivity.
- **ARB Homepage** – www.arb.ca.gov – ARB homepage with links to all programs, regulatory activities, and much more.
- **Air Quality-related Laws and Regulations** – www.arb.ca.gov/html/lawsregs.htm – This site provides links to federal, state, and district laws and regulations.
- **CAS Number Look-Up** –
 - CambridgeSoft's ChemFinder:
<http://chemfinder.cambridgesoft.com>
 - National Library of Medicine Specialized Information Services' ChemIDPlus:
<http://chem.sis.nlm.nih.gov/chemidplus/chemidlite.jsp>
 - National Institute of Standards and Technology's Chemistry Webbook:
<http://webbook.nist.gov/chemistry>

These sites provide search engines for chemical compounds, including CAS numbers. The sites may assist you with FORM 4 if your supplier is unable to supply CAS numbers for your ingredients.

ARB Staff Contacts

For general questions or other requests, please contact the following staff.

Name	Responsibility	Phone	Email
David Mallory	Manager	916-445-8316	dmallory@arb.ca.gov
Amy Livingston	Survey Lead	916-324-9551	alivings@arb.ca.gov
Tina Najjar	Electronic Submittals	916-323-6501	tnajjar@arb.ca.gov
Jessica Dean	Preliminary Forms and Requests for Electronic Versions of the Survey	916-322-2362	jdean@arb.ca.gov