

Memorandum 94-33

Administrative Adjudication: Draft of Revised Tentative Recommendation

Attached is the staff draft of a revised tentative recommendation for a comprehensive revision of the administrative adjudication statute. The draft incorporates decisions made by the Commission in restructuring the approach of the statute ("template approach"), as well as Commission action to date on specific comments received on the tentative recommendation.

If approved by the Commission, we will incorporate whatever additional changes are made at the July meeting, renumber to the extent necessary to rationalize and close gaps left by the restructuring, and circulate the revised tentative recommendation for further comment.

The Commission has raised the possibility of requesting comment on the Attorney General's suggested approach — which is to leave the existing structure of the administrative adjudication statute untouched, and make individual changes in the statute rather than a comprehensive revision. We could request comments on such an approach in the tentative recommendation or its transmittal letter. The staff believes that the Attorney General's approach would be acceptable (although it would require a fair amount of staff work to convert our present product into that form), and would provide a useful alternative if we are unable to solve all the problems inherent in a comprehensive revision of this magnitude. However, having done the work to develop a comprehensive revision, the staff believes that at this point it would be more profitable to focus comment on the comprehensive revision than on the merits of an alternate approach.

The staff has the following notes on the draft of the revised tentative recommendation.

§ 631.040. When adjudicative proceeding required to be conducted by administrative law judge employed by OAH

We have tentatively relocated this provision for clarity at the front of the general provisions on adjudicative proceedings. This location raises a previously submerged issue: Should an OAH administrative law judge be required for

hearings conducted under the informal hearing, emergency decision, and declaratory decision procedures as well as under the formal hearing procedure?

Under existing law this is not an issue, since the formal hearing procedure is all that is available under the Administrative Procedure Act. But now that we are increasing the range of options and agency flexibility, the issue must be addressed. The staff thinks it is clear that the informal hearing procedure should be subject to OAH control.

However, the emergency decision and declaratory decision procedures are more problematic. Both procedures permit agencies to adopt their own unique governing regulations. The emergency decision procedure contemplates immediate agency action followed by a regular adjudicative proceeding. The declaratory decision procedure is largely one of agency policy rather than fact finding. The staff draft exempts these two procedures from OAH control, but the Commission should review this policy before issuing a revised tentative recommendation.

§ 632.040. Cross-examination

The discussion at the June Commission meeting on cross examination in the informal hearing context included debate on whether it would be appropriate to permit an agency to specify categories of cases in which cross-examination may be precluded. The concern was that this could undesirably limit the discretion of the presiding officer in an appropriate case.

Our notes of the meeting indicate that on a split Commission decision, it was agreed that an agency could specify categories, but this would not preclude the presiding officer's exercise of discretion, which would be non-reviewable. However, the meeting tapes have a gap on this point, so we draw the Commission's attention to the draft of Section 632.040 (cross-examination).

§ 642.430. Venue

At the June meeting the Commission decided to limit a motion for change of venue to 10 days after service of notice of hearing on a party, and to so inform the party in the notice. This language is found in Sections 642.430(c) and 642.440(b) (second ¶ of notice).

§ 648.110. Presiding officer controls conduct of hearing

We have added this provision — “The presiding officer shall exercise all powers relating to the conduct of the hearing.” — to supplement Section 643.110

(OAH administrative law judge as presiding officer). That section includes an identical provision, but is limited to situations where an OAH administrative law judge presides. Since the formal hearing procedure may be used by any agency, the broader provision of Section 648.110 is necessary.

§ 660. Judicial review

We have not previously disposed of Government Code Section 11523, relating to judicial review of decisions under the Administrative Procedure Act, since it has been our intention to deal with the subject of judicial review comprehensively as a separate project. However, since we are now going forward with administrative adjudication standing alone, Section 11523 must be disposed of. We have relocated it without substantive change as Section 660 of the new Administrative Procedure Act, limiting it to review of decisions where an administrative law judge employed by the Office of Administrative Hearings is required. This is consistent with the present scope of the provision.

Respectfully submitted,

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Executive Secretary

ADMINISTRATIVE PROCEDURE ACT

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SECTION 1. Division 3.3 (commencing with Section 600) is added to Title 1 of the Government Code, to read:

DIVISION 3.3. ADMINISTRATIVE PROCEDURE ACT

PART 1. GENERAL PROVISIONS

CHAPTER 1. PRELIMINARY PROVISIONS

Article 1. Short Title

§ 600. Short title

600. (a) This division, and Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2, constitute and may be cited as the Administrative Procedure Act.

(b) A reference in any other statute or in a rule of court, executive order, or regulation, to a provision of Chapter 4 (commencing with Section 11370) or Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2, means the applicable provision of this division.

Comment. Section 600 restates a portion of former Section 11370. A reference in another statute or in a regulation to the rulemaking provisions of the Administrative Procedure Act continues to refer to Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2. This division, as currently drafted, applies only to the administrative adjudication portion of the Administrative Procedure Act. When the division is expanded to include rulemaking, the general provisions will be reviewed for applicability.

References in section Comments in this division to the "1981 Model State APA" mean the Model State Administrative Procedure Act (1981) promulgated by the National Conference of Commissioners on Uniform State Laws, and to the "Federal APA" mean the Federal Administrative Procedure Act, 5 U.S.C. §§ 551-559, 701-706, 1305, 3344, 5362, 7521 (originally enacted as Act of June 11, 1946, ch. 324, 60 Stat. 237), from which a number of the provisions of this division are drawn.

Article 2. Definitions

§ 610.010. Application of definitions

610.010. (a) Unless the provision or context requires otherwise, the definitions in this article govern the construction of this division.

(b) The definitions in this article apply to grammatical variants of the terms defined.

Comment. Subdivision (a) of Section 610.010 restates the introductory portion of former Section 11500.

Subdivision (b) is new. Under subdivision (b), for example, the definition of the term "license" in Section 610.360 to include "certificate" would extend, *mutatis mutandis*, to variant forms such as "licensed," "licensee," and "licensing" ("certificated," "certificate holder," and "certificate issuance").

1 **§ 610.190. Agency**

2 610.190. "Agency" means a board, bureau, commission, department, division,
3 office, officer, or other administrative unit, including the agency head, and one or
4 more members of the agency head or agency employees or other persons directly
5 or indirectly purporting to act on behalf of or under the authority of the agency
6 head. To the extent it purports to exercise authority pursuant to any provision of
7 this division, an administrative unit otherwise qualifying as an agency shall be
8 treated as a separate agency even if the unit is located within or subordinate to
9 another agency.

10 **Comment.** Section 610.190 supersedes Section 11000 and former Section 11500(a). It is
11 drawn from 1981 Model State APA § 1-102(1). The intent of the definition is to subject as
12 many governmental units as possible to the provisions of this division. The definition
13 explicitly includes the agency head and those others who act for an agency, so as to effect the
14 broadest possible coverage. The definition also would include a committee or council.

15 The last sentence of the section is in part derived from Federal APA § 551(1), treating as an
16 agency "each authority of the Government of the United States, whether or not it is within or
17 subject to review by another agency". A similar provision is desirable here to avoid difficulty
18 in ascertaining which is *the* agency in a situation where an administrative unit is within or
19 subject to the jurisdiction of another administrative unit.

20 It should be noted that an administrative unit of an agency that has no authority to issue
21 decisions or take other action on behalf of the agency would not be an "agency" within the
22 meaning of this section.

23 **§ 610.250. Agency head**

24 610.250. "Agency head" means a person or body in which the ultimate legal
25 authority of an agency is vested, and includes a person or body to which the
26 power to act is delegated pursuant to authority to delegate the agency's power
27 to hear and decide.

28 **Comment.** The first portion of Section 610.250 is drawn from 1981 Model State APA § 1-
29 102(3). The definition of agency head is included to differentiate for some purposes between
30 the agency as an organic entity that includes all of its employees, and those particular persons
31 in which the final legal authority over its operations is vested.

32 The last portion is drawn from former Section 11500(a), relating to use of the term
33 "agency itself" to refer to a nondelegable power to act. An agency may delegate the power
34 of the agency head to review a proposed decision in an administrative adjudication. Section
35 649.210 (limitation of review); see also Section 610.680 ("reviewing authority" defined).

36 **§ 610.280. Agency member**

37 610.280. "Agency member" means a member of the body that constitutes the
38 agency head and includes a person who alone constitutes the agency head.

39 **Comment.** Section 610.280 restates former Section 11500(e) ("agency member"
40 defined).

41 **§ 610.310. Decision**

42 610.310. (a) "Decision" means an agency action of specific application that
43 determines a legal right, duty, privilege, immunity, or other legal interest of a
44 particular person.

(b) Nothing in this section limits:

(1) The authority of an agency to make a declaratory decision pursuant to Chapter 5 (commencing with Section 635.060) of Part 3.

(2) The precedential effect of a decision under Article 3 (commencing with Section 649.310) of Chapter 9 of Part 4.

Comment. Section 610.310 is drawn from 1981 Model State APA § 1-102(5). The definition of "decision" makes clear that it includes only legal determinations made by an agency that are of specific applicability because they are addressed to particular or named persons. More than one identified person may be the subject of a decision. Section 13 (singular includes plural). "Person" includes legal entity and governmental subdivision. Section 610.520 ("person" defined); see also Section 17 ("person" defined).

A decision includes every agency action that determines any of the legal rights, duties, privileges, or immunities of a specific identified individual or individuals. This is to be compared to a regulation, which is an agency action of general application, that is, applicable to all members of a described class. Sections 610.660 and 11342 ("regulation" defined). The primary operative effect of the definition of decision is in Parts 3 (commencing with Section 631.010) and 4 (commencing with Section 641.110), governing adjudicative proceedings. This section is not intended to expand the types of cases in which an adjudicative proceeding is required; an adjudicative proceeding under this division is required only where another statute or the constitution requires one. Section 631.010 (application to constitutionally and statutorily required hearings).

Consistent with the definition in this section, rate making and licensing determinations of specific application, addressed to named or particular parties such as a certain power company or a certain licensee, are decisions subject to the adjudication provisions of this statute. Cf. Federal APA § 551(4) (defining all rate making as rulemaking). On the other hand, rate making and licensing actions of general application, addressed to all members of a described class of providers or licensees, are regulations under this statute. See the Comment to Section 610.660. However, some decisions may have precedential effect pursuant to Sections 649.310-649.340 (precedent decisions).

§ 610.360. License

610.360. "License" means a franchise, permit, certification, approval, registration, charter, or similar form of authorization required by law.

Comment. Section 610.360 is drawn from 1981 Model State APA § 1-102(4).

§ 610.370. Local agency

610.370. "Local agency" means a county, city, district, public authority, public agency, or other political subdivision or public corporation in the State of California other than the state.

Comment. Section 610.370 is new. Local agencies are not governed by this division, subject to exceptions. See Section 612.120 (application of division to local agencies). See also Section 610.770 ("state" defined).

§ 610.410. Notice of commencement of proceeding

610.410. "Notice of commencement of proceeding" means an agency action that commences an adjudicative proceeding, whether in the form of a statement of issues, initial determination, accusation, or otherwise.

Comment. Section 610.410 supersedes former Section 11504.5 and portions of the first sentences of former Sections 11503 and 11504.

§ 610.460. Party

610.460. "Party," in an adjudicative proceeding, includes the agency that is taking action, the person to which the agency action is directed, and any other person named as a party or allowed to intervene in the proceeding.

Comment. Section 610.460 restates former Section 11500(b); see also 1981 Model State APA § 1-102(6). "Person" includes legal entity and governmental subdivision. Section 610.520 ("person" defined); see also Section 17 ("person" defined).

Under this definition, if an officer or employee of an agency appears in an official capacity, the agency and not the person is a party. A staff division authorized to act on behalf of the agency may be a party under this division. See Section 610.190 and Comment ("agency" defined).

For provisions on intervention, see Sections 644.110-644.150.

This section is not intended to address the question of whether a person is entitled to judicial review. Standing to seek judicial review is dealt with in other law.

§ 610.520. Person

610.520. "Person" includes an individual, partnership, corporation, governmental subdivision or unit of a governmental subdivision, or public or private organization or entity of any character.

Comment. Section 610.520 supplements the definition of "person" in Section 17 ("person" defined). It is drawn from 1981 Model State APA § 1-102(8). It would include the trustee of a trust or other fiduciary.

The definition is broader than Section 17 in its application to a governmental subdivision or unit; this would include an agency other than the agency against which rights under this division are asserted by the person. Inclusion of such agencies and units of government insures, therefore, that other agencies or other governmental bodies can, for example, apply to an agency for a decision, and will be accorded all the other rights that a person has under the division.

§ 610.550. Pleading

610.550. "Pleading" includes a notice of commencement of proceeding and a response.

Comment. Section 610.550 is intended for drafting convenience. A reference to a notice or response includes an amended or supplemental notice or response. Section 642.360 (amended and supplemental pleadings).

§ 610.590. Presiding officer

610.590. "Presiding officer" means the agency head, agency member, administrative law judge, or other person who presides in an adjudicative proceeding.

Comment. Section 610.590 is consistent with Section 643.110 (designation of presiding officer by agency head).

§ 610.660. Regulation

610.660. "Regulation" has the meaning provided in Section 11342.

Comment. Section 610.660 incorporates the definition of "regulation" found in the rulemaking provisions of the Administrative Procedure Act. Subdivision (b) of Section 11342 provides:

"Regulation" means every rule, regulation, order, or standard of general application or the amendment, supplement or revision of any such rule, regulation, order or standard adopted by any state agency to implement, interpret, or make specific the law enforced or administered by it, or to govern its procedure, except one which relates only to the internal management of the state agency. "Regulation" does not mean or include legal rulings of counsel issued by the Franchise Tax Board or State Board of Equalization, or any form prescribed by a state agency or any instructions relating to the use of the form, but this provision is not a limitation upon any requirement that a regulation be adopted pursuant to this part when one is needed to implement the law under which the form is issued.

§ 610.680. Reviewing authority

610.680. "Reviewing authority" means the agency head and includes a person or body to which the agency head has delegated its review authority.

Comment. Section 610.680 is new. The agency head may delegate its review authority pursuant to Section 649.210 (availability and scope of review).

§ 610.770. State

610.770. "State" means the State of California and includes any agency or instrumentality of the State of California, whether in the executive department or otherwise.

Comment. Section 610.770 supplements Section 18 ("state" defined). This division applies to state agencies other than the Legislature, the courts and judicial branch, the Governor and Governor's office, and the University of California. See Section 612.110 (application of division to state) and Comment; see also Section 610.190 ("agency" defined). It does not apply to local agencies. See Section 612.120 (application of division to local agencies); see also Section 610.370 ("local agency" defined).

Article 3. Transitional Provisions

§ 610.910. Operative date

610.910. This division becomes operative on July 1, 1997.

Comment. Section 610.910 provides a year and a half deferred operative date to enable agencies to adopt any necessary regulations.

§ 610.920. Pending proceedings

610.920. Subject to Section 610.930, an adjudicative proceeding commenced before the operative date of this division is governed by the applicable law in effect at the time of commencement of the adjudicative proceeding and not by this division.

Comment. Section 610.920 speaks in terms of commencement of a proceeding. A proceeding is considered commenced for purposes of this division on issuance of a notice of commencement of proceeding. Section 642.310; see also Section 610.410 ("notice of commencement of proceeding" defined).

1 **§ 610.930. Commencement or remand after operative date**

2 610.930. (a) An adjudicative proceeding commenced on or after the operative
3 date of this division is governed by this division.

4 (b) An adjudicative proceeding conducted on a remand from a court or another
5 agency after the operative date of this division is governed by this division.

6 **Comment.** Subdivision (b) of Section 610.930 is an exception to the rule of Section
7 610.920 (proceeding commenced before operative date governed by prior law).

8 **§ 610.940. Adoption of regulations**

9 610.940. (a) Notwithstanding Section 610.910, before, on, or after the operative
10 date of this division an agency may adopt interim or permanent regulations to
11 govern an adjudicative proceeding under this division.

12 (b) Subject to Section 11351:

13 (1) Interim regulations need not comply with Article 5 (commencing with
14 Section 11346) or Article 6 (commencing with Section 11349) of Chapter 3.5 of
15 Part 1 of Division 3 of Title 2, but are governed by Chapter 3.5 in all other
16 respects.

17 (2) Interim regulations expire on December 31, 1998, unless earlier terminated or
18 replaced by or readopted as permanent regulations in compliance with paragraph

19 (3). If on December 31, 1998, an agency has completed proceedings to replace or
20 readopt interim regulations and has submitted permanent regulations for review
21 by the Office of Administrative Law, but permanent regulations have not yet
22 been filed with the Secretary of State, the interim regulations are extended until
23 the earlier of the date permanent regulations are filed with the Secretary of State
24 or March 31, 1999.

25 (3) Permanent regulations are subject to all the provisions of Chapter 3.5
26 (commencing with Section 11340) of Part 1 of Division 3 of Title 2, except that if
27 on December 31, 1998, an agency has submitted the regulations for review by the
28 Office of Administrative Law, the regulations are not subject to review for
29 necessity under Section 11349.1 or 11350.

30 **Comment.** Subdivision (a) of Section 610.940 makes clear that an agency may act to adopt
31 regulations under this division after enactment but before the division becomes operative.
32 This will enable the agency to have any necessary regulations in place on the operative date.

33 Under subdivision (b), an agency may adopt interim procedural regulations without the
34 normal notice and hearing and Office of Administrative Law review processes of the
35 Administrative Procedure Act. However, this does not excuse compliance with the other
36 provisions of the Administrative Procedure Act, including but not limited to the requirements
37 that (1) regulations be consistent and not in conflict with statute and reasonably necessary to
38 effectuate the purpose of the statute (Section 11342.2), (2) regulations be filed and published
39 (Sections 11343-11344), and (3) regulations are subject to judicial review (Section 11350).
40 Compliance with these provisions is not required for agencies exempted by statute. See
41 Section 11351 (exemption of Public Utilities Commission, Division of Industrial Accidents,
42 and Workers' Compensation Appeals Board).

43 Interim regulations are only valid up to 18 months, through December 31, 1998. They may
44 be replaced by or readopted as permanent regulations before then, through the standard
45 administrative rulemaking process. In case permanent regulations are pending on December
46 31, 1998, interim regulations may be extended up to three months.

Paragraph (3) makes clear that permanent regulations governing administrative adjudication are subject to normal rulemaking procedures, other than review for necessity under Section 11349.1 (Office of Administrative Law) or 11350 (declaratory relief) in the case of permanent regulations promulgated during the transitional period.

CHAPTER 2. APPLICATION OF DIVISION

§ 612.110. Application of division to state

612.110. Except as otherwise expressly provided by statute:

(a) This division applies to all agencies of the state.

(b) This division does not apply to the Legislature, the courts or judicial branch, or the Governor or office of the Governor.

(c) This division does not apply to the University of California.

Comment. Section 612.110 supersedes former Section 11501. Whereas former law specified agencies subject to the Administrative Procedure Act, Section 612.110 reverses this statutory scheme and applies this division to all state agencies unless specifically excepted. The intent of this statute is to apply this division to as many state governmental units as possible.

Subdivision (a) is drawn from 1981 Model State APA § 1-103(a).

Subdivision (b) supersedes Section 11342(a). It is drawn from 1981 Model State APA § 1-102(1). Exemptions from the division are to be construed narrowly.

Subdivision (b) exempts the entire judicial branch, and is not limited to the courts. Judicial branch agencies include the Judicial Council, the Commission on Judicial Appointments, the Commission on Judicial Performance, and the Judicial Criminal Justice Planning Committee.

Subdivision (b) exempts the Governor's office, and is not limited to the Governor. For an express statutory exception to the Governor's exemption from this division, see Bus. & Prof. Code § 106.5 ("The proceedings for removal [by the Governor of a board member in the Department of Consumer Affairs] shall be conducted in accordance with the provisions of Chapter 5 of Part 1 of Division 3 of Title 2 of the Government Code, and the Governor shall have all the powers granted therein.")

Subdivision (c) recognizes that the University of California enjoys a constitutional exemption. See Cal. Const. Art. 9, § 9 (University of California a public trust with full powers of government, free of legislative control, and independent in administration of its affairs). Nothing in this section precludes the University of California or any other exempt agency of the state from electing to be governed by this division. See Section 612.130.

§ 612.120. Application of division to local agencies

612.120. (a) This division does not apply to a local agency except to the extent this division is made applicable by statute.

(b) This division applies to an agency created or appointed by joint or concerted action of the state and one or more local agencies.

Comment. Section 612.120 is drawn from 1981 Model State APA § 1-102(1). See also Section 610.370 ("local agency" defined). Local agencies are excluded because of the very different circumstances of local government units when compared to state agencies. The section explicitly includes joint state and local bodies, so as to effect the broadest possible coverage.

This division is made applicable by statute to local agencies in a number of instances, including:

Suspension or dismissal of permanent employee by school district. Educ. Code § 44944.

1 Nonreemployment of probationary employee by school district. Educ. Code §
2 44948.5.

3 Evaluation, dismissal, and imposition of penalties on certificated personnel by
4 community college district. Educ. Code § 87679.

5 **§ 612.130. Election to apply division**

6 612.130. Notwithstanding any other provision of this chapter, by regulation,
7 ordinance, or other appropriate action an agency may adopt this division or any
8 of its provisions for the formulation and issuance of a decision, even though the
9 agency or decision is exempt from application of this division.

10 **Comment.** Section 612.130 is new. An agency may elect to apply this division even though
11 the agency would otherwise be exempt or the particular action taken by the agency would
12 otherwise be exempt. See Sections 612.110 (application of division to state) and 612.120
13 (application of division to local agencies); Section 631.010 (application to constitutionally
14 and statutorily required hearings).

15 **§ 612.140. Contrary express statute controls**

16 612.140. Notwithstanding any other provision of this division, a statute
17 applicable to a particular agency or decision prevails over a contrary provision of
18 this division.

19 **Comment.** Section 612.140 makes clear that the general provisions of the Administrative
20 Procedure Act are not intended to override a contrary statute that governs a particular matter.

21 **§ 612.150. Suspension of statute when necessary to avoid loss or delay of federal funds or**
22 **services**

23 612.150. (a) To the extent necessary to avoid a loss or delay of funds or
24 services from the United States that would otherwise be available to the state, by
25 executive order the Governor may:

26 (1) Suspend, in whole or in part, any provision of this division.

27 (2) Adopt a rule of procedure that will avoid the loss or delay.

28 (b) The Governor shall declare the termination of an executive order issued
29 under this section as soon as it is no longer necessary to prevent the loss or delay
30 of funds or services from the United States.

31 (c) If a provision of this division is suspended or rule of procedure adopted
32 pursuant to this section, the Governor shall promptly report the suspension or
33 adoption to the Legislature. The report shall include recommendations
34 concerning any desirable legislation that may be necessary to conform this
35 division to federal law.

36 **Comment.** Section 612.150 is drawn from 1981 Model State APA § 1-104. Cf. Section
37 8571 (power of Governor to suspend statute in emergency). It is expanded to extend to a
38 delay in receipt as well as to a loss of federal funds, and actions that may be taken include
39 provision of an alternate procedure as well as suspension of an existing procedure.

40 This section permits specific functions of agencies to be exempted from applicable
41 provisions of this division only to the extent that is necessary to prevent the loss or delay of
42 federal funds or services. The test to be met is simply whether, as a matter of fact, there will
43 actually be a loss or delay of federal funds or services if there is no suspension or adoption of

1 an alternate procedure. And the suspension or adoption is effective only so long as and to the
2 extent necessary to avoid the contemplated loss or delay.

3 The Governor is not required to issue an executive order merely on the receipt of a federal
4 agency certification that a suspension or adoption of an alternate procedure is necessary. The
5 suspension or adoption must be actually necessary. That is, the Governor must first decide
6 that the federal agency is correct in its assertion that federal funds may *lawfully* be delayed or
7 withheld from the state agency if that agency complies with certain provisions of this division,
8 and that the federal agency intends to exercise its authority to withhold or delay those funds
9 if certain provisions of this division are followed. However, if these two requirements are met,
10 the Governor may suspend the provision or adopt an alternate procedure.

11 **§ 612.160. Waiver of provisions**

12 612.160. Except to the extent precluded by another statute or regulation, a
13 person may waive a right conferred on the person by this division.

14 **Comment.** Section 612.160 is drawn from 1981 Model State APA § 1-105. It embodies the
15 standard notion of waiver, which requires an intentional relinquishment of a known right. A
16 right under this division is subject to waiver in the same way that a right under any other civil
17 statute is normally subject to waiver. Although a right may be waived by inaction, a written
18 waiver is ordinarily preferable. This section applies to all affected persons, whether or not
19 parties.

20 **CHAPTER 3. PROCEDURAL PROVISIONS**

21 **Article 1. Miscellaneous Provisions**

22 **§ 613.110. Voting by agency member**

23 613.110. Agency members qualified to vote on a matter may vote by mail or
24 otherwise, without being present at a meeting of the agency.

25 **Comment.** Section 613.110 restates and broadens former Section 11526 to allow
26 telephonic or other appropriate means of voting. An agency member is not qualified to vote
27 as a presiding officer in an adjudicative proceeding if the agency member did not hear the
28 evidence. Section 643.110(d)(3). This section is subject to a contrary statute applicable to an
29 agency or proceeding. Section 612.140 (contrary express statute controls). See, e.g., Water
30 Code § 183 (State Water Board in-person vote).

31 It should be noted that under the Open Meeting Law deliberations on a decision to be
32 reached based on evidence introduced in an adjudicative proceeding may be made in closed
33 session. Section 11126(d). See also Section 610.280 ("agency member" defined).

34 **§ 613.120. Oaths, affirmations, and certification of official acts**

35 613.120. In a proceeding under this division an agency, agency member, chief
36 executive officer of an agency, hearing reporter, or presiding officer has power to
37 administer oaths and affirmations and to certify to official acts.

38 **Comment.** Section 613.120 restates former Section 11528.

Article 2. Notice

§ 613.210. Service

613.210. (a) If this division requires that an order or other writing be served on or notice given to a person, the writing or notice shall be delivered personally or sent by mail or other means pursuant to Section 613.220 to the person at the person's last known address or, if the person is a party with an attorney or other authorized representative of record in the proceeding, to the party's attorney or other authorized representative.

(b) For the purpose of this section, if a party is required by statute or regulation to maintain an address with the agency that is sending the order or other writing, the party's last known address is the address maintained with the agency.

Comment. Section 613.210 is intended for drafting convenience. It supersedes a provision of former Section 11517(b). For provisions applicable to authorized representatives, see Sections 613.310-613.340 (representation of parties).

§ 613.220. Mail or other delivery

613.220. Unless a provision specifies the form of mail, service or notice by mail under this division may be by first class mail, registered mail, or certified mail, by mail delivery service, by facsimile transmission if complete and without error, or by other electronic means as provided by regulation, in the discretion of the sender.

Comment. Section 613.220 supersedes various provisions of former law. See, e.g., former Section 11518 (decision sent by registered mail). Failure of a person to receive notice of a hearing sent under this section is prima facie evidence of good cause for failure to attend the hearing under the formal hearing procedure. Section 648.130(c) (default).

Proof of service may be made by any appropriate method, including proof in the manner provided for civil actions and proceedings. See Code Civ. Proc. § 1013a; Cal. Rules Ct. 2008(e) (proof of service by facsimile transmission).

§ 613.230. Extension of time

613.230. (a) Service or notice pursuant to Section 613.220 extends any prescribed period of notice, and any right or duty to do an act or make a response within a prescribed period after service or notice, by the following times:

(1) Five days, if service or notice is by mail or mail delivery service,

(2) Two days, if service or notice is by facsimile transmission or other electronic means.

(b) This section applies to a period prescribed by this division or by regulation under this division.

Comment. Section 613.230 is drawn from the statutes relating to service of notice by mail within California and from parallel provisions of the California Rules of Court. See Cal. Rules Ct. 2008(b); Code Civ. Proc. § 1013(e). This reverses existing law as to some administrative procedures. See, e.g., *Camper v. Workers' Compensation Appeals Board*, 12 Cal. Rptr. 2d 101 (1992); *Southwest Airlines v. Workers' Compensation Appeals Board*, 234 Cal. App. 3d 1421 (1991).

Article 3. Representation of Parties

§ 613.310. Self representation

613.310. A party may represent itself without an attorney. In the case of a party that is an entity, the entity may select any of its members to represent it and is bound by the acts of its authorized representative.

Comment. Section 613.310 generalizes a provision of former Section 11509.

§ 613.320. Representation by attorney

613.320. A party may be represented by an attorney at the party's own expense. A party is not entitled to appointment of an attorney to represent the party at public expense.

Comment. Section 613.320 generalizes provisions of former Sections 11500(f)(3) and 11509. Qualification and discipline of attorneys that practice before administrative agencies is governed by the State Bar of California and not by the agencies. It should be noted, however, that an agency may seek the contempt sanction for misconduct by a participant in a hearing and may impose monetary sanctions on a party or attorney for bad faith actions or tactics that are frivolous or solely intended to cause unnecessary delay. Sections 648.610 – 648.630 (enforcement of orders and sanctions).

§ 613.330. Lay representation

613.330. (a) An agency may permit a party to be represented by a person not otherwise authorized under this article.

(b) An agency may adopt regulations that impose qualification and disciplinary standards for representation under this section.

Comment. Subdivision (a) of Section 613.330 recognizes the practice of some agencies to permit lay representation. See, e.g., Lab. Code § 5700 (Workers Compensation Appeals Board); Unemp. Ins. Code § 1957 (Unemployment Insurance Appeals Board); 18 Cal. Code Regs. tit. 18, § 5056 (State Board of Equalization).

Under subdivision (b) an agency may regulate such matters as standards of competency and character for lay representatives, standards of conduct (including confidentiality) and disciplinary control, and procedures to bar representatives guilty of violating the standards from future representation before the agency.

§ 613.340. Authority of attorney or other representative of party

613.340. Unless the provision or context requires otherwise, any act required or permitted by this division to be performed by, and any notice required or permitted by this division to be given to, a party may be performed by, or given to, the attorney or other authorized representative of the party.

Comment. Section 613.340 is intended for drafting convenience. Cf. Code Civ. Proc. §§ 283, 446, 465, 1010, 1014 (authority of party or attorney in civil actions and proceedings). The section recognizes that an administrative proceeding may involve a non-attorney authorized representative of a party. Section 613.330.

CHAPTER 4. CONVERSION OF PROCEEDING

§ 614.010. Conversion authorized

614.010. (a) Subject to any applicable regulation adopted under Section 614.050, at any point in an agency proceeding the presiding officer or other agency official responsible for the proceeding:

(1) May convert the proceeding to another type of agency proceeding provided for by the Administrative Procedure Act if the conversion is appropriate, is in the public interest, and does not substantially prejudice the rights of a party.

(2) Shall convert the proceeding to another type of agency proceeding provided for by the Administrative Procedure Act, if required by regulation or statute.

(b) A proceeding of one type may be converted to a proceeding of another type only on notice to all parties to the original proceeding.

Comment. Section 614.010 is drawn from 1981 Model State APA § 1-107(a)-(b). A reference in this section to a "party," in the case of an adjudicative proceeding means "party" as defined in Section 610.460, and in the case of a rulemaking proceeding means an active participant in the proceeding or one primarily interested in its outcome. A reference to a proceeding provided by the Administrative Procedure Act includes a rulemaking proceeding as well as an adjudicative proceeding. Section 600. The conversion provisions may be irrelevant to some types of proceedings by some agencies, and in that case this chapter would be inapplicable.

Under subdivision (a)(1), a proceeding may not be converted to another type that would be inappropriate for the action being taken. For example, if an agency elects to conduct a formal hearing in a case where it could have elected an informal hearing initially, a subsequent decision to convert to an informal hearing would be appropriate under subdivision (a)(1).

The further limitation in subdivision (a)(1) — that the conversion may not substantially prejudice the rights of a party — must also be satisfied. The courts will have to decide on a case-by-case basis what constitutes substantial prejudice. The concept includes both the right to an appropriate procedure that enables a party to protect its interests, and freedom of the party from great inconvenience caused by the conversion in terms of time, cost, availability of witnesses, necessity of continuances and other delays, and other practical consequences of the conversion. Of course, even if the rights of a party are substantially prejudiced by a conversion, the party may voluntarily waive them.

It should be noted that the substantial prejudice to the rights of a party limitation on discretionary conversion of an agency proceeding from one type to another is not intended to disturb an existing body of law. In certain situations an agency may lawfully deny an individual an adjudicative proceeding to which the individual otherwise would be entitled by conducting a rulemaking proceeding that determines for an entire class an issue that otherwise would be the subject of a necessary adjudicative proceeding. See Note, *The Use of Agency Rule-Making To Deny Adjudications Apparently Required by Statute*, 54 Iowa L. Rev. 1086 (1969). Similarly, the substantial prejudice limitation is not intended to disturb the existing body of law allowing an agency, in certain situations, to make a determination through an adjudicative proceeding that has the effect of denying a person an opportunity the person might otherwise be afforded if a rulemaking proceeding were used instead.

Subdivision (a)(2) makes clear that an agency must convert a proceeding of one type to a proceeding of another type when required by regulation or statute, even if a nonconsenting party is prejudiced thereby. Under subdivision (b), however, both a discretionary and a mandatory conversion must be accompanied by notice to all parties to the original proceeding so that they will have a fully adequate opportunity to protect their interests.

1 Within the limits of this section, an agency should be authorized to use procedures in a
 2 proceeding that are most likely to be effective and efficient under the particular
 3 circumstances. Subdivision (a) allows an agency this flexibility. For example, an agency that
 4 wants to convert a formal hearing into an informal hearing, or an informal hearing into a
 5 formal hearing, may do so under this provision if the conversion is appropriate and in the
 6 public interest, if adequate notice is given, and if the rights of the parties are not substantially
 7 prejudiced.

8 Similarly, an agency called on to explore a new area of law in a declaratory decision
 9 proceeding may prefer to do so by rulemaking. That is, the agency may decide to have full
 10 public participation in developing its policy in the area and to declare law of general
 11 applicability instead of issuing a determination of only particular applicability at the request
 12 of a specific party in a more limited proceeding. So long as all of the standards in this section
 13 are met, this section would authorize such a conversion from one type of agency proceeding
 14 to another.

15 While it is unlikely that a conversion consistent with all of the statutory standards could
 16 occur more than once in the course of a proceeding, the possibility of multiple conversions in
 17 the course of a particular proceeding is left open by the statutory language. In an
 18 adjudication, the prehearing conference could be used to choose the most appropriate form
 19 of proceeding at the outset, thereby diminishing the likelihood of a later conversion.

20 See also Section 613.230 (extension of time).

21 **§ 614.020. Presiding officer**

22 614.020. If the presiding officer or other agency official responsible for the
 23 original proceeding would not have authority over the new proceeding to which
 24 it is to be converted, the agency head shall appoint a successor to preside over or
 25 be responsible for the new proceeding.

26 **Comment.** Section 614.020 is drawn from 1981 Model State APA § 1-107(c). It deals with
 27 the mechanics of transition from one type of proceeding to another.

28 **§ 614.030. Agency record**

29 614.030. To the extent practicable and consistent with the rights of parties and
 30 the requirements of this division relating to the new proceeding, the record of the
 31 original agency proceeding shall be used in the new agency proceeding.

32 **Comment.** Section 614.030 is drawn from 1981 Model State APA § 1-107(d). It seeks to
 33 avoid unnecessary duplication of proceedings by requiring the use of as much of the agency
 34 record in the first proceeding as is possible in the second proceeding, consistent with the
 35 rights of the parties and the requirements of the Administrative Procedure Act.

36 **§ 614.040. Procedure after conversion**

37 614.040. After a proceeding is converted from one type to another, the
 38 presiding officer or other agency official responsible for the new proceeding shall
 39 do all of the following:

40 (a) Give additional notice to parties or other persons necessary to satisfy the
 41 requirements of the Administrative Procedure Act relating to the new proceeding.

42 (b) Dispose of the matters involved without further proceedings if sufficient
 43 proceedings have already been held to satisfy the requirements of the
 44 Administrative Procedure Act relating to the new proceeding.

(c) Conduct or cause to be conducted any additional proceedings necessary to satisfy the requirements of the Administrative Procedure Act relating to the new proceeding, and allow the parties a reasonable time to prepare for the new proceeding.

Comment. Section 614.040 is drawn from 1981 Model State APA § 1-107(e). See also Section 613.230 (extension of time).

§ 614.050. Agency regulations

614.050. An agency may adopt regulations to govern the conversion of one type of proceeding to another. The regulations may include an enumeration of the factors to be considered in determining whether and under what circumstances one type of proceeding will be converted to another.

Comment. Section 614.050 is drawn from 1981 Model State APA § 1-107(f). Adoption of regulations is permissive, rather than mandatory.

PART 2. [RESERVED FOR RULEMAKING]

PART 3. ADJUDICATIVE PROCEEDINGS

CHAPTER 1. APPLICABLE HEARING PROCEDURE

§ 631.010 Application to constitutionally and statutorily required hearings

631.010 This division governs a decision by an agency if, under the federal or state constitution or a statute, an evidentiary hearing for determination of facts is required for formulation and issuance of the decision.

Comment. Section 631.010 limits application of the adjudicative proceedings provisions of this division to constitutionally and statutorily required hearings of state agencies. See Section 612.110 (application of division to state). It does not govern local agency hearings except to the extent expressly made applicable by another statute. Section 612.120 (application of division to local agencies).

Section 631.010 states the general principle that an agency must conduct an appropriate adjudicative proceeding before issuing a decision where a statute or the due process clause of the federal or state constitutions necessitates an evidentiary hearing for determination of facts. Such a hearing is a process in which a neutral decision maker makes a decision based exclusively on evidence contained in a record made at the hearing or on matters officially noticed. The hearing must at least permit a party to introduce evidence, make an argument to the presiding officer, and rebut opposing evidence.

The coverage of this division is the same as coverage by the existing provision for administrative mandamus under Code of Civil Procedure Section 1094.5(a). That section applies only where an agency has issued a final order "as the result of a proceeding in which by law a hearing is required to be given, evidence is required to be taken, and discretion in the determination of facts is vested in the inferior tribunal, corporation, board, or officer." Numerous cases have applied Code of Civil Procedure Section 1094.5(a) broadly to administrative proceedings in which a statute requires an "administrative appeal" or some other functional equivalent of an evidentiary hearing for determination of facts — an on-the-record or trial-type hearing. See, e.g., *Eureka Teachers Ass'n v. Board of Educ.*, 199 Cal. App. 3d 353, 244 Cal. Rptr. 240 (1988) (teacher's right to appeal grade change was right to hearing — Code Civ. Proc. § 1094.5 applies); *Chavez v. Civil Serv. Comm'n*, 86 Cal. App. 3d

324, 150 Cal. Rptr. 197 (right of "appeal" means required hearing — Code Civ. Proc. § 1094.5 available).

In many cases, statutes or the constitution call for administrative proceedings that do not rise to the level of an evidentiary hearing as defined in this section. For example, the constitution or a statute might require only a consultation or a decision that is not based on an exclusive record or a purely written procedure or an opportunity for the general public to make statements. In some cases, the agency has discretion to provide or not provide the procedure. This division does not apply in such cases. Examples of cases in which the required procedure does not meet the standard of an evidentiary hearing for determination of facts are: *Goss v. Lopez*, 419 U.S. 565 (1975) (informal consultation between student and disciplinarian before brief suspension from school); *Hewitt v. Helms*, 459 U.S. 460 (1983) (informal nonadversary review of decision to place prisoner in administrative segregation — prisoner has right to file written statement); *Skelly v. State Personnel Board*, 15 Cal. 3d 194, 124 Cal. Rptr. 14 (1975) (informal opportunity for employee to respond orally or in writing to charges of misconduct prior to removal from government job); *Wasko v. Department of Corrections*, 211 Cal. App. 3d 996, 1001-02, 259 Cal. Rptr. 764 (1989) (prisoner's right to appeal decision does not require a hearing — Code Civ. Proc. § 1094.5 inapplicable); *Marina County Water District v. State Water Resources Control Board*, 163 Cal. App. 3d 132, 209 Cal. Rptr. 212 (1984) (hearing discretionary, not mandatory — Code Civ. Proc. § 1094.5 inapplicable).

This section applies only to proceedings for issuing a "decision." A decision is an agency action of specific application that determines a legal right, duty, privilege, immunity or other legal interest of a particular person. Section 610.310(a) ("decision" defined). Therefore this section does not apply to agency actions that do not determine a person's legal interests nor to rulemaking which is agency action of general applicability.

This division does not apply where agency regulations, rather than a statute or the Constitution, call for a hearing. Agencies are encouraged to provide procedural protections by regulation even though not required to do so by statute or the Constitution. An agency may elect to have the hearing governed by this division. See Section 612.130 (election to apply division).

This section does not specify what type of adjudicative proceeding should be conducted. If an adjudicative proceeding is required by this section, the proceeding may be a formal hearing, an informal hearing, an agency hearing, an emergency decision, or a declaratory decision in accordance with other provisions of this division. Under this division, the formal hearing procedure is standard unless circumstances permit the informal hearing or emergency decision, or the agency has adopted a special hearing procedure. The formal hearing is analogous to the "adjudicatory hearing" under the former Administrative Procedure Act. Former Section 11500(f). The other procedures are new.

This section does not preclude the waiver of any procedure, or the settlement of any case without use of all available proceedings, under the general waiver and settlement provisions of Sections 612.160 (waiver of provisions) and 631.030(b) (when adjudicative proceeding not required).

§ 631.020. Applicable procedure

631.020. (a) An agency shall conduct an adjudicative proceeding for formulation and issuance of a decision governed by this division pursuant to one of the following procedures:

(1) The formal hearing procedure. The formal hearing procedure is provided in Part 4 (commencing with Section 640.010).

(2) The informal hearing procedure. The informal hearing procedure is provided in Chapter 2 (commencing with Section 632.010).

(3) A special hearing procedure. Special hearing procedures are authorized in Chapter 3 (commencing with Section 633.010).

(4) The emergency decision procedure. The emergency decision procedure is provided in Chapter 4 (commencing with Section 634.010).

(5) The declaratory decision procedure. The declaratory decision procedure is provided in Chapter 5 (commencing with Section 635.010).

(b) The agency may select the procedure that governs the adjudicative proceeding, subject to any limitations applicable to that procedure.

(c) Nothing in this section limits the authority to convert an adjudicative proceeding under this division to another type of proceeding under this division pursuant to Chapter 4 (commencing with Section 614.010) of Part 1.

Comment. Section 631.020 lists the types of hearing procedures available to an agency in a case where an evidentiary hearing for determination of facts is required for formulation and issuance of the decision. The agency may use any of the available procedures, provided the requirements for use of the particular procedure are satisfied.

The formal hearing procedure is always available. It is elaborated in Part 4 (commencing with Section 640.010). The formal hearing procedure is the default hearing procedure under this division, unless one of the alternatives provided for in this part is applicable. Section 641.110 (application of part).

The informal hearing procedure is available in smaller cases and in cases where there is no disputed issue of material fact. An agency may make the informal hearing procedure applicable in other cases as well, to the extent constitutional and other statutory limitations do not preclude it. Section 632.020 (when informal hearing may be used).

A special hearing procedure is available in an adjudicative proceeding except in an adjudicative proceeding that is required by statute to be conducted by an administrative law judge employed by the Office of Administrative Hearings. Section 633.020 (decisions for which special hearing procedure authorized). The special hearing procedure is governed by agency regulation, but must satisfy basic due process and public policy requirements. Section 633.030 (requirements of special hearing procedure).

The emergency decision procedure is available where there is an immediate danger to public health, safety, or welfare. Section 634.020 (when emergency decision available).

The declaratory decision procedure is an inexpensive means to provide reliable agency advice on stipulated facts in case of an actual controversy. Issuance of a declaratory decision is discretionary with the agency. Sections 635.060 (regulations governing declaratory decision), 635.010 (declaratory decision permissive).

The agency determines which procedure to follow. If the agency follows the special hearing procedure, it must provide a copy to the person to whom the decision is directed. Section 633.040(d) (regulations governing special hearing procedure).

§ 631.030. When adjudicative proceeding not required

631.030. (a) An agency may provide any appropriate procedure for a decision that is not required to be conducted under this division.

(b) A proceeding is not required under this division for informal factfinding or informal investigatory hearing, or for a decision to initiate or not to initiate an investigation, prosecution, or other proceeding before the agency, another agency, or a court, whether in response to an application for an agency decision or otherwise.

(c) An agency may formulate and issue a decision by settlement, pursuant to an agreement of the parties, without conducting a proceeding under this division.

Comment. Subdivision (a) of Section 631.030 is subject to statutory specification of the applicable procedure for decisions not governed by this division. Cf. Section 612.150 (contrary express statute controls).

Subdivision (b) is drawn in part from 1981 Model State APA § 4-101(a). The provision lists situations in which an agency may issue a decision without first conducting an adjudicative proceeding. For example, a law enforcement officer may, without first conducting an adjudicative proceeding, issue a "ticket" that will lead to a proceeding before an agency or court. Likewise, an agency may issue a notice of commencement of proceeding under this division without first conducting a proceeding to decide whether to issue the pleading. See, e.g., Sections 642.210 (initiation by agency), 610.410 ("notice of commencement of proceeding" defined). Nothing in this subdivision implies that this division applies in a proceeding in which a hearing is not statutorily or constitutionally required. Section 631.010 (application to constitutionally and statutorily required hearings).

Subdivision (c) is subject to Section 646.210 (settlement).

§ 631.040. When adjudicative proceeding required to be conducted by administrative law judge employed by OAH

631.040. (a) An adjudicative proceeding is required to be conducted by an administrative law judge employed by the Office of Administrative Hearings in the following circumstances:

(1) A statute expressly so provides.

(2) The proceeding is conducted by an agency created after July 1, 1997, unless a statute provides that the proceeding need not be conducted by an administrative law judge employed by the Office of Administrative Hearings.

(b) If an adjudicative proceeding is required to be conducted by an administrative law judge employed by the Office of Administrative Hearings, the requirement applies only to the formal and informal hearing procedures and does not apply to the emergency or declaratory decision procedures.

Comment. Subdivision (a)(1) of Section 631.040 and conforming revisions to other statutes continue existing law with respect to hearings that must be conducted by an administrative law judge from the Office of Administrative Hearings. See, e.g., former Section 11501.

Under subdivision (a)(2), this section applies to agencies created after the operative date of this division unless expressly exempted.

Subdivision (b) limits the effect of a statute that requires an adjudicative proceeding to be conducted by an administrative law judge employed by the Office of Administrative Hearings. It should be noted that a special hearing procedure is not available if the adjudicative proceeding is required to be conducted by an administrative law judge employed by the Office of Administrative Hearings. Section 633.020 (decisions for which special hearing procedure not authorized).

CHAPTER 2. INFORMAL HEARING

§ 632.010. Purpose of informal hearing procedure

632.010. If an agency decision is required to be formulated and issued under this division, the agency may select the informal hearing procedure to govern the

1 adjudicative proceeding, subject to the limitations in this chapter. The informal
 2 hearing procedure is intended as an adjudicative proceeding that satisfies due
 3 process and public policy requirements in a manner that is simpler and more
 4 expeditious than the formal hearing procedure, for use in appropriate
 5 circumstances. The procedure provides an informal forum in the nature of a
 6 conference in which a party has an opportunity to be heard by the presiding
 7 officer. The procedure also provides a forum that may accommodate a hearing
 8 where by regulation or statute a member of the public may participate without
 9 intervening as a party.

10 **Comment.** Section 632.010 states the policy that underlies the informal hearing procedure.
 11 The circumstances where the simplified procedure are appropriate are provided in Section
 12 632.020 (when informal hearing may be used). The simplified procedures are outlined in
 13 Section 632.030 (procedure for informal hearing).

14 Basic due process and public policy protections of the formal hearing procedure are
 15 preserved in the informal hearing. Section 632.030(a). Thus, for example, the presiding
 16 officer must be free of bias, prejudice, and interest; the adjudicatory function must be
 17 separated from the investigative, prosecutorial, and advocacy functions within the agency; the
 18 hearing must be open to public observation; the agency must make available language
 19 assistance; ex parte communications are restricted; the decision must be in writing, be based
 20 on the record, and include a statement of the factual and legal basis of the decision; and the
 21 agency must designate and index significant decisions as precedent.

22 Reference in this article to the "presiding officer" is not intended to imply unnecessary
 23 formality in the proceeding. The presiding officer may be the agency head, an agency
 24 member, an administrative law judge, or another person who presides over the hearing.
 25 Section 610.590 ("presiding officer" defined).

26 **§ 632.020. When informal hearing may be used**

27 632.020. An informal hearing procedure may be used in any of the following
 28 proceedings, if in the circumstances its use does not violate a statute or the federal
 29 or state constitution:

- 30 (a) A proceeding where there is no disputed issue of material fact.
- 31 (b) A proceeding where there is a disputed issue of material fact, if the matter
 32 involves only:
 - 33 (1) A monetary amount of not more than \$1,000.
 - 34 (2) A disciplinary sanction against a prisoner.
 - 35 (3) A disciplinary sanction against a student that does not involve expulsion
 36 from an academic institution or suspension for more than 10 days.
 - 37 (4) A disciplinary sanction against an employee that does not involve discharge
 38 from employment, demotion, or suspension for more than 5 days.
 - 39 (5) A disciplinary sanction against a licensee that does not involve revocation,
 40 suspension, annulment, withdrawal, or amendment of a license.
- 41 (c) An adjudicative proceeding of the California Coastal Commission, Division
 42 of Oil and Gas, San Francisco Bay Conservation and Development Commission,
 43 or State Water Resources Control Board, that involves land use planning or
 44 environmental matters.

(d) A proceeding where, by regulation, the agency has authorized use of an informal hearing.

(e) A proceeding where an evidentiary hearing for determination of facts is not required by statute but where the agency determines the federal or state constitution may require a hearing.

Comment. Subdivision (a) of Section 632.020 permits the informal hearing to be used, regardless of the type or amount at issue, if no disputed issue of material fact has appeared. E.g., a power plant siting proceeding in which the power company and the Energy Commission have agreed on all material facts. However, if consumers intervene and dispute material facts, the proceeding may be subject to conversion from the informal hearing to the formal hearing in accordance with Sections 614.010-614.050.

Subdivision (b) permits the informal hearing to be used, even if a disputed issue of material fact has appeared, if the amount or other stake involved is relatively minor, or if the matter involves a disciplinary sanction against a prisoner. The reference to a "licensee" in subdivision (b)(5) includes a certificate holder. Section 610.360 ("license" defined).

Subdivision (d) imposes no limits on the authority of the agency to adopt the informal hearing by regulation, other than the general limitation that use of the informal hearing procedure is subject to statutory and constitutional due process requirements.

Nothing in this section implies that this procedure is required in a proceeding in which a hearing is not statutorily or constitutionally required, including an agency's authority in minor disciplinary matters to make an investigation with or without a hearing as it deems necessary. Sections 631.010 (application to constitutionally and statutorily required hearings); 631.030 (when adjudicative proceeding not required).

§ 632.025. Selection of informal hearing

632.025. (a) The notice of commencement of proceeding shall state the agency's selection of the informal hearing procedure.

(b) Any objection of a party to use of the informal hearing procedure shall be made in the party's response.

(c) An objection to use of the informal hearing procedure shall be resolved by the presiding officer before the hearing on the basis of the pleadings and any written submissions in support of the pleadings.

Comment. Section 632.025 provides a procedure for resolving objections to use of the informal hearing procedure in advance of the hearing. However, conversion to a formal hearing may be appropriate if during the course of the hearing circumstances indicate the need for it. See Sections 632.040 (cross-examination) and 632.050 (proposed proof).

§ 632.030. Procedure for informal hearing

632.030. (a) Except as provided in this chapter, the provisions of Part 4 (commencing with Section 641.110) apply to an informal hearing.

(b) In an informal hearing the presiding officer shall regulate the course of the proceeding. The presiding officer shall permit the parties and may permit others to offer written or oral comments on the issues. The presiding officer may limit witnesses, testimony, evidence, and argument, and may limit or entirely preclude pleadings, intervention, discovery, prehearing conferences, and rebuttal.

Comment. Section 632.030 is drawn from 1981 Model State APA § 4-402. The section indicates that the informal hearing is a simplified version of the formal hearing. The informal hearing need not have a prehearing conference, discovery, or testimony of anyone other than

the parties. However, it is intended to permit agencies to allow public participation where appropriate. Section 632.010 (purpose of informal hearing procedure).

§ 632.040. Cross-examination

632.040. (a) An agency may by regulation specify categories of cases in which cross-examination is deemed not necessary for proper determination of the matter under the informal hearing procedure.

(b) Notwithstanding subdivision (a), the presiding officer may allow cross-examination of witnesses in an informal hearing if it appears to the presiding officer that in the circumstances cross-examination is necessary for proper determination of the matter.

(c) The presiding officer may preclude use of the informal hearing, or may convert an informal hearing to a formal hearing after an informal hearing is commenced, if it appears to the presiding officer that cross-examination is necessary for proper determination of the matter and that the delay, burden, or complication due to allowing cross-examination in the informal hearing will be more than minimal.

(d) The actions of the presiding officer under this section are not subject to judicial review.

Comment. Section 632.040 gives the presiding officer discretion to limit availability of the informal hearing in situations where it appears that substantial cross-examination will be necessary. For provisions on conversion, see Sections 614.010-614.050

§ 632.050. Proposed proof

632.050. (a) If the presiding officer has reason to believe that material facts are in dispute, the presiding officer may require a party to state the identity of the witnesses or other sources through which the party would propose to present proof if the proceeding were converted to a formal hearing. If disclosure of a fact, allegation, or source is privileged or expressly prohibited by a regulation, statute, or federal or state constitution, the presiding officer may require the party to indicate that confidential facts, allegations, or sources are involved, but not to disclose the confidential facts, allegations, or sources.

(b) If a party has reason to believe that essential facts must be obtained in order to permit an adequate presentation of the case, the party may inform the presiding officer regarding the general nature of the facts and the sources from which the party would propose to obtain the facts if the proceeding were converted to a formal hearing.

Comment. Section 632.050 is drawn from 1981 Model State APA § 4-403. For conversion of proceedings, see Sections 614.010-614.050.

CHAPTER 3. SPECIAL HEARING

§ 633.010. Special hearing procedure authorized

633.010. If an agency decision is required to be formulated and issued under this division, the agency may provide a special hearing procedure to govern the adjudicative proceeding, subject to the limitations in this chapter. Part 4 (commencing with Section 641.110) does not apply to a special hearing procedure except to the extent provided in this chapter or in the special hearing procedure.

Comment. Section 633.010 recognizes the authority of an agency to provide different procedures than those provided in this division to the extent authorized in this chapter. This authority does not apply in an adjudicative proceeding that is required by statute to be conducted by an administrative law judge employed by the Office of Administrative Hearings. Section 633.020 (decisions for which special hearing procedure authorized). The procedure must satisfy basic due process and public interest requirements. Section 633.030 (requirements of special hearing procedure). The procedure must be adopted through the regulation process, and must be made available to persons who appear before the agency. Section 633.040 (regulations governing special hearing procedure). The agency procedure is subject to any statute applicable to the particular agency or proceeding. Section 633.040 (regulations governing special hearing procedure); see also Section 612.140 (contrary express statute controls).

For expedited adoption of special procedures, including incorporation or readoption of existing regulations, see Section 633.050 (transitional provision for adoption of regulations).

§ 633.020. Decisions for which special hearing procedure not authorized

633.020. An agency may not require a special hearing procedure pursuant to this chapter in an adjudicative proceeding that is required by statute to be conducted by an administrative law judge employed by the Office of Administrative Hearings.

Comment. Section 633.020 limits the matters for which a special hearing procedure may be required to those in which there is no statutory requirement that the adjudicative proceeding be conducted by an administrative law judge employed by the Office of Administrative Hearings. Cf. Section 631.040 (when adjudicative proceeding required to be conducted by administrative law judge employed by OAH).

§ 633.030. Requirements of special hearing procedure

633.030. (a) A special hearing procedure shall provide an evidentiary hearing for determination of facts and is subject to all of the following requirements:

(1) The presiding officer shall be free of bias, prejudice, and interest to the extent provided in Section 643.210 (grounds for disqualification of presiding officer).

(2) The adjudicatory function shall be separated from the investigative, prosecutorial, and advocacy functions within the agency to the extent provided in Article 3 (commencing with Section 643.320) of Chapter 3 of Part 4 (separation of functions).

(3) The hearing shall be open to public observation to the extent provided in Section 648.140 (open hearings).

(4) The agency shall make available language assistance to the extent provided in Article 2 (commencing with Section 648.210) of Chapter 8 of Part 4 (language assistance), if the agency is listed in Section 648.230.

(5) Each party shall have the right to present and rebut evidence.

(6) Ex parte communications shall be restricted to the extent provided in Article 5 (commencing with Section 648.520) of Chapter 8 of Part 4 (ex parte communications).

(7) The decision shall be in writing, be based on the record, and include a statement of the factual and legal basis of the decision to the extent provided in Section 649.120 (form and contents of decision).

(8) A decision may not be relied on as precedent unless the agency designates and indexes the decision as precedent to the extent provided in Article 3 (commencing with Section 649.310) of Chapter 9 of Part 4 (precedent decisions).

(b) The special hearing procedure may include provisions equivalent to, or more protective of the rights of parties than, the requirements of subdivision (a).

Comment. Section 633.030 specifies the minimum due process and public interest requirements that must be satisfied by a special hearing procedure elected by an agency. Nothing in this section precludes the agency from adopting additional or more extensive requirements than those prescribed by this section.

Of course, there are other fundamental due process elements inherent in a "hearing" that are not itemized in this section, such as notice to the affected parties and an opportunity to be heard by the presiding officer.

It should be noted that some of the requirements of this section have limited application. See, e.g., Article 2 (commencing with Section 648.210) of Chapter 8 of Part 4 (language assistance), which applies only to designated agencies.

It should also be noted that any special statutes expressly applicable to a hearing by an agency prevail over contrary provisions of this section. Section 612.140 (contrary express statute controls).

§ 633.040. Regulations governing special hearing procedure

633.040. (a) An agency shall provide a special hearing procedure by regulation. The regulation is subject to any other statute that governs the adjudicative proceeding.

(b) A regulation that provides a special hearing procedure may do any of the following:

(1) State the special hearing procedure in a complete and self-sufficient body.

(2) State some provisions of the special hearing procedure explicitly and state other provisions of the special hearing procedure by incorporating by reference provisions of Part 4 (commencing with Section 641.110) (formal hearing) or any other statute that governs the adjudicative proceeding.

(3) Adopt Part 4 (commencing with Section 641.110) (formal hearing) as the special hearing procedure, subject to appropriate exceptions.

(c) The agency shall provide a copy of the special hearing procedure, together with a copy of or reference to any other statute that governs the adjudicative proceeding, to the person to which the agency action is directed.

(d) Notwithstanding Section 11350, a regulation that provides a special hearing procedure is not subject to judicial review on the basis of inconsistency with statute except in an adjudicative proceeding on a showing of prejudice to a party caused by the inconsistency.

Comment. Section 633.040 requires promulgation of a special hearing procedure under the normal rulemaking process, including notice to affected persons and an opportunity to be heard. The special procedure is subject to a statute applicable to the particular agency or decision. Section 612.140 (contrary express statute controls). This section is intended to make special hearing procedures accessible to persons affected by them.

Under subdivision (d), declaratory relief is not available in a challenge to the consistency with statute of a special hearing procedure. A properly promulgated agency regulation under this chapter is entitled to a rebuttable presumption that the regulation is consistent and not in conflict with statute, and reasonably necessary to effectuate the purpose of the statute. Sections 11342.2, 11343.6. The presumption of validity imposes a substantial burden of proof on a challenger. See discussion in Garcia, *Judicial Review of Rulemaking: Standards of Judicial Review*, in 1 California Public Agency Practice § 22.06 (Matthew Bender 1993).

§ 633.050. Adoption of existing regulations as special hearing procedure

633.050. (a) As used in this section:

(1) "Existing regulation" means a regulation governing an agency adjudicative proceeding properly adopted and in effect in compliance with Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 before July 1, 1997.

(2) "New regulation" means a regulation adopted under this chapter that provides a special hearing procedure.

(b) An agency may provide a special hearing procedure by adoption of a new regulation that specifies as the special hearing procedure an existing regulation or part of an existing regulation, or an existing regulation as modified in the new regulation. The following provisions govern adoption of a special hearing procedure under this subdivision:

(1) The existing regulation or part is subject to review by the Office of Administrative Law for consistency with Section 633.030 (requirements of special hearing procedure) but is not subject to further action under Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2,

(2) The new regulation, including any modification of the existing regulation, is subject to action under Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2.

(3) Notwithstanding paragraphs (1) and (2), the existing regulation and the new regulation are not subject to action under Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 to the extent provided in Section 610.940 (adoption of regulations), if the special hearing procedure is adopted by an interim or permanent regulation within the transitional period provided in Section 610.940.

Comment. Section 633.050 provides a simplified implementation process for adoption of existing regulations as an agency hearing procedure. For general provisions on adoption of

1 regulations governing administrative adjudication, see Section 610.940 (adoption of
2 regulations).

3 CHAPTER 4. EMERGENCY DECISION

4 § 634.005. Application of chapter

5 634.005. If an agency decision is required to be formulated and issued under
6 this division, the agency may select the emergency decision procedure to govern
7 the adjudicative proceeding, subject to the limitations in this chapter.

8 **Comment.** Section 634.005 makes clear that the emergency decision procedure provided
9 in this chapter applies only to decisions subject to this division. See Section 631.010
10 (application to constitutionally and statutorily required hearings). It does not apply, for
11 example, to an agency decision to seek injunctive relief. Section 631.030 (when adjudicative
12 proceeding not required). The decision whether to use the emergency procedure, if available,
13 is in the discretion of the agency. Section 631.020.

14 § 634.010. Agency regulation required

15 634.010. (a) An agency may issue an emergency decision for temporary, interim
16 relief under this chapter if the agency has adopted a regulation that makes this
17 chapter applicable.

18 (b) The regulation shall do all of the following:

19 (1) Define the circumstances in which an emergency decision may be issued
20 under this chapter.

21 (2) State the nature of the temporary, interim relief that the agency may order.

22 (3) Prescribe the procedures that will be available before and after issuance of
23 an emergency decision under this chapter. The procedures may be more
24 protective of the person to which the agency action is directed than those
25 provided in this chapter.

26 (c) This chapter does not apply to an emergency decision, including a cease and
27 desist order or temporary suspension order, issued pursuant to other express
28 statutory authority.

29 **Comment.** Section 634.010 requires specificity in agency regulations that adopt an
30 emergency decision procedure. Notwithstanding this chapter, a statute on emergency
31 decisions, including cease and desist orders and temporary suspension orders, applicable to a
32 particular agency or proceeding prevails over the provisions of this chapter. Section 612.140
33 (contrary express statute controls).

34 § 634.020. When emergency decision available

35 634.020. (a) An agency may issue an emergency decision under this chapter in
36 a situation involving an immediate danger to the public health, safety, or welfare
37 that requires immediate agency action.

38 (b) An agency may take only action under this chapter that is necessary to
39 prevent or avoid the immediate danger to the public health, safety, or welfare that
40 justifies issuance of an emergency decision.

(c) An emergency decision issued under this chapter is limited to temporary, interim relief. The temporary, interim relief is subject to judicial review under Section 634.070, and the underlying issue giving rise to the temporary, interim relief is subject to an adjudicative proceeding pursuant to Section 634.050.

Comment. Section 634.020 is drawn from 1981 Model State APA § 4-501(a)-(b). The emergency decision procedure is available only if the agency has adopted an authorizing regulation. Section 634.010.

The authority for an emergency decision to avoid immediate danger to the public health, safety, or welfare includes avoiding adverse effects on the environment, such as to fish and wildlife.

§ 634.030. Emergency decision procedure

634.030. (a) Before issuing an emergency decision under this chapter, the agency shall, if practicable, give the person to which the agency action is directed notice and an opportunity to be heard.

(b) Notice and hearing under this section may be oral or written, including notice and hearing by telephone, facsimile transmission, or other electronic means, as the circumstances permit. The hearing may be conducted in the same manner as an informal hearing.

Comment. Section 634.030 applies to the extent practicable in the circumstances of the particular emergency situation. The agency must use its discretion to determine the extent of the practicability, and give appropriate notice and opportunity to be heard accordingly. For the conduct of a hearing in the manner of an informal hearing, see Section 632.030 (procedure for informal hearing).

By regulation the agency may prescribe the emergency notice and hearing procedure. See, e.g., State Bar Rules 789-798 (proceedings re involuntary transfer to inactive status upon a finding that the attorney's conduct poses a substantial threat of harm to the public or the attorney's clients). The regulation may be more protective to the person to which the agency action is directed than the provisions of this chapter. Section 634.010 (agency regulation required).

See also Section 613.230 (extension of time).

§ 634.040. Emergency decision

634.040. (a) The agency shall issue an emergency decision, including a brief explanation of the factual and legal basis and reasons for the emergency decision, to justify the determination of an immediate danger and the agency's emergency decision to take the specific action.

(b) The agency shall give notice to the extent practicable to the person to which the agency action is directed. The emergency decision is effective when issued or as provided in the decision.

Comment. Section 634.040 is drawn from 1981 Model State APA § 4-501(c)-(d). Under this section the agency has flexibility to issue its emergency decision orally, if necessary to cope with the emergency. See also Section 613.230 (extension of time).

§ 634.050. Completion of proceedings

634.050. (a) After issuing an emergency decision under this chapter for temporary, interim relief, the agency shall conduct an adjudicative proceeding

1 under another procedure provided for in this division to resolve the underlying
2 issues giving rise to the temporary, interim relief.

3 (b) The agency shall commence an adjudicative proceeding under the formal,
4 informal, or special hearing procedure within 10 days after issuing an emergency
5 decision under this chapter, notwithstanding the pendency of proceedings for
6 administrative or judicial review of the emergency decision.

7 **Comment.** Section 634.050 is drawn from 1981 Model State APA § 4-501(e). If the
8 emergency proceedings have rendered the matter completely moot, this section does not
9 direct the agency to conduct useless follow-up proceedings, since these would not be required
10 in the circumstances.

11 Subdivision (b) requires an agency to commence an adjudicative proceeding within 10
12 days after the emergency decision. This is done, in the case of a formal hearing procedure, by
13 issuance of a notice of commencement of proceeding. Section 642.310.

14 § 634.060. Agency record

15 634.060. The agency record consists of any documents concerning the matter
16 that were considered or prepared by the agency. The agency shall maintain these
17 documents as its official record.

18 **Comment.** Section 634.060 is drawn from 1981 Model State APA § 4-501(f).

19 § 634.070. Judicial review

20 634.070. (a) On issuance of an emergency decision under this chapter, the
21 person to which the agency action is directed may obtain judicial review of the
22 decision in the manner provided in this section without prior administrative
23 review.

24 (b) Judicial review under this section shall be pursuant to Section 1094.5 of the
25 Code of Civil Procedure, subject to the following provisions:

26 (1) The hearing shall be on the earliest day that the business of the court will
27 admit of, but not later than 15 days after service of the petition on the agency.

28 (2) Where it is claimed that the findings are not supported by the evidence,
29 abuse of discretion is established if the court determines that the findings are not
30 supported by substantial evidence in the light of the whole record.

31 (3) The relief that may be ordered on judicial review is limited to a stay of the
32 emergency decision.

33 **Comment.** Section 634.070 is drawn from Section 11529(h) (interim suspension of
34 medical care professional).

35 CHAPTER 5. DECLARATORY DECISION

36 § 635.005. Application of chapter

37 635.005. If an agency decision is required to be formulated and issued under
38 this division, the agency may select the declaratory decision procedure to govern
39 the adjudicative proceeding, subject to the limitations in this chapter.

Comment. Section 635.005 makes clear that the declaratory decision procedure provided in this chapter applies only to decisions subject to this division. See Section 631.010 (application to constitutionally and statutorily required hearings).

§ 635.010. Declaratory decision permissive

635.010. (a) In case of an actual controversy, a person may apply to an agency for a declaratory decision as to the applicability to specified circumstances of a statute, regulation, or decision within the primary jurisdiction of the agency.

(b) The agency in its discretion may issue a declaratory decision in response to the application. The agency shall not issue a declaratory decision if the agency determines that any of the following applies:

(1) Issuance of the decision would be contrary to a regulation adopted under this chapter.

(2) The decision would substantially prejudice the rights of a person who would be a necessary party and who does not consent in writing to the determination of the matter by a declaratory decision proceeding.

(c) An application for a declaratory decision is not required for exhaustion of the applicant's administrative remedies for purposes of judicial review.

Comment. Chapter 5 (commencing with Section 635.060) creates, and establishes all of the requirements for, a special proceeding to be known as a "declaratory decision" proceeding. The purpose of the proceeding is to provide an inexpensive and generally available means by which a person may obtain fully reliable information as to the applicability of agency administered law to the person's particular circumstances.

It should be noted that an agency not governed by this chapter nonetheless has general power to issue a declaratory decision. This power is derived from the power to adjudicate. See, e.g., M. Asimow, *Advice to the Public from Federal Administrative Agencies* 121-22 (1973).

For the procedure by which an interested person may petition requesting adoption, amendment, or repeal of a regulation, see Gov't Code §§ 11347-11347.1.

Subdivisions (a) and (b) are drawn from 1981 Model State APA § 2-103(a). Unlike the model act, Section 635.010 is applicable only to cases involving an actual controversy, and issuance of a declaratory decision is discretionary with the agency, rather than mandatory.

Under subdivision (a), a declaratory decision may determine whether the subject of the proceeding is or is not within the agency's primary jurisdiction. See *Abelleira v. District Court of Appeal*, 17 Cal. 2d 280, 302-303, 109 P.2d 942 (1941); *United Insurance Co. v. Maloney*, 127 Cal. App. 2d 155, 157-58, 273 P.2d 579 (1954).

Subdivision (b) prohibits an agency from issuing a declaratory decision that would substantially prejudice the rights of a person who would be indispensable — that is a "necessary" — party, and who does not consent to the determination of the matter by a declaratory decision proceeding. A necessary party is one that is constitutionally entitled to notice and an opportunity to be heard — a flexible concept depending on the nature of the competing interests involved. *Horn v. County of Ventura*, 24 Cal. 3d 605, 612, 617, 596 P.2d 1134, 156 Cal. Rptr. 718 (1979). Such a person may refuse to give consent because in a declaratory decision proceeding the person might not have all of the same procedural rights the person would have in another type of adjudicative proceeding to which the person would be entitled.

Subdivision (c) makes clear that application for a declaratory decision is not a necessary part of the administrative process. A person may seek judicial review of an agency action after other administrative remedies have been exhausted; the person is not required to seek

1 declaratory relief as well. Nothing in this subdivision authorizes judicial review without
2 exhaustion of other applicable administrative remedies.

3 **§ 635.020. Notice of application**

4 635.020. Within 30 days after receipt of an application for a declaratory
5 decision, an agency shall give notice of the application, and of the right to
6 intervene, to all persons to which notice of an adjudicative proceeding is
7 otherwise required, and may give notice to any other person.

8 **Comment.** Section 635.020 is drawn from 1981 Model State APA § 2-103(c). See also
9 Section 613.230 (extension of time). For persons to whom notice of an adjudicative
10 proceeding is otherwise required, see Section 642.340 (jurisdiction over person to which the
11 agency action is directed). The right to intervene is provided by Section 635.030
12 (applicability of rules governing administrative adjudication).

13 **§ 635.030. Applicability of rules governing administrative adjudication**

14 635.030. (a) The provisions of Part 4 (commencing with Section 641.110) do
15 not apply to an agency proceeding for a declaratory decision except to the
16 extent provided in this chapter or to the extent the agency so provides by
17 regulation or order.

18 (b) Notwithstanding subdivision (a), a person who qualifies under Chapter 4
19 (commencing with Section 644.110) of Part 4 (intervention) and files a timely
20 motion for intervention in accordance with agency regulations may intervene in a
21 proceeding for a declaratory decision.

22 **Comment.** Section 635.030 is drawn from 1981 Model State APA § 2-103(d). It makes
23 clear that persons must be allowed to intervene in a declaratory decision proceeding to the
24 same extent they are allowed to intervene in other adjudicative proceedings under the formal
25 hearing procedure. It also makes clear that all the other specific procedural requirements for
26 adjudications imposed by the formal hearing procedure on an agency when it conducts an
27 adjudicative proceeding are inapplicable to a proceeding for a declaratory decision unless the
28 agency elects to make some or all of them applicable.

29 Regulations specifying precise procedures available in a declaratory proceeding may be
30 adopted under Section 635.060. The reason for exempting a declaratory decision from usual
31 procedural requirements for adjudications provided in this part is to encourage an agency to
32 issue a decision by eliminating requirements it might deem onerous. Moreover, many
33 adjudicative provisions have no applicability. For example, cross-examination is unnecessary
34 since the application establishes the facts on which the agency should rule. Oral argument
35 could also be dispensed with.

36 Note that there are no contested issues of fact in a declaratory decision proceeding because
37 its function is to declare the applicability of the law in question to unproven facts furnished
38 by the applicant. The actual existence of the facts on which the decision is based will usually
39 become an issue only in a later proceeding in which a party to the declaratory decision
40 proceeding seeks to use the decision as a justification of the party's conduct.

41 Note also that the party requesting a declaratory decision has the choice of refraining from
42 filing such an application and awaiting the ordinary agency adjudicative process governed by
43 this part.

44 A declaratory decision is, of course, subject to provisions governing judicial review of
45 agency decisions and for public inspection and indexing of agency decisions. See, e.g.,
46 Sections 6250-6268 (California Public Records Act). A declaratory decision may be given

precedential effect, subject to the provisions governing precedent decisions. See Sections 649.310-649.340 (precedent decisions).

§ 635.040. Action of agency

635.040. (a) Within 60 days after receipt of an application for a declaratory decision, an agency shall do one of the following, in writing:

(1) Issue a decision declaring the applicability of the statute, regulation, or decision in question to the specified circumstances.

(2) Set the matter for specified proceedings.

(3) Agree to issue a declaratory decision by a specified time.

(4) Decline to issue a declaratory decision, stating in writing the reasons for its action. Agency action under this paragraph is not subject to administrative or judicial review.

(b) A copy of the agency's action under subdivision (a) shall be served promptly on the applicant and any other party.

(c) If an agency has not taken action under subdivision (a) within 60 days after receipt of an application for a declaratory decision, the agency is considered to have declined to issue a declaratory decision on the matter.

Comment. Subdivision (a) of Section 635.040 is drawn from 1981 Model State APA § 2-103(e). The requirement that an agency dispose of an application within 60 days ensures a timely agency response to a declaratory decision application, thereby facilitating planning by affected parties.

Subdivision (b) is drawn from 1981 Model State APA § 2-103(f). It requires that the agency communicate to the applicant and to any other parties any action it takes in response to an application for a declaratory decision. This includes each of the types of actions listed in paragraphs (1)-(4) of subdivision (a). Service is made by personal delivery or mail or other means to the last known address of the person to which the agency action is directed. Sections 613.210 (service), 613.220 (mail).

The decision by an agency whether or not to issue a declaratory decision is within the absolute discretion of the agency and is therefore not reviewable. Subdivision (a)(4).

§ 635.050. Declaratory decision

635.050. (a) A declaratory decision shall contain the names of all parties to the proceeding, the particular facts on which it is based, and the reasons for its conclusion.

(b) A declaratory decision has the same status and binding effect as any other decision issued in an agency adjudicative proceeding.

Comment. Section 635.050 is drawn from 1981 Model State APA § 2-103(g). A declaratory decision issued by an agency is judicially reviewable; is binding on the applicant, other parties to that declaratory proceeding, and the agency, unless reversed or modified on judicial review; and has the same precedential effect as other agency adjudications.

Note that a declaratory decision, like other decisions, only determines the legal rights of the particular parties to the proceeding in which it was issued.

Note also that the requirement in this section that each declaratory decision issued contain the facts on which it is based and the reasons for its conclusion will facilitate any subsequent judicial review of the decision's legality. It also ensures a clear record of what occurred for the parties and other persons interested in the decision because of its possible precedential effect.

1 **§ 635.060. Regulations governing declaratory decision**

2 635.060. (a) The Office of Administrative Hearings shall adopt and promulgate
3 model regulations under this chapter that are consistent with the public interest
4 and with the general policy of this chapter to facilitate and encourage agency
5 issuance of reliable advice. The model regulations shall provide for all of the
6 following:

7 (1) A description of the classes of circumstances in which an agency will not
8 issue a declaratory decision.

9 (2) The form, contents, and filing of an application for a declaratory decision.

10 (3) The procedural rights of a person in relation to an application.

11 (4) The disposition of an application.

12 (b) The regulations adopted by the Office of Administrative Hearings under this
13 chapter apply in an adjudicative proceeding unless an agency adopts its own
14 regulations to govern declaratory decisions of the agency.

15 (c) By regulation an agency may modify the provisions of this chapter or make
16 the provisions of this chapter inapplicable.

17 **Comment.** Section 635.060 is drawn from 1981 Model State APA § 2-103(b). An agency
18 may choose to preclude declaratory decisions altogether.

19 Regulations should specify all of the details surrounding the declaratory decision process
20 including a specification of the precise form and contents of the application; when, how, and
21 where an application is to be filed; whether an applicant has the right to an oral argument; the
22 circumstances in which the agency will not issue a decision; and the like.

23 Regulations also should require a clear and precise presentation of facts, so that an agency
24 will not be required to rule on the application of law to unclear or excessively general facts.
25 The regulations should make clear that, if the facts are not sufficiently precise, the agency can
26 require additional facts or a narrowing of the application.

27 Agency regulations on this subject will be valid so long as the requirements they impose are
28 reasonable and are within the scope of agency discretion. To be valid these rules must also be
29 consistent with the public interest — which includes the efficient and effective
30 accomplishment of the agency's mission — and the express general policy of this chapter to
31 facilitate and encourage the issuance of reliable agency advice. Within these general limits,
32 therefore, an agency may include in its rules reasonable standing, ripeness, and other
33 requirements for obtaining a declaratory decision.

34 **CHAPTER 6. OFFICE OF ADMINISTRATIVE HEARINGS**

35 **Article 1. General Provisions**

36 **§ 636.110. Definitions**

37 636.110. Unless the provision or context requires otherwise, the following
38 definitions govern the construction of this chapter:

39 (a) "Director" means the executive officer of the Office of Administrative
40 Hearings.

41 (b) "Office" means the Office of Administrative Hearings.

42 **Comment.** Subdivision (a) of Section 636.110 restates former Section 11370.1.
43 Subdivision (b) is new.

1 **§ 636.120. Office of Administrative Hearings**

2 636.120. (a) There is in the Department of General Services the Office of
3 Administrative Hearings which is under the direction and control of an executive
4 officer who shall be known as the director.

5 (b) The director shall have the same qualifications as an administrative law
6 judge employed by the office, and shall be appointed by the Governor subject to
7 confirmation of the Senate.

8 (c) A reference in a statute or regulation to the Office of Administrative
9 Procedure means the Office of Administrative Hearings.

10 **Comment.** Section 636.120 restates former Section 11370.2.

11 **§ 636.130. Administrative law judges**

12 636.130. (a) The director shall appoint and maintain a staff of full-time, and may
13 appoint pro tempore part-time, administrative law judges sufficient to fill the
14 needs of the various state agencies.

15 (b) An administrative law judge employed by the office shall have been
16 admitted to practice law in this state for at least five years immediately preceding
17 the appointment and shall possess any additional qualifications established by the
18 State Personnel Board for the particular class of position involved.

19 **Comment.** Subdivision (a) of Section 636.130 restates the first sentence of former Section
20 11370.3 and the second sentence of former Section 11502.

21 Subdivision (b) restates the third sentence of former Section 11502.

22 **§ 636.140. Hearing personnel**

23 636.140. The director shall appoint hearing reporters and such other technical
24 and clerical personnel as may be required to perform the duties of the office.

25 **Comment.** Section 636.140 restates the second sentence of former Section 11370.3,
26 deleting the reference to "hearing officers" and the "shorthand" hearing reporter
27 limitation.

28 **§ 636.150. Assignment of administrative law judges**

29 636.150. (a) The director shall assign an administrative law judge employed by
30 the office for an adjudicative proceeding that is required by statute to be
31 conducted by an administrative law judge employed by the office.

32 (b) On request from an agency, the director may assign an administrative law
33 judge employed by the office for an adjudicative proceeding that is not required
34 by statute to be conducted by an administrative law judge employed by the
35 office.

36 (c) The director shall assign a hearing reporter as required.

37 (d) An administrative law judge employed by the office or other employee
38 assigned under this section is considered an employee of the office and not of the
39 agency to which the administrative law judge or other employee is assigned.

40 (e) When not engaged in conducting an adjudicative proceeding, an
41 administrative law judge employed by the office may be assigned by the director

to perform other duties vested in or required of the office, including those provided in Section 636.180.

Comment. Subdivision (a) of Section 636.150 supersedes the first part of the third sentence of former Section 11370.3. This provision applies to the informal hearing procedure as well as to the formal hearing procedure. Section 632.030(a) (procedure for informal hearing). Cf. Section 631.040 (when adjudicative proceeding required to be conducted by administrative law judge employed by OAH).

Subdivision (b) restates the second part of the third sentence of former Section 11370.3.

Subdivision (c) restates the third part of the third sentence of former Section 11370.3.

Subdivision (d) restates the fifth sentence of former Section 11370.3.

Subdivision (e) restates the sixth sentence of former Section 11370.3.

§ 636.160. Regulations

636.160. The office may adopt regulations for all of the following purposes:

(a) To establish further qualifications of administrative law judges employed by the office.

(b) To establish procedures for agencies to request and for the director to assign administrative law judges employed by the office.

(c) To establish procedures and adopt forms, consistent with this division and other law, to govern administrative law judges employed by the office and to govern adjudicative proceedings under this division to the extent expressly provided by statute.

(d) To establish standards and procedures for the evaluation, training, promotion, and discipline of administrative law judges employed by the office.

(e) To facilitate the performance of the responsibilities conferred on the office by this part.

Comment. Section 636.160 is drawn from 1981 Model State APA § 4-301(e).

§ 636.170. Cost of operation

636.170. The total cost to the state of maintaining and operating the office shall be determined and collected by the Department of General Services in advance or on such other basis as it may determine from the state or other public agencies for which services are provided by the office.

Comment. Section 636.170 restates former Section 11370.4.

§ 636.180. Study of administrative adjudication

636.180. (a) The office is authorized and directed to:

(1) Study the subject of administrative adjudication in all its aspects.

(2) Submit its suggestions to the various agencies in the interests of fairness, uniformity, and the expedition of business.

(3) Report its recommendations to the Governor and Legislature at the commencement of each general session.

(b) All agencies of the state shall give the office ready access to their records and full information and reasonable assistance in any matter of research requiring recourse to them or to data within their knowledge or control. Nothing in this

subdivision authorizes an agency to give access to records required by statute to be kept confidential.

Comment. Section 636.180 restates former Section 11370.5 to the extent it related to the subject of administrative adjudication, with the addition of language protecting confidentiality of records. See also Section 610.190 ("agency" defined). For authority of the Office of Administrative Law to study administrative rulemaking, see Section 11340.4.

Article 2. Medical Quality Hearing Panel

§ 636.210. Establishment and qualifications of panel

636.210. (a) There is within the office a Medical Quality Hearing Panel, consisting of no fewer than five full-time administrative law judges. The administrative law judges shall have medical training as recommended by the Division of Medical Quality of the Medical Board of California and approved by the director.

(b) The director shall determine the qualifications of panel members, supervise their training, and coordinate the publication of a reporter of decisions pursuant to this section. The panel shall include only those persons specifically qualified and shall at no time constitute more than 25 percent of the total number of administrative law judges within the office. If the members of the panel do not have a full workload, they may be assigned work by the director. When the medically related case workload exceeds the capacity of the members of the panel, additional judges shall be requested to be added to the panels as appropriate. When this workload overflow occurs on a temporary basis, the director shall supply judges from the office to adjudicate the cases.

(c) The decisions of the administrative law judges of the panel, together with any court decisions reviewing those decisions, or any court decisions relevant to medical quality adjudications shall be published in a quarterly "Medical Discipline Report," to be funded from the Contingent Fund of the Medical Board of California.

(d) The administrative law judges of the panel shall have panels of experts available. The panels of experts shall be appointed by the director, with the advice of the Medical Board of California. These panels of experts may be called as witnesses by the administrative law judges of the panel to testify on the record about any matter relevant to a proceeding and subject to cross examination by all parties. The administrative law judge may award reasonable expert witness fees to any person or persons serving on a panel of experts, which shall be paid from the Contingent Fund of the Medical Board of California.

(e) On or before April 1, 1997, the Medical Board of California shall prepare, in consultation with the office, an analysis and report that evaluates the effectiveness of the Medical Quality Hearing Panel since its creation. Among other things, the report shall analyze whether administrative adjudications against physicians have been expedited, the aging of cases at the office, whether administrative decisions and penalties ordered in the discipline of physicians have

1 become more consistent, and whether the panels of the Division of Medical
 2 Quality have adopted more proposed decisions than prior to the creation of the
 3 panel. The board shall send a copy of its report to the Chairpersons of the Senate
 4 Committee on Business and Professions and the Assembly Committee on Health,
 5 to the Office of Administrative Hearings, and to the Director of Consumer Affairs.

6 (f) This section shall remain in effect only until January 1, 1997, and as of that
 7 date is repealed, unless a later enacted statute, which is enacted before January 1,
 8 1997, deletes or extends that date.

9 **Comment.** Section 636.210 continues former Section 11371 without substantive change.
 10 See Section 636.110 (definitions).

11 **§ 636.220. Conduct of hearing by administrative law judge**

12 636.220. (a) Except as provided in subdivision (b), all adjudicative hearings and
 13 proceedings relating to the discipline or reinstatement of licensees of the Medical
 14 Board of California, including licensees of allied health agencies within the
 15 jurisdiction of the Medical Board of California, that are heard pursuant to this
 16 division, shall be conducted by an administrative law judge as designated in
 17 Section 636.210, sitting alone if the case is so assigned by the agency filing the
 18 charging pleading.

19 (b) Proceedings relating to interim orders shall be heard in accordance with
 20 Section 494.1 of the Business and Professions Code.

21 **Comment.** Section 636.220 continues former Section 11372 without substantive change.

22 **§ 636.230. Conduct of proceedings under Administrative Procedure Act**

23 636.230. All adjudicative hearings and proceedings conducted by an
 24 administrative law judge as designated in Section 636.210 shall be conducted
 25 under the terms and conditions set forth in this division, except as provided in the
 26 Medical Practice Act (Chapter 5 (commencing with Section 2000) of Division 2
 27 of the Business and Professions Code).

28 **Comment.** Section 636.230 continues former Section 11373 without substantive change.

29 **§ 636.240. Facilities and support personnel for review committee panel**

30 636.240. The office shall provide facilities and support personnel for the review
 31 committee panel and shall assess the Medical Board of California for facilities and
 32 personnel, where used to adjudicate cases involving the Medical Board of
 33 California.

34 **Comment.** Section 636.240 continues former Section 11373.3 without change. See Section
 35 636.110 (definitions).

PART 4. FORMAL HEARING

CHAPTER 1. APPLICABLE LAW AND REGULATIONS

§ 641.110. Application of part

641.110. (a) This part provides the formal hearing procedure.

(b) The formal hearing procedure governs conduct of an adjudicative proceeding for formulation and issuance of a decision under this division unless a different procedure is authorized and selected by the agency under Section 631.020 (applicable procedure)

Comment. Section 641.110 makes clear that the formal hearing procedure is the default procedure where a hearing is constitutionally or statutorily required. Section 631.010 (application to constitutionally and statutorily required hearings). Unless another hearing procedure is authorized and selected by the agency, this part governs the hearing.

Other hearing procedures are available in some circumstances. Section 631.020 (applicable procedure). The informal hearing procedure is available in small cases and cases where there is no disputed issue of fact, and in other cases designated by the agency where due process will allow it. Section 632.020 (when informal hearing may be used). A special hearing procedure may be available in cases where use of Office of Administrative Hearings personnel is not statutorily required. Section 633.020 (decisions for which special hearing procedure not authorized). The emergency decision procedure may be available in cases of immediate need. Section 634.020 (when emergency decision available). The declaratory decision procedure may be available in a case of stipulated facts. Section 635.010 (declaratory decision permissive).

§ 641.120. Modification or inapplicability of statute by regulation

641.120. (a) Except as otherwise provided in this section, if this part authorizes an agency to modify a provision of this part or make a provision of this part inapplicable by regulation, the agency may, to that extent, adopt a regulation pursuant to Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2, that modifies a provision of this part or makes a provision of this part inapplicable, and the regulation so adopted, and not this part, governs the matter.

(b) A provision of this part that authorizes an agency to modify a provision of this part or make a provision of this part inapplicable by regulation is subject to a statute that governs the matter expressly.

(c) An agency that adopts a regulation that modifies a provision of this part or makes a provision of this part inapplicable shall provide a copy of the regulation to any person to which the agency action is directed.

Comment. Section 641.120 recognizes that a number of the provisions of this part may be modified or made inapplicable by an agency to suit the circumstances of the particular type of adjudication administered by it. See, e.g., Sections 647.210 (regulations making alternative dispute resolution inapplicable), 648.310 (burden of proof). The modification or inapplicability may occur only by regulation duly adopted and promulgated under the Administrative Procedure Act. The modification may alter, or make inapplicable to the agency's adjudicative proceedings, the particular provision as to which modification or inapplicability is permitted. For transitional provisions governing interim adoption of regulations, see Section 610.940 (adoption of regulations).

1 **§ 641.130. Compilation of regulations governing adjudicative proceeding**

2 641.130. (a) Regulations adopted pursuant to Section 641.120 shall be
3 compiled in a title of the California Code of Regulations that includes other
4 regulations of the adopting agency.

5 (b) Regulations adopted by the Office of Administrative Hearings under this
6 division to govern an adjudicative proceeding may be duplicated with
7 regulations compiled pursuant to subdivision (a) or cross-referenced by them.

8 **Comment.** Section 641.130 is intended to facilitate access by the public to the law
9 governing administrative procedure.

10 **CHAPTER 2. COMMENCEMENT OF PROCEEDING**

11 **Article 1. [Reserved]**

12 **Article 2. Initiation**

13 **§ 642.210. Initiation by agency**

14 642.210. An agency may commence and conduct an adjudicative proceeding
15 with respect to a matter within the agency's jurisdiction.

16 **Comment.** Section 642.210 is drawn from 1981 Model State APA § 4-102(a). It prevents
17 any implication that Section 642.230 (agency action on application) sets forth the exclusive
18 circumstances under which an agency may initiate an adjudicative proceeding. The authority
19 in Section 642.210 for the agency to initiate an adjudicative proceeding with respect to a
20 matter within its jurisdiction includes authority for the agency to initiate a proceeding to
21 determine whether it has jurisdiction in the matter.

22 **[§ 642.220. Reserved]**

23 **§ 642.230. Agency action on application**

24 642.230. (a) An agency shall commence an adjudicative proceeding on
25 application of a person for an agency decision if a hearing is required by Section
26 631.010 (application to constitutionally and statutorily required hearings) and the
27 applicant is a person entitled to a hearing, unless any of the following provisions
28 applies:

29 (1) The agency lacks jurisdiction of the subject matter.

30 (2) Resolution of the matter requires the agency to exercise discretion within
31 the scope of subdivision (b) of Section 631.030 (when adjudicative proceeding
32 not required).

33 (3) A statute vests the agency with discretion to conduct or not to conduct an
34 adjudicative proceeding and, in the exercise of discretion, the agency has
35 determined not to conduct an adjudicative proceeding.

36 (4) Resolution of the matter does not require the agency to issue a decision that
37 determines the applicant's legal rights, duties, privileges, immunities, or other legal
38 interests.

39 (5) The matter is not timely submitted to the agency.

(6) The matter is not submitted in a form substantially complying with an applicable statute or regulation.

(b) A person who makes an application for an agency decision without expressly requesting an adjudicative proceeding does not thereby waive the right to an adjudicative proceeding.

Comment. Section 642.230 is drawn from 1981 Model State APA § 4-102(b). It supersedes any implication that may have been found under former Sections 11503 and 11504 that a third party has a right to demand that an agency conduct a proceeding. There may, however, be other specific statutes that provide initiation rights to third parties. See, e.g., Bus. & Prof. Code § 24203 (accusations against liquor licensees filed by various public officials).

Section 642.230 requires an agency to conduct an adjudicative proceeding on application of any person for an agency decision within the scope of this division. If the agency determines that any of the exceptions provided in this section is applicable, the agency may deny the application without commencing an adjudicative proceeding, or the agency may, in its discretion under Section 642.210, commence an adjudicative proceeding although under no compulsion to do so. For the time within which an agency must act with respect to an application, see Section 642.240 (time for agency action). In situations where none of the exceptions is applicable, this section establishes the right of a person to require an agency to conduct an adjudicative proceeding.

The introductory clause of subdivision (a) reinforces the point that this part only applies where a hearing is statutorily or constitutionally required. See Section 631.010 (application to constitutionally and statutorily required hearings).

Subdivision (a)(1) relieves the agency from an obligation to conduct an adjudicative proceeding if resolution of the matter requires the agency to exercise discretion to initiate or not to initiate an investigation, prosecution, adjudicative proceeding, or other proceeding before the agency or another agency or a court. For example, a person who submits a complaint about a licensee cannot compel the licensing agency to conduct an adjudicative proceeding against the licensee; the agency may exercise prosecutorial discretion to determine whether to commence or not to commence an adjudicative proceeding in each case. The agency's decision whether or not to commence an adjudicative proceeding need not itself be preceded by an adjudicative proceeding. Section 631.030(b) (adjudicative proceeding not required for initiation decision).

Subdivision (a)(3) does not and could not authorize an agency to deprive any person of procedural rights guaranteed by the constitution. If a statute purporting to authorize an agency to dispense with an adjudicative proceeding conflicts with constitutional guarantees, the agency may exercise its discretion under Section 642.210 to conduct an adjudicative proceeding even though the statute does not require it or, if the agency fails to conduct a constitutionally required adjudicative proceeding, a reviewing court may give appropriate relief.

Subdivision (a)(4) closely relates to the definition of "decision" in Section 610.310 as "agency action of specific application that determines a legal right, duty, privilege, immunity, or other legal interest of a particular person". If the applicant does not request agency action that would fit within the definition of a "decision," the agency need not commence an adjudicative proceeding. For example, if a person asks the agency to commence an adjudicative proceeding for the purpose of adopting a rule, or of carrying out a housekeeping function that affects nobody's legal rights, the request would be subject to denial because the requested agency action would not be a "decision". Subdivision (a)(4) provides that an agency need not commence an adjudicative proceeding unless *the applicant's* legal rights, duties, privileges, immunities, or other legal interests are to be determined by the requested decision. Interpretation of these terms, ultimately a matter for the courts, will clarify the range of situations in which this part entitles a person to require an

agency to conduct an adjudicative proceeding. The availability of informal adjudicative proceedings may persuade courts to develop a more hospitable approach toward applicants than would have been feasible or practicable if the only available type of adjudicative proceeding were a trial-type, formal hearing.

§ 642.240. Time for agency action

642.240. (a) The time limits in this section apply except to the extent they are inconsistent with limits established by another statute for any stage of the proceeding.

(b) Within 30 days after receipt of an application for an agency decision, the agency shall examine the application, notify the applicant of any apparent error or omission, request any additional information from the applicant or another source that the agency wishes to obtain and is permitted by law to require, and notify the applicant of the name, official title, mailing address, and telephone number of an agency member or employee who may be contacted regarding the application. Nothing in this subdivision limits the authority of the agency to request additional information more than 30 days after receipt of an application for an agency decision, but such a request and any response to the request do not extend the time provided in subdivision (c).

(c) Within 90 days after the later of (i) receipt of an application for an agency decision or (ii) receipt of the response to a timely request made by the agency under subdivision (b), the agency shall do one of the following:

(1) Approve or deny the application, in whole or in part. The agency shall serve on the applicant a written notice of any denial, which shall include a brief statement of the agency's reasons and of any administrative review available to the applicant.

(2) Commence an adjudicative proceeding.

Comment. Section 642.240 is drawn from 1981 Model State APA § 4-104(a). See also Bus. & Prof. Code §§ 485, 487 (procedure on denial of license application). It establishes time limits and notification requirements for agency action on an application for a decision. Cf. Section 633.040 (action of agency in declaratory decision procedure).

The effect of this section, when combined with Section 631.030, is that this part imposes no procedures on the agency when it decides not to conduct an adjudicative proceeding in response to an application for an agency decision, except to give a written notice of denial, with a brief statement of reasons and of any available administrative review. Agency decisions of this type, while not governed by the adjudicative procedures of this part, are subject to judicial review as a final agency action. An agency commences an adjudicative proceeding under subdivision (c)(2) by issuing an agency pleading. Section 642.310.

Failure of an agency to meet the time limits provided in this section does not entitle the applicant to issuance of a license or other action sought in the application. The applicant's remedy for the agency's failure is judicial action by writ of mandate to compel appropriate agency action.

It should be noted that the time limits provided in this section are subject to contrary statutes that govern particular proceedings. See, e.g., Bus. & Prof. Code §§ 10086 (hearing must commence within 30 days after request to Real Estate Commissioner); 11019 (hearing must commence within 15 days after request to Real Estate Commissioner).

See also Section 613.230 (extension of time).

1 Article 3. Pleadings

2 **§ 642.310. Proceeding commenced by notice of commencement**

3 642.310. An adjudicative proceeding is commenced by issuance of a notice of
4 commencement of proceeding.

5 **Comment.** Section 642.310 supersedes portions of the first sentences of former Sections
6 11503 and 11504. See also Section 610.410 ("notice of commencement of proceeding"
7 includes accusation and statement of issues). Included among the issues that may be
8 adjudicated are whether a right, authority, license, or privilege should be granted, issued, or
9 renewed on application of a person, or revoked, suspended, limited, or conditioned on
10 initiation of an agency. Sections 642.210-642.240 (initiation of proceeding).

11 By regulation an agency may require preparation of the notice of commencement of
12 proceeding by another party or may permit a denied application to serve as the notice of
13 commencement of proceeding. In such a case, verification is required unless by regulation
14 the agency provides otherwise. Section 642.320 (contents of notice of commencement of
15 proceeding).

16 **§ 642.320. Contents of notice of commencement of proceeding**

17 642.320. (a) The notice of commencement of proceeding shall be in writing and
18 shall include all of the following:

19 (1) A statement that sets forth in ordinary and concise language the issues to be
20 determined in the adjudicative proceeding, including any particular matters that
21 have come to the attention of the agency and that would justify a decision
22 against the person to which the agency action is directed and any acts or
23 omissions with which the person is charged. The statement shall be sufficient to
24 enable the person to prepare a case.

25 (2) A specification of the statutes and regulations that are at issue in the
26 adjudicative proceeding, including any with which the person to which the
27 agency action is directed must show compliance by producing proof at the
28 hearing and any the person is alleged to have violated. The specification shall not
29 consist merely of issues or charges phrased in the language of the statutes and
30 regulations.

31 (3) The remedy sought.

32 (b) The notice of commencement of proceeding shall be verified unless made by
33 a public officer acting in an official capacity or by an employee of the agency
34 before which the proceeding is to be held. The verification may be on information
35 and belief.

36 **Comment.** Section 642.320 supersedes portions of former Sections 11503 and 11504. The
37 verification requirement would apply where an agency permits preparation of the notice of
38 commencement of proceeding by another party. *Cf.* Comment to Section 642.310
39 (proceeding commenced by notice of commencement).

40 In the case of an informal hearing procedure, the notice must indicate the agency's
41 selection of the procedure. Section 632.025 (selection of informal hearing procedure).

1 **§ 642.330. Service of notice of commencement of proceeding and other information**

2 642.330. (a) On issuance of the notice of commencement of proceeding, the
3 issuing agency shall serve on the person to which the agency action is directed
4 all of the following:

5 (1) A copy of the notice of commencement of proceeding.

6 (2) A statement to the person in the form provided in subdivision (b).

7 (3) A form of response that acknowledges service of the notice of
8 commencement of proceeding and constitutes a response under Section 642.350.

9 (4) A copy of Chapter 5 (commencing with Section 645.110) (discovery).

10 (5) Any other information the agency determines is appropriate.

11 (b) The statement to the person to which the agency action is directed shall be
12 substantially in the following form:

13 You may request a hearing on this matter. If you do not request a
14 hearing, [here insert name of agency] may proceed on the notice of
15 commencement of proceeding without a hearing. Your failure to request a
16 hearing does not preclude you from serving on [here insert name of
17 agency] a statement by way of mitigation.

18 In order to request a hearing, you or a person acting on your behalf must
19 sign either the enclosed form entitled Response or your own form of
20 response as provided in Section 642.350 of the Government Code, and
21 deliver or send it to: [here insert name and address of agency]. You must
22 deliver or send the response within 15 days after the notice of
23 commencement of proceeding was personally served on you, or within 20
24 days after the notice of commencement of proceeding was sent to you.

25 You may, but need not, be represented by an attorney or other
26 authorized representative at any or all stages of this proceeding.

27 To request the names and addresses of witnesses or an opportunity to
28 inspect and copy the items mentioned in Government Code Section
29 645.230 in the possession, custody, or control of the agency, you may
30 contact: [here insert name and address of appropriate person].

31 (c) Notwithstanding Sections 613.210 (service) and 613.220 (mail), service
32 under this section shall be by certified or registered mail or by personal delivery.
33 Service may be by first class mail or other means pursuant to Section 613.220 to
34 initiate an adjudicative proceeding before an independent appeals board or other
35 independent agency if the person to which the agency action is directed has
36 previously appeared in the same or a related proceeding.

37 **Comment.** Section 642.330 is drawn from former Sections 11504 and 11505. Service
38 under this section is limited to personal service or registered or certified mail; first class mail
39 is not permissible except in cases before an appeals board such as the Unemployment
40 Insurance Appeals Board, where the person to which the agency action is directed has
41 previous involvement in the controversy and initial service provisions are therefore
42 unnecessary.

43 Service is made by personal delivery or by other appropriate means to the last known
44 address of the person to which the agency action is directed. Sections 613.210 (service) and
45 613.220 (mail). For this purpose, the person's last known address is the address maintained

1 with the agency, if the person is required to maintain an address with the agency. Section
2 613.210(b).

3 An agency that fails properly to serve the person to which the agency action is directed
4 does not acquire jurisdiction unless the person makes a general appearance. Section 642.340
5 (jurisdiction over person to which the agency action is directed).

6 The form of response may be a post card or other form provided by the agency. Signing
7 and returning the form by the person to which the agency action is directed acknowledges
8 service of the notice of commencement of proceeding and constitutes a response under
9 Section 642.350.

10 The person to which the agency action is directed may be represented by an attorney or, in
11 some circumstances, another authorized representative. See Sections 613.310-613.330
12 (representation of parties).

13 **§ 642.340. Jurisdiction over person to which the agency action is directed**

14 642.340. The agency shall make no decision that adversely affects a legal right,
15 duty, privilege, immunity, or other legal interest of the person to which the agency
16 action is directed unless the person has been served as provided in this article or
17 has responded or otherwise appeared.

18 **Comment.** Section 642.340 restates a portion of former Section 11505(c).

19 **§ 642.350. Response**

20 642.350. (a) Within 15 days after service of the notice of commencement of
21 proceeding, or a later time that the agency in its discretion permits, the person to
22 which the agency action is directed may serve a response on the agency.

23 (b) A response shall be in writing signed by the person to which the agency
24 action is directed and shall state the person's mailing address. It need not be
25 verified or follow any particular form.

26 (c) A response may do one or more of the following:

27 (1) Request a hearing or a place of hearing.

28 (2) Object to the notice of commencement of proceeding on the ground that it
29 does not state an act or omission or other ground on which the agency may
30 proceed.

31 (3) Object to the form of the notice of commencement of proceeding on the
32 ground that it is so indefinite or uncertain that the person to which the agency
33 action is directed cannot identify the particular matters in issue or prepare a case.
34 Unless objection is taken under this paragraph, all further objections to the form
35 of the notice of commencement of proceeding are considered waived.

36 (4) Admit in whole or in part the notice of commencement of proceeding.

37 (5) Present new matter by way of defense.

38 (6) Object to the notice of commencement of proceeding on the ground that,
39 under the circumstances, compliance with the requirements of a regulation would
40 result in a material violation of another regulation adopted by another agency
41 affecting substantive rights.

42 (7) Raise such other matter as may be appropriate.

(c) The person to which the agency action is directed is entitled to a hearing on the merits if the person serves a response on the agency under subdivision (a). A response constitutes a specific denial of all parts of the notice of commencement of proceeding not expressly admitted.

(d) Failure to serve a response on the agency under subdivision (a) is a default subject to the right of the person to which the agency action is directed to serve a statement by way of mitigation under Section 648.130 (default).

Comment. Section 642.350 is drawn from former Section 11506. See also Sections 613.340 (authority of attorney or other representative of party), 613.210 (service), 642.360 (amended and supplemental pleadings). If service is by mail or other means of delivery, the person to which the agency action is directed has 20 days after the date of sending in which to respond. Section 613.230 (extension of time).

If the response objects to the agency pleading on the ground that it does not state an act or omission or other ground on which the agency may proceed, or that it is indefinite or uncertain, the agency must rule on the objection before going forward with the hearing. *Byment v. Board of Medical Examiners*, 57 Cal. App. 260, 264, 207 P. 409, 411 (1922).

The authority to request a place of hearing is new. See also Section 642.430 (venue).

The references to a "hearing" include an informal hearing where appropriate.

§ 642.360. Amended and supplemental pleadings

642.360. (a) At any time before commencement of the hearing a party may amend or supplement a pleading. After commencement of the hearing a party may amend or supplement a pleading in the discretion of the presiding officer, including an amendment to conform to proof at the hearing.

(b) An amended or supplemental pleading shall be served on all parties.

(c) If an amended or supplemental pleading presents a new issue, the opposing party shall be given a reasonable opportunity to prepare a case. Any new matter is considered controverted without further pleading, and any objection to the amended or supplemental pleading may be made orally and shall be noted in the record.

(d) A reference in this part to a notice of commencement of proceeding or response includes an amended or supplemental notice or response.

Comment. Section 642.360 supersedes former Sections 11507 and 11516. It is broadened to permit amendment of responses as well as notices of commencement of proceeding, but is narrowed so that an amendment is subject to the presiding officer's discretion after commencement of the hearing. *Cf.* Code Civ. Proc. § 464 (supplemental pleading alleges facts material to case occurring after former pleading).

Article 4. Setting Matter for Hearing

§ 642.410. Time and place of hearing

642.410. (a) The agency initiating the adjudicative proceeding shall determine the time and place of the hearing. The hearing shall not be held before expiration of the time within which the person to which the agency action is directed is entitled to respond.

(b) The agency shall consult the Office of Administrative Hearings and the time and place of hearing are subject to the availability of its staff in an adjudicative proceeding that is required by statute to be conducted by an administrative law judge employed by the Office of Administrative Hearings.

Comment. Section 642.410 is drawn from former Sections 11508 and 11509.

§ 642.420. Continuances

642.420. The presiding officer may grant a continuance for good cause if any of the following conditions are satisfied:

(1) The party seeking the continuance applied for it within 15 days after the party discovered or reasonably should have discovered the event or occurrence that establishes good cause for the continuance.

(2) The party seeking the continuance is not responsible for and has made a good faith effort to prevent the condition or event that establishes good cause for the continuance.

Comment. Section 642.420 supersedes former Section 11524. The section vests continuance decisions in the presiding officer, whether or not employed by the Office of Administrative Hearings, and revises the times from 10 working days to 15 calendar days. The section eliminates the provision for special judicial review of denial of a continuance request; this matter is subject to judicial review at the same time and in the same manner as other disputed matters.

§ 642.430. Venue and change of venue

642.430. (a) The hearing shall be held in the following location:

(1) City and County of San Francisco, if the transaction occurred or the person to which the agency action is directed resides or is located within the First or Sixth Appellate District.

(2) County of Los Angeles, if the transaction occurred or the person to which the agency action is directed resides or is located within the Second Appellate District or within the Fourth Appellate District other than the County of Imperial or San Diego.

(3) County of Sacramento, if the transaction occurred or the person to which the agency action is directed resides or is located within the Third or Fifth Appellate District.

(4) County of San Diego, if the transaction occurred or the person to which the agency action is directed resides or is located within the Fourth Appellate District in the County of Imperial or San Diego.

(b) Notwithstanding subdivision (a):

(1) If the transaction occurred in a district other than that of residence or location of the person to which the agency action is directed, the agency may select the county appropriate for either district.

(2) The agency may select a different place nearer the place where the transaction occurred or the person to which the agency action is directed resides or is located.

(3) The parties may select any place within the state by agreement.

(c) The person to which the agency action is directed may move for, and the presiding officer in its discretion may grant or deny, a change in the place of the hearing. A motion for a change in the place of the hearing shall be made with 10 days after service of the notice of hearing on the person.

Comment. Section 642.330 is drawn from former Section 11508. For the notice of hearing, see Section 642.430.

Subdivision (a)(4) recognizes creation of a branch of the Office of Administrative Hearings in San Diego.

Subdivision (c) is new. It codifies practice authorizing a motion for change of venue. See 1 Ogden, California Public Agency Practice § 33.02[4][d] (1991). Grounds for change of venue include selection of an improper county and promotion of convenience of witness and ends of justice. Cf. Code Civ. Proc. § 397. Failure to move for a change in the place of the hearing within the 10 day period waives the right to object to the place of the hearing.

§ 642.440. Notice of hearing

642.440. (a) The agency shall serve a notice of hearing on all parties at least 15 days before the hearing.

(b) The notice of hearing shall be substantially in the following form and may include other information:

A hearing will be held before [here insert name of agency] at [here insert place of hearing] on [here insert date of hearing], at the hour of, on the issues stated in the notice of commencement of proceeding served on you.

If you object to the place of hearing, you must notify the presiding officer within 10 days after this notice is served on you. Failure to notify the presiding officer within 10 days will deprive you of a change in the place of hearing.

The hearing may be postponed for good cause. If you have good cause, you are obliged to notify the presiding officer within 15 days after you discover the good cause. Failure to notify the presiding officer within 15 days will deprive you of a postponement.

You may be present at the hearing. You have the right to be represented by an attorney or other authorized representative at your own expense. You are not entitled to the appointment of an attorney or other authorized representative to represent you at public expense. You are entitled to represent yourself without an attorney.

Unless the hearing is an informal hearing:

You may present any relevant evidence, and will be given full opportunity to cross-examine all witnesses testifying against you. You are entitled to the issuance of subpoenas to compel the attendance of witnesses and the production of books, documents, or other things by applying to [here insert appropriate office of agency] or the presiding officer, or by your attorney of record.

Comment. Section 642.440 is drawn from former Sections 11509 and 11505, with an increase in time from 10 to 15 days and notification of the right to seek a change of venue. See Section 642.430 (venue). If notice of hearing is sent by mail or other means, it must be

sent at least 20 days before the hearing date. Section 613.230 (extension of time). Proof of service by mail may be made by any appropriate method, including proof in the manner provided for civil actions and proceedings. See Code Civ. Proc. § 1013a.

The person to which the agency action is directed may be represented by an attorney or, in some circumstances, another authorized representative. See Sections 613.310-613.330 (representation of parties).

For limitations on procedures in an informal hearing, see Section 632.030 (procedure for informal hearing).

CHAPTER 3. PRESIDING OFFICER

Article 1. Designation of Presiding Officer

§ 643.110. OAH administrative law judge as presiding officer

643.110. The following provisions apply in an adjudicative proceeding that is required by statute to be conducted by an administrative law judge employed by the Office of Administrative Hearings:

(a) The presiding officer shall be an administrative law judge assigned by the director of the Office of Administrative Hearings.

(b) In the discretion of the agency head, the administrative law judge may hear the case alone or the agency head may hear the case with the administrative law judge.

(c) If the administrative law judge hears the case alone, the administrative law judge shall exercise all powers relating to the conduct of the hearing.

(d) If the agency head hears the case with the administrative law judge:

(1) The administrative law judge shall preside at the hearing, rule on the admission and exclusion of evidence, and advise the agency head on matters of law.

(2) The agency head shall exercise all other powers relating to the conduct of the hearing but may delegate any or all of them to the administrative law judge.

(3) The agency head shall issue a final decision as provided in Section 649.110. The administrative law judge who presided at the hearing shall be present during the consideration of the case and, if requested, shall assist and advise the agency head. No agency member who did not hear the evidence shall vote.

(4) Notwithstanding any other provision of this subdivision, if after the hearing has commenced a quorum no longer exists, the administrative law judge who is presiding shall complete the hearing as if sitting alone and shall deliver a proposed decision to the agency head as provided in Section 649.110.

Comment. Section 643.110 restates the substance of the first sentence of former Section 11512(a). Statutes apart from this division may require specific adjudicative proceedings to be conducted by an administrative law judge employed by the Office of Administrative Hearings. In addition, hearings by agencies created after the operative date of this division are required to be conducted by an administrative law judge employed by the Office of Administrative Hearings unless expressly exempted by statute. Cf. Section 631.040 (when adjudicative proceeding required to be conducted by administrative law judge employed by OAH).

1 Assignment of an administrative law judge under subdivision (a) is governed by Section
2 636.150 (Office of Administrative Hearings).

3 Subdivision (b) restates the second sentence of former Section 11512(a).

4 Subdivision (c) restates the second sentence of former Section 11512(b).

5 Subdivisions (d)(1) and (2) restate the first sentence of former Section 11512(b).
6 Subdivision (d)(3) restates former Section 11517(a) with the addition of a sentence that
7 makes clear the agency head may issue a final decision in the proceeding. Subdivision (d)(4)
8 restates former Section 11512(e).

9 **§ 643.120. Designation of presiding officer by agency head where exempt from OAH**

10 643.120. If an adjudicative proceeding is not required by statute to be
11 conducted by an administrative law judge employed by the Office of
12 Administrative Hearings, any one or more of the following persons may, in the
13 discretion of the agency head, be the presiding officer:

14 (a) The agency head.

15 (b) An agency member.

16 (c) An administrative law judge assigned by the director of the Office of
17 Administrative Hearings.

18 (d) Another person designated by the agency head.

19 **Comment.** Section 643.120 is drawn from 1981 Model State Act § 4-202(a). It uses the
20 term "presiding officer" to refer to the one or more persons who preside over a hearing. If
21 the presiding officer is more than one person, as for example when a multi-member agency
22 sits en banc, one of the persons may serve as spokesperson, but all persons collectively are
23 regarded as the presiding officer. See also Section 13 (singular includes plural).

24 Assignment of an administrative law judge under subdivision (c) is pursuant to Section
25 636.150 (assignment of administrative law judges). Discretion of the agency head to
26 designate "another person" to serve as presiding officer under subdivision (d) is subject to
27 Section 643.320 (separation of functions).

28 One consequence of determining who shall preside is provided in Sections 649.110 and
29 649.210. Under Section 649.110 (proposed and final decisions), if the agency head presides,
30 the agency head shall issue a final decision; if any other presiding officer presides, a
31 proposed decision must be issued. Section 649.210 (availability and scope of review)
32 establishes the general appealability of proposed and final decisions to the agency head.

33 For a statutory exception to the right of the agency head to designate the presiding officer,
34 see Section 643.110 (OAH administrative law judge as presiding officer).

35 **§ 643.130. Substitution of presiding officer**

36 643.130. (a) If a substitute is required for a presiding officer who is disqualified
37 or is unavailable for any other reason, the substitute shall be appointed by the
38 appointing authority.

39 (b) A substitute appointed under this section is subject to the same
40 qualifications as an original presiding officer.

41 (c) An action taken by a substitute appointed under this section is as effective
42 as if taken by an original presiding officer.

43 **Comment.** Section 643.130 is drawn from 1981 Model State APA § 4-202(e)-(f). This
44 provision also applies to the reviewing authority. Section 649.230 (review procedure). The
45 section only applies where a substitute is "required," i.e., is necessary because the presiding
46 officer is otherwise unable to act, for example because of lack of a quorum.

In cases where there is no appointing authority, e.g., the presiding officer is an elected official, this section provides for no appointment of a substitute, and the "rule of necessity" applies. Cf. former Section 11512(c) (no agency member subject to disqualification if disqualification would prevent existence of quorum qualified to act).

Article 2. Disqualification

§ 643.210. Grounds for disqualification of presiding officer

643.210. (a) The presiding officer is subject to disqualification for bias, prejudice, interest, or any other cause provided by law.

(b) It is not alone or in itself grounds for disqualification, without further evidence of bias, prejudice, or interest, that the presiding officer:

(1) Is or is not a member of a racial, ethnic, religious, sexual, or similar group and the proceeding involves the rights of that group.

(2) Has experience, technical competence, or specialized knowledge of or has in any capacity expressed a view on a legal, factual, or policy issue presented in the proceeding.

(3) Has as a lawyer or public official participated in the drafting of laws or regulations or in the effort to pass or defeat laws or regulations, the meaning, effect, or application of which is in issue in the proceeding.

(4) Is subject to the authority, direction, or discretion of or is assisted or advised by a person who has served as, investigator, prosecutor, or advocate in the proceeding, to the extent those circumstances are not prohibited by Article 3 (commencing with Section 643.320) (separation of functions).

Comment. Section 643.210 supersedes former Section 11512(c). Section 643.210 applies whether the presiding officer serves alone or with others. Other causes of disqualification provided by law include receipt of ex parte communications. Section 648.550 (disqualification of presiding officer). For separation of functions requirements, see Section 643.320. This provision also applies to the reviewing authority. Section 649.230 (review procedure).

Subdivision (a) specifies grounds for disqualification drawn from 1981 Model State APA § 4-202(b).

Subdivision (b) is drawn from Code of Civil Procedure Section 170.2 (disqualification of judges). Although subdivision (b)(2) provides that expression of a view on a legal, factual, or policy issue in the proceeding does not in itself disqualify the presiding officer under Section 643.210, disqualification in such a situation might occur under Section 643.320 (separation of functions).

§ 643.220. Self disqualification

643.220. (a) The presiding officer shall disqualify himself or herself and withdraw from a proceeding in which there are grounds for disqualification.

(b) The parties may waive disqualification under subdivision (a) by a writing that recites the basis for disqualification. The waiver is effective only when signed by all parties, accepted by the presiding officer, and included in the record.

Comment. Section 643.220 is drawn from the first sentence of former Section 11512(c) and from Code of Civil Procedure Section 170.3(b)(1). This provision also applies to the reviewing authority. Section 649.230 (review procedure).

A waiver of disqualification under subdivision (b) is a voluntary relinquishment of rights by the parties. It should be noted that the waiver may be signed by the attorney or other authorized representative of a party. Section 613.340 (authority of attorney or other representative of party). The presiding officer need not accept a waiver; the waiver is effective only if accepted by the presiding officer.

§ 643.230. Procedure for disqualification of presiding officer

643.230. (a) A party may request disqualification of the presiding officer by filing an affidavit within 10 days after receipt of notice of the presiding officer's identity or within 10 days after discovering facts establishing grounds for disqualification, whichever is later. The affidavit shall state with particularity the grounds of the request for disqualification of the presiding officer.

(b) The presiding officer whose disqualification is requested shall determine whether to grant the request. If the presiding officer is more than one person, the person whose disqualification is requested shall not participate in the determination.

(c) A determination not to grant the disqualification request shall state facts and reasons for the determination.

(d) The determination of the disqualification request is subject to administrative and judicial review at the same time, in the same manner, and to the same extent as other determinations of the presiding officer in the proceeding.

Comment. Section 643.230 supersedes former Section 11512(c). It is drawn from 1981 Model State APA § 4-202(c)-(d). This provision also applies to the reviewing authority. Section 649.230 (review procedure).

Article 3. Separation of Functions

§ 643.320. When separation required

643.320. (a) Except to the extent provided in Section 643.330:

(1) A person who has served as investigator, prosecutor, or advocate in an adjudicative proceeding or in its pre-adjudicative stage may not serve as presiding officer or assist or advise the presiding officer in the same proceeding.

(2) A person who is subject to the authority, direction, or discretion of a person who has served as investigator, prosecutor, or advocate in an adjudicative proceeding or in its pre-adjudicative stage may not serve as presiding officer in the same proceeding.

(b) This section does not apply to issuance, denial, revocation, or suspension of a driver's license pursuant to Division 6 (commencing with Section 12500) of the Vehicle Code.

Comment. Section 643.320 is drawn from 1981 Model State APA § 4-214(a)-(b). This provision also applies to the reviewing authority. Section 649.230 (review procedure).

In subdivision (a), the term "a person who has served" in any of the capacities mentioned is intended to mean a person who has personally carried out the function, and not one who has merely supervised or been organizationally connected with a person who has personally carried out the function. The separation of functions requirements are intended to apply to substantial involvement in a case by a person, and not merely marginal or trivial participation.

1 The sort of participation intended to be disqualifying is meaningful participation that is likely
 2 to affect an individual with a commitment to a particular result in the case. For this reason
 3 also, a staff member who plays a meaningful but neutral role without becoming an adversary
 4 would not be barred by the limitations of subdivision (a).

5 The separation of functions requirements of subdivision (a) are not limited to agency
 6 personnel, but include participants in the proceeding not employed by the agency. A deputy
 7 attorney general who prosecuted the case at the administrative trial level, for example, would
 8 be precluded from advising the reviewing authority at the administrative review level, except
 9 with respect to settlement matters. Section 643.330 (b)(4).

10 While subdivision (a) precludes an adversary from assisting or advising a presiding officer,
 11 it does not preclude a presiding officer from assisting or advising an adversary. Thus it would
 12 not prohibit an agency head from communicating to an adversary that a particular case
 13 should be settled or dismissed. However, a presiding officer should give assistance or advice
 14 with caution, since there may be an appearance of unfairness if assistance or advice is given to
 15 some parties but not others.

16 Subdivision (a)(2), unlike 1981 Model State APA § 4-214(b), does not preclude a
 17 subordinate of an adversary from assisting or advising the presiding officer.

18 Subdivision (b) recognizes the personnel problem faced by the Department of Motor
 19 Vehicles due to the large volume of drivers' licensing cases. Subdivision (b) makes separation
 20 of powers requirements inapplicable in drivers' licensing cases, including license
 21 classifications and endorsements. However, the separation of functions requirements would
 22 remain applicable in other Department of Motor Vehicle hearings, including schoolbus and
 23 ambulance operation certificate hearings.

24 **§ 643.330. When separation not required**

25 643.330. (a) Unless a party demonstrates other statutory grounds for
 26 disqualification:

27 (1) A person who has participated in a determination of probable cause or other
 28 equivalent preliminary determination in an adjudicative proceeding may serve as
 29 presiding officer or assist or advise the presiding officer in the same proceeding.

30 (2) A person may serve as presiding officer at successive stages of the same
 31 adjudicative proceeding.

32 (3) A person who has served as investigator, prosecutor, or advocate in an
 33 adjudicative proceeding may advise the presiding officer concerning a settlement
 34 proposal advocated by the person in the same proceeding.

35 (4) A person who has served as investigator or advocate in an adjudicative
 36 proceeding may serve as a supervisor of the presiding officer or assist or advise
 37 the presiding officer in the same proceeding if the proceeding is nonprosecutorial
 38 in character and the service, assistance, or advice occurs more than one year after
 39 the time the person served as investigator or advocate, provided the content of
 40 any advice is disclosed on the record and all parties have an opportunity to
 41 comment on the advice.

42 (5) A person who has served as investigator or advocate in an adjudicative
 43 proceeding may give advice to the presiding officer concerning a technical issue
 44 involved in the same proceeding if the proceeding is nonprosecutorial in
 45 character and the advice concerning the technical issue is necessary for, and is
 46 not otherwise reasonably available to, the presiding officer, provided the content

1 of the advice is disclosed on the record and all parties have an opportunity to
2 comment on the advice.

3 (b) Nothing in this section authorizes a communication between the presiding
4 officer and another person to the extent the communication is otherwise
5 prohibited by Section 648.520.

6 **Comment.** Section 643.330 is drawn from 1981 Model State APA § 4-214(c)-(d). This
7 provision also applies to the reviewing authority. Section 649.230 (review procedure).

8 Subdivisions (a)(1) and (a)(2), dealing with the extent to which a person may serve as
9 presiding officer at different stages of the same proceeding, should be distinguished from
10 Section 648.520, which prohibits certain ex parte communications. The policy issues in
11 Section 648.520 regarding ex parte communication between two persons differ from the
12 policy issues in subdivisions (a)(1) and (2) regarding the participation by one individual in
13 two stages of the same proceeding. There may be other grounds for disqualification, however,
14 in the event of improper ex parte communications. Subdivision (b); Section 648.550. See
15 also Section 643.210 (grounds for disqualification of presiding officer).

16 Subdivision (a)(3), permitting an investigator, prosecutor, or advocate to advise the
17 presiding officer regarding a settlement proposal, is limited to advice in support of the
18 proposed settlement; the insider may not use the opportunity to argue against a previously
19 agreed-to settlement. Cf. Alhambra City and High School Districts (1986) PERB Decision No.
20 560 [10 PERC ¶ 17046]. Insider access is permitted here in support of public policy favoring
21 settlement, and because of the consonance of interest of the parties in this situation.

22 Subdivisions (a)(4) and (a)(5) apply to nonprosecutorial types of administrative
23 adjudications, such as individualized ratemaking and power plant siting decisions. The
24 subdivisions recognize that the length and complexity of many cases of this type may as a
25 practical matter make it impossible for an agency to adhere to the separation of functions
26 requirements, given limited staffing and personnel. Subdivision (a)(4) excuses compliance
27 with the separation of functions requirements in such a case if more than one year has elapsed
28 between the contrary functions. Subdivision (a)(5) recognizes such an adjudication may
29 require advice from a person with special technical knowledge whose advice would not
30 otherwise be available to the presiding officer under standard separation of functions
31 doctrine.

32 § 643.340. Staff assistance for presiding officer

33 643.340. A presiding officer may receive assistance from a staff assistant if the
34 assistant does not (1) receive ex parte communications of a type that the
35 presiding officer would be prohibited from receiving or (2) furnish, augment,
36 diminish, or modify the evidence in the record.

37 **Comment.** Section 643.340 is drawn from 1981 Model State APA § 4-213(b). This
38 provision also applies to the reviewing authority. Section 649.230 (review procedure).

39 CHAPTER 4. INTERVENTION

40 § 644.110. Intervention

41 644.110. The presiding officer shall grant a motion for intervention if all of the
42 following conditions are satisfied:

43 (a) The motion is submitted in writing to the presiding officer, with copies
44 served on all parties named in the notice of the hearing.

(b) The motion is made as early as practicable in advance of the hearing. If there is a prehearing conference, the motion shall be made in advance of the prehearing conference and shall be resolved at the prehearing conference.

(c) The motion states facts demonstrating that the applicant's legal rights, duties, privileges, or immunities may be substantially affected by the proceeding or that the applicant qualifies as an intervenor under a statute or regulation.

(d) The presiding officer determines that the interests of justice and the orderly and prompt conduct of the proceeding will not be impaired by allowing the intervention.

Comment. Section 644.110 is drawn from 1981 Model State APA § 4-209(a). It provides that the presiding officer must grant the motion to intervene if a party satisfies the standards of the section. Subdivision (c) confers standing on an applicant to intervene on demonstrating that the applicant's "legal rights, duties, privileges, or immunities may be substantially affected by the proceeding". However, subdivision (d) imposes the further limitation that the presiding officer may grant the motion for intervention only on determining that "the interests of justice and the orderly and prompt conduct of the proceedings will not be impaired by allowing the intervention." The presiding officer is thus required to weigh the impact of the proceedings on the legal rights, etc., of the applicant for intervention (subdivision (c)) against the interests of justice and the need for orderly and prompt proceedings (subdivision (d)).

§ 644.120. Conditions on intervention

644.120. If an applicant qualifies for intervention, the presiding officer may impose conditions on the intervenor's participation in the proceedings, either at the time that intervention is granted or at a subsequent time. Conditions may include the following:

(a) Limiting the intervenor's participation to designated issues in which the intervenor has a particular interest demonstrated by the motion.

(b) Limiting or excluding the use of discovery, cross-examination, and other procedures involving the intervenor so as to promote the orderly and prompt conduct of the proceeding.

(c) Requiring two or more intervenors to combine their presentations of evidence and argument, cross-examination, discovery, and other participation in the proceeding.

(d) Limiting or excluding the intervenor's participation in settlement negotiations.

Comment. Section 644.120 is drawn from 1981 Model State APA § 4-209(c). This section, authorizing the presiding officer to impose conditions on the intervenor's participation in the proceeding, is intended to permit the presiding officer to facilitate reasonable involvement of intervenors without subjecting the proceeding to unreasonably burdensome or repetitious presentations.

§ 644.130. Order granting, denying, or modifying intervention

644.130. (a) As early as practicable in advance of the hearing the presiding officer shall issue an order granting or denying each motion for intervention, specifying any conditions, and briefly stating the reasons for the order.

(b) The presiding officer may modify the order at any time, stating the reasons for the modification.

(c) The presiding officer shall promptly give notice of an order granting, denying, or modifying intervention to the applicant and to all parties.

Comment. Section 644.130 is drawn from 1981 Model State APA § 4-209(d). By requiring advance notice of the presiding officer's order granting, denying, or modifying intervention, this section is intended to give the parties and the applicants for intervention an opportunity to prepare for the adjudicative proceeding.

§ 644.140. Intervention determination nonreviewable

644.140. Whether the interests of justice and the orderly and prompt conduct of the proceedings will be impaired by allowing intervention is a determination to be made under this chapter by the presiding officer in the presiding officer's sole discretion based on the knowledge and judgment of the presiding officer at that time, and the presiding officer's determination is not subject to administrative or judicial review.

Comment. Section 644.140 is new.

§ 644.150. Participation short of intervention

644.150. Nothing in this chapter precludes an agency from adopting a regulation that permits participation by a person short of intervention as a party, subject to Article 5 (commencing with Section 648.510) of Chapter 8 (ex parte communications).

Comment. Section 644.150 recognizes that there are ways whereby an interested person can have an impact on an ongoing adjudication without assuming the substantial litigation costs of becoming a party and without unnecessarily complicating the proceeding through the addition of more parties. Agency regulations may provide, for example, for filing of amicus briefs, testifying as a witness, or contributing to the fees of a party.

CHAPTER 5. DISCOVERY

Article 1. General provisions

§ 645.110. Application of chapter

645.110. This chapter provides the exclusive right to and method of discovery in a proceeding governed by this part.

Comment. Section 645.110 supersedes former Section 11507.5. The civil discovery provisions of the Code of Civil Procedure are inapplicable to this part except to the extent a provision of this part incorporates them.

§ 645.120. Discovery of evidence of sexual conduct

645.120. (a) This section is intended only to limit the scope of discovery. It is not intended to affect the methods of discovery allowed under this chapter.

(b) In a proceeding under subdivision (i) or (j) of Section 12940 or under Section 19572 or 19702, alleging conduct that constitutes sexual harassment,

1 sexual assault, or sexual battery, evidence of specific instances of a complainant's
 2 sexual conduct with individuals other than the alleged perpetrator is not
 3 discoverable unless it is to be offered at a hearing to attack the credibility of the
 4 complainant as provided in Section 648.470 (evidence of sexual conduct).

5 **Comment.** Section 645.120 supersedes former Section 11507.6(g).

6 **§ 645.130. Preservation of testimony by deposition**

7 645.130. (a) A party may, by petition as provided in this section, request an
 8 order that the testimony of a material witness residing within or without the state
 9 be taken by deposition in the manner prescribed by law for depositions in civil
 10 actions.

11 (b) The petition shall be verified, shall request an order that the witness appear
 12 and testify before an officer named in the petition for that purpose, and shall state
 13 all of the following:

14 (1) The nature of the pending proceeding.

15 (2) The name and address of the witness whose testimony is requested.

16 (3) A showing of the materiality of the testimony of the witness.

17 (4) A showing that the witness will be unable or cannot be compelled to attend
 18 the hearing.

19 (c) The applicant shall serve notice of hearing and a copy of the petition on the
 20 other parties to the proceeding at least 10 days before the hearing.

21 (d) If the witness resides within the state, the petition shall be made to, and an
 22 order may be issued by, the presiding officer or, if a presiding officer has not been
 23 appointed, the agency. If the witness resides without the state, the petition shall
 24 be made to, and an order may be issued by, the agency, which shall obtain an
 25 order of the superior court to that effect either in the county where the
 26 proceeding is conducted or the County of Sacramento.

27 **Comment.** Section 645.130 supersedes former Section 11511. The section authorizes the
 28 presiding officer, if one has been appointed, to order a deposition where the witness resides
 29 within the state. The section also requires notice to the other parties of the hearing on the
 30 petition. See also Section 613.230 (extension of time).

31 **Article 2. Discovery**

32 **§ 645.210. Time and manner of discovery**

33 645.210. (a) After commencement of a proceeding, a party, on written request
 34 to another party, before the hearing and within 30 days after service on the party
 35 of the notice of commencement of proceeding or within 15 days after service on
 36 the party of an additional or supplemental pleading, is entitled to discovery to the
 37 extent provided in this article.

38 (b) Notwithstanding a party's compliance with a request for discovery under
 39 this article, the party has a continuing duty to disclose and make available to the
 40 requesting party any supplemental matter within the scope of the request for

1 discovery immediately on obtaining knowledge, possession, custody, or control
2 of the matter.

3 **Comment.** Subdivision (a) of Section 645.210 supersedes the introductory portion of the
4 first paragraph of former Section 11507.6. Subdivision (b) is new. For the times within a
5 party must respond to a discovery request, see Article 3 (commencing with Section 645.310)
6 (compelling discovery).

7 **§ 645.220. Discovery of witness list**

8 645.220. A party requesting discovery under this article is entitled to obtain the
9 names and addresses of witnesses to the extent known to the other party,
10 including, but not limited to, those intended to be called to testify at the hearing.

11 **Comment.** Section 645.220 supersedes clause (1) of the first paragraph of former Section
12 11507.6. For the times within a party must respond to a discovery request, see Article 3
13 (commencing with Section 645.310) (compelling discovery).

14 **§ 645.230. Discovery of statements, writings, and reports**

15 645.230. (a) As used in this section, "statement" includes all of the following:

16 (1) A written statement by a person signed or otherwise authenticated by the
17 person.

18 (2) A stenographic, mechanical, electrical, or other recording or transcript of an
19 oral statement by a person.

20 (3) A written report or summary of an oral statement by a person.

21 (b) A party requesting discovery under this article is entitled to inspect and
22 make a copy of any of the following in the possession or custody or under the
23 control of another party:

24 (1) A statement of a witness then proposed to be called by the party or of any
25 other person, including a party or the complainant, having personal knowledge of
26 the acts, omissions, or events that are the basis for the proceeding.

27 (2) All writings, including, but not limited to, reports of mental, physical, and
28 blood examinations, and things that the party then proposes to offer in evidence.

29 (3) Any other writing or thing that is relevant.

30 (4) An investigative report made by or on behalf of the party pertaining to the
31 subject matter of the proceeding, to the extent that the report (i) contains the
32 names and addresses of witnesses or of persons having personal knowledge of
33 the acts, omissions, or events that are the basis for the proceeding, or (ii) reflects
34 matters perceived by the investigator in the course of the investigation, or (iii)
35 contains or includes by attachment any statement or writing or summary of a
36 statement or writing described in this section.

37 (c) Nothing in this section authorizes the inspection or copying of any writing
38 or thing that is privileged from disclosure by law or otherwise made confidential
39 or protected as an attorney's work product.

40 **Comment.** Section 645.230 supersedes clause (2) of the first paragraph of, subdivisions
41 (a)-(f) of, and the second and third paragraphs of, former Section 11507.6. See also Section
42 610.410 ("notice of commencement of proceeding" defined).

Subdivision (b)(1) generalizes specific provisions of former law that allowed discovery of both (1) a statement of a person, other than the person to which the agency action is directed, named in the notice of commencement of proceeding, when it is alleged that an act or omission as to the person is the basis for the adjudicative proceeding, and (2) a statement pertaining to the subject matter of the proceeding made by a party to another party or person. This generalization is for drafting convenience and is not intended to repeal any authority for discovery that existed under former law; that authority is continued in the new provision.

Although subdivision (b)(3) permits discovery of anything that is relevant, it should be noted that Section 648.420 provides the presiding officer discretion to exclude evidence.

For the times within a party must respond to a discovery request, see Article 3 (commencing with Section 645.310) (compelling discovery).

Article 3. Compelling Discovery

§ 645.310. Time for response to discovery request

645.310. A party shall respond to a request for discovery within 20 days after service of the request.

Comment. Section 645.310 is new. If the request is served by mail or other means, the party has 25 days after the date of sending in which to respond. Section 613.230 (extension of time).

§ 645.320. Motion to compel discovery

645.320. (a) If a party fails to respond to a request for discovery within the time provided in Section 645.310, the party making the request may make a motion to the presiding officer to compel discovery.

(b) A motion to compel discovery shall be made and notice of motion served on the party within 15 days after expiration of the time provided in Section 645.310, or if the party evidences refusal to respond before expiration of the time provided in Section 645.310, within 15 days after the evidence of refusal.

(c) The motion shall state facts showing the party's failure or refusal to comply with the request for discovery, a description of the matter sought to be discovered, the reason the matter is discoverable under this chapter, that a reasonable and good faith attempt to contact the party for an informal resolution of the issue has been made, and the ground of the party's refusal so far as known to party making the request.

Comment. Section 645.320 supersedes subdivision (a) and a portion of subdivision (b) of former Section 11507.7. Under this article proceedings to compel discovery are before the presiding officer rather than the superior court.

§ 645.330. Lodging matters with presiding officer

645.330. Where the matter sought to be discovered is under the custody or control of the opposing party and the opposing party asserts that the matter is not discoverable or is privileged against disclosure under this chapter, the presiding officer may order lodged with it matters provided in, and examine the

1 matters in accordance with the provisions of, subdivision (b) of Section 915 of the
2 Evidence Code.

3 **Comment.** Section 645.330 supersedes former Section 11507.7(e). Under this article
4 proceedings to compel discovery are before the presiding officer rather than the superior
5 court.

6 § 645.340. Hearing

7 645.340. (a) The hearing on the motion to compel discovery shall be within 15
8 days after the motion is made, or a later time that the presiding officer may on its
9 own motion for good cause determine. The party against which the motion is
10 made may file an opposition to the motion before or at the time of the hearing.

11 (b) The presiding officer shall decide the case on the matters examined by the
12 presiding officer in camera, the papers filed by the parties, and oral argument and
13 additional evidence that the presiding officer allows.

14 (c) The presiding officer shall consider the necessity and reasons for the
15 discovery, the diligence or lack of diligence of the party requesting discovery,
16 whether the granting of the motion will delay the commencement of the hearing
17 on the date set, and the possible prejudice to any party.

18 **Comment.** Section 645.340 supersedes a portion of subdivision (b) and subdivision (f) of
19 former Section 11507.7. Under this article proceedings to compel discovery are before the
20 presiding officer rather than the superior court.

21 § 645.350. Order compelling discovery

22 645.350. (a) Unless otherwise stipulated by the parties, the presiding officer
23 shall no later than 15 days after the hearing make its order denying or granting
24 the motion.

25 (b) The order of the presiding officer shall be in writing setting forth the matters
26 the party requesting discovery is entitled to discover under this chapter.

27 (c) The presiding officer shall serve the order on the parties. Where the order
28 grants the motion in whole or in part, the order does not become effective until 10
29 days after the date the order is served on the party. Where the order denies relief
30 to the party requesting discovery, the order is effective on the date it is served on
31 the party.

32 **Comment.** Section 645.350 supersedes former Section 11507.7(g). Under this article
33 proceedings to compel discovery are before the presiding officer rather than the superior
34 court.

35 Article 4. Subpoenas

36 § 645.410. Subpoena authority

37 645.410. Subpoenas and subpoenas duces tecum may be issued under this
38 article for attendance at the hearing and for production of documents at any
39 reasonable time and place or at the hearing.

40 **Comment.** Section 645.410 supersedes a portion of former Section 11510. This article
41 gives subpoena power to all adjudicating agencies and attorneys for parties. See Section

645.420 (issuance of subpoena). The Coastal Commission previously lacked statutory subpoena power. This section also broadens former law to allow a subpoena duces tecum to provide documents at any reasonable time and place rather than only at the hearing.

This article incorporates privacy protections from civil practice. Section 645.420(a).

§ 645.420. Issuance of subpoena

645.420. (a) Subpoenas and subpoenas duces tecum may be issued by the agency, presiding officer, or attorney of record for a party, in accordance with Sections 1985 to 1985.4, inclusive, of the Code of Civil Procedure.

(b) The process extends to all parts of the state and shall be served in accordance with Sections 1987 and 1988 of the Code of Civil Procedure.

(c) No witness is obliged to attend unless the witness is a resident of the state at the time of service.

Comment. Section 645.420 restates a portion of former Section 11510, and expands it to include issuance by an attorney and to incorporate civil practice privacy protections. See Code Civ. Proc. §§ 1985-1985.4. See also *Sehlmeyer v. Department of Gen. Services*, 21 Cal. Rptr. 2d 840 (1993). For enforcement of a subpoena, see Section 648.610.

§ 645.430. Motion to quash

645.430. (a) An objection to the terms of a subpoena or a subpoena duces tecum, including a motion to quash, may be reasonably made by a party.

(b) The objection shall be resolved by the presiding officer on terms and conditions that the presiding officer declares. The presiding officer may make another order that is appropriate to protect the parties or the witness from unreasonable or oppressive demands including violations of the right to privacy.

(c) A subpoena or a subpoena duces tecum issued by the agency on its own motion may be quashed by the agency.

Comment. Section 645.430 addresses matters not previously covered by statute but covered by regulation in some agencies. See, e.g., 20 Cal. Code Regs. § 61 (Public Utilities Commission).

§ 645.440. Witness fees

645.440. A witness appearing pursuant to a subpoena or a subpoena duces tecum, other than a party, shall receive for the appearance the following mileage and fees, to be paid by the party on whose motion the witness is subpoenaed:

(a) The same mileage allowed by law to a witness in a civil case.

(b) The same fees allowed by law to a witness in a civil case. This subdivision does not apply to an officer or employee of the state or a political subdivision of the state.

Comment. Section 645.440 restates a portion of former Section 11510. Its coverage is extended to a subpoena duces tecum and is conformed to the mileage and fees applicable in civil cases. See Sections 68093-68098 (mileage and fees in civil cases).

CHAPTER 6. PREHEARING AND SETTLEMENT CONFERENCES

Article 1. Prehearing Conference

§ 646.120. Conduct of prehearing conference

646.120. (a) On motion of a party or by order of the presiding officer, the presiding officer may conduct a prehearing conference.

(b) The presiding officer shall set the time and place for the prehearing conference, and the agency shall give reasonable written notice to all parties. The notice shall inform the parties that at the prehearing conference the proceeding may be converted into an informal hearing for disposition of the matter.

(c) The presiding officer may conduct all or part of the prehearing conference by telephone, television, or other electronic means if each participant in the conference has an opportunity to participate in and to hear the entire proceeding while it is taking place.

(d) At the prehearing conference the proceeding may be converted into an informal hearing for disposition of the matter as provided in this division. The notice of the informal hearing shall state the date of the hearing.

(e) A party who fails to attend or participate in a conference may be held in default under this part. The notice of the prehearing conference shall so inform the parties.

Comment. Subdivisions (a) and (b) of Section 646.120 supersede former Section 11511.5(a). See also Section 613.230 (extension of time).

Subdivision (c) is a procedural innovation drawn from 1981 Model State APA § 4-205(a) that allows the presiding officer to conduct all or part of the prehearing conference by telephone, television, or other electronic means, such as a conference telephone call. While subdivision (c) permits the conduct of proceedings by telephone, television, or other electronic means, the presiding officer may of course conduct the proceedings in the physical presence of all participants.

Subdivision (d) is drawn from 1981 Model State APA § 4-204(3)(vii).

Subdivision (e) is drawn from 1981 Model State APA § 4-204(3)(viii). For default procedures, see Section 648.130.

§ 646.130. Subject of prehearing conference

646.130. A prehearing conference may deal with one or more of the following matters:

- (a) Exploration of settlement possibilities.
- (b) Objections to use of informal hearing procedure.
- (c) Preparation of stipulations.
- (d) Clarification of issues.
- (e) Rulings on identity and limitation of the number of witnesses.
- (f) Objections to proffers of evidence.
- (g) Order of presentation of evidence and cross-examination.
- (h) Rulings regarding issuance of subpoenas and protective orders.

(i) Schedules for the submission of written briefs and schedules for the commencement and conduct of the hearing.

(j) Exchange of witness lists and of exhibits or documents to be offered in evidence at the hearing.

(k) Motions for intervention.

(l) Any other matters that promote the orderly and prompt conduct of the hearing.

Comment. Section 646.130 supersedes former Section 11511.5(b).

Subdivision (j) is new. If a party has not availed itself of discovery within the time periods provided by Chapter 5 (commencing with Section 645.110), it should not be permitted to use the prehearing conference as a substitute for statutory discovery. The prehearing conference is limited to an exchange of information concerning evidence to be offered at the hearing.

Subdivision (k) implements Section 644.110 (intervention).

§ 646.140. Prehearing order

646.140. The presiding officer shall issue a prehearing order incorporating the matters determined at the prehearing conference. The presiding officer may direct one or more of the parties to prepare the prehearing order.

Comment. Section 646.140 supersedes former Section 11511.5(c).

Article 2. Settlement Conference

§ 646.210. Settlement

646.210. (a) The parties to an adjudicative proceeding may settle the matter on any terms the parties determine are appropriate. This subdivision applies:

(1) After issuance of a notice of commencement of proceeding in an adjudicative proceeding to determine whether an occupational license should be revoked, suspended, limited, or conditioned.

(2) Before or after issuance of a notice of commencement of proceeding in a case other than a case described in paragraph (1).

(b) This section is subject to any necessary agency approval. An agency head may delegate the power to approve a settlement.

Comment. Subdivision (a) of Section 646.210 codifies the rule in *Rich Vision Centers, Inc. v. Board of Medical Examiners*, 144 Cal. App. 3d 110, 192 Cal. Rptr. 455 (1983). It also makes clear that an agency can settle a case without filing a notice of commencement of proceeding, except in a licensing disciplinary case. This provision is subject to a specific statute to the contrary governing the matter. See, e.g., Lab. Code § 5001 (workers' compensation settlement must be approved by board or workers' compensation judge).

§ 646.220. Mandatory settlement conference

646.220. (a) The presiding officer may order the parties to attend and participate in a settlement conference.

(b) The presiding officer at the settlement conference shall be different from the presiding officer at the hearing, except that if the adjudicative proceeding is not required by statute to be conducted by an administrative law judge employed by

the Office of Administrative Hearings, the presiding officer at the settlement conference may, but need not, be different from the presiding officer at the hearing.

(c) The presiding officer shall set the time and place for the settlement conference, and the agency shall give reasonable written notice to all parties.

(d) The presiding officer may conduct all or part of the settlement conference by telephone, television, or other electronic means if each participant in the conference has an opportunity to participate in and to hear the entire proceeding while it is taking place.

(e) A party who fails to attend or participate in a settlement conference may be held in default under this part. The notice of the settlement conference shall so inform the parties.

Comment. Under Section 646.220 a settlement conference may, but need not, be separate from the prehearing conference (at which exploration of settlement issues may occur); the conduct of the settlement conference parallels that of the prehearing conference. See Sections 646.120, 646.130 & Comments (prehearing conference).

Attendance and participation in the settlement conference is mandatory. For default procedures, see Section 648.130.

An agency may, but is not required to, put in place a system of settlement judges, whereby a judge of comparable status to the presiding officer who will hear the case is assigned to help mediate a settlement. Separate settlement judges are required in settlement conferences before the Office of Administrative Hearings.

See also Section 613.230 (extension of time).

§ 646.230. Confidentiality of settlement communications

646.230. Notwithstanding any other statute, no evidence of an offer of compromise or settlement made in settlement negotiations under this article is admissible in an adjudicative proceeding or civil action, whether as affirmative evidence, by way of impeachment, or for any other purpose.

Comment. Section 646.230 applies notwithstanding Section 648.410 (technical rules of evidence inapplicable). It is drawn from Evidence Code Section 1152 (compromise and settlement offers). See also Section 647.240 & Comment (confidentiality of communications in alternative dispute resolution).

CHAPTER 7. HEARING ALTERNATIVES

Article 1. [Reserved]

Article 2. Alternative Dispute Resolution

§ 647.210. Application of article

647.210. (a) This article is subject to a statute that requires mediation or arbitration in an adjudicative proceeding.

(b) By regulation an agency may make this article inapplicable.

Comment. Subdivision (a) of Section 647.210 recognizes that some statutes require alternative dispute resolution techniques. See, e.g., [references to be supplied, particularly relating to labor relations disputes].

§ 647.220. ADR authorized

647.220. (a) An agency may, with the consent of all the parties, refer a dispute that is the subject of an adjudicative proceeding for resolution by any of the following means:

(a) Mediation by a neutral mediator.

(b) Binding arbitration by a neutral arbitrator.

(c) Nonbinding arbitration by a neutral arbitrator. The arbitrator's decision in a nonbinding arbitration is final unless within 30 days after the arbitrator delivers the award to the agency head a party requests the agency for a de novo adjudicative proceeding. If the decision in the de novo proceeding is not more favorable to the party electing the de novo proceeding, the party shall pay the costs and fees specified in Section 1141.21 of the Code of Civil Procedure (judicial arbitration) insofar as applicable in the adjudicative proceeding.

Comment. Section 647.220 is new. Under subdivision (a), the mediator may use any mediation technique.

Subdivision (c) parallels the procedure applicable in judicial arbitration. See Code Civ. Proc. §§ 1141.20-1141.21. The costs and fees specified in Section 1141.21 for a civil proceeding may not all be applicable in an adjudicative proceeding, but subdivision (c) requires such costs and fees to be assessed to the extent they are applicable.

§ 647.230. Regulations governing ADR

647.230. (a) The Office of Administrative Hearings shall adopt and promulgate model regulations for dispute resolution under this article. The model regulations govern dispute resolution by an agency under this article, unless by regulation the agency modifies the model regulations or makes the model regulations inapplicable.

(b) The model regulations shall include provisions for selection and compensation of a mediator or arbitrator, qualifications of a mediator or arbitrator, and confidentiality of the mediation or arbitration proceeding.

Comment. Section 647.230 does not require each agency to adopt regulations. The model regulations developed by the Office of Administrative Hearings will automatically govern mediation or arbitration for an agency, unless the agency provides otherwise. The agency may choose to preclude mediation or arbitration altogether. Section 647.210 (application of article).

The Office of Administrative Hearings could maintain a roster of neutral mediators and arbitrators who are available for dispute settlement in all administrative agencies.

§ 647.240. Confidentiality and admissibility of ADR communications

647.240. Notwithstanding any other statute, a communication made in dispute resolution under this article is protected to the following extent:

(a) Anything said, any admission made, and any document prepared in the course of or pursuant to mediation under this division is a confidential

1 communication, and a party to the mediation has a privilege to refuse to disclose
2 and to prevent another from disclosing the communication, whether in an
3 adjudicative proceeding, civil action, or otherwise. This subdivision does not limit
4 the admissibility of evidence if all parties to the proceedings consent.

5 (b) No reference to nonbinding arbitration under this division or the evidence
6 produced or any other aspect of the arbitration may be made in an adjudicative
7 proceeding or civil action, whether as affirmative evidence, by way of
8 impeachment, or for any other purpose.

9 (c) No presiding officer, arbitrator, or mediator is competent to testify in a
10 subsequent administrative or civil proceeding as to a statement, conduct, decision,
11 or order occurring at or in conjunction with the dispute resolution.

12 **Comment.** Section 647.240 applies notwithstanding Section 648.410 (technical rules of
13 evidence inapplicable).

14 Subdivision (a) is analogous to Evidence Code Section 1152.5(a)-(b) (mediation).
15 Subdivision (b) is drawn from Code of Civil Procedure Section 1141.25 (arbitration) and
16 California Rules of Court 1616(c) (arbitration). Subdivision (c) is drawn from Evidence Code
17 Section 703.5.

18 CHAPTER 8. CONDUCT OF HEARING

19 Article 1. General Provisions

20 § 648.110. Presiding officer controls conduct of hearing

21 648.110. The presiding officer shall exercise all powers relating to the conduct
22 of the hearing.

23 **Comment.** Section 648.110 supplements Section 643.110 (OAH administrative law judge
24 as presiding officer). This section gives the presiding officer broad discretion over the
25 conduct of the hearing, including regulating the order of proof and personally questioning
26 witnesses. See California Administrative Hearing Practice §§ 3.20, 3.48, at 168, 193 (Cal.
27 Cont. Ed. Bar 1984). See also Section 648.420 (discretion of presiding officer to exclude
28 evidence).

29 § 648.120. Consolidation and severance

30 648.120. (a) When proceedings that involve a common question of law or fact
31 are pending, the agency or presiding officer on its own motion or on motion of a
32 party may order a joint hearing of any or all the matters at issue in the
33 proceedings. The agency or presiding officer may order all the proceedings
34 consolidated and may make orders concerning the procedure that may tend to
35 avoid unnecessary costs or delay.

36 (b) The agency or presiding officer on its own motion or on motion of a party, in
37 furtherance of convenience or to avoid prejudice or when separate hearings will
38 be conducive to expedition and economy, may order a separate hearing of any
39 issue, including an issue raised in the response, or of any number of issues.

40 (c) If the agency and presiding officer make conflicting orders under this
41 section, the agency's order controls.

Comment. Section 648.120 is drawn from Code of Civil Procedure Section 1048. Subdivision (a) is sufficiently broad to enable related cases brought before several agencies to be consolidated in a single proceeding, and to enable an agency to employ class action procedures in the agency's discretion. See also Section 13 (singular includes plural).

§ 648.130. Default

648.130. (a) Failure of the person to which the agency action is directed to serve a response or to appear at a prehearing conference or settlement conference or at the hearing is a default.

(b) If the person to which the agency action is directed defaults:

(1) The default is a waiver of the person's right to a hearing.

(2) The agency may take action based on the person's express admissions or on other evidence. Affidavits may be used as evidence without notice to the respondent.

(3) Where the burden of proof is on the person to establish that the person is entitled to the agency action sought, the agency may act without taking evidence.

(c) Notwithstanding the default of the person to which the agency action is directed, the agency or the presiding officer in its discretion may, before a proposed decision is issued, grant a hearing on reasonable notice to the parties.

(d) Within 7 days after service on the person to which the agency action is directed of a decision based on the person's default, the person may serve a written motion requesting that the decision be vacated and stating the grounds relied on. The agency in its discretion may vacate the decision and grant a hearing on a showing of good cause, including a hearing on the remedy based on a showing by way of mitigation. As used in this subdivision, good cause includes but is not limited to:

(1) Failure of the person to receive notice sent pursuant to Section 613.220.

(2) Mistake, inadvertence, surprise, or excusable neglect.

Comment. Subdivisions (a)-(c) of Section 648.130 are drawn from former Section 11506(b) and (d), with the addition of the provision enabling the presiding officer to waive a default and requiring reasonable notice, and from former Section 11520. See also Section 613.230 (extension of time).

Subdivision (d) is drawn in part from procedures used by the Unemployment Insurance Appeals Board.

§ 648.140. Open hearings

648.140. (a) The hearing is open to public observation except to the extent:

(1) A closed hearing is required in whole or in part by statute or by federal or state constitution.

(2) The presiding officer determines it is necessary to close the hearing in whole or in part to ensure a fair hearing in the circumstances of the particular case.

(b) To the extent a hearing is conducted by telephone, television, or other electronic means, subdivision (a) is satisfied if members of the public have an opportunity (1) at reasonable times, to hear or inspect the agency's record, and to

inspect any transcript obtained by the agency, and (2) to be physically present at the place where the presiding officer is conducting the hearing.

Comment. Section 648.140 supplements the Bagley-Keene Open Meeting Act, Government Code §§ 11120-11132. Closure of a hearing should be done only to the extent necessary under this section, taking into account the substantial public interest in open proceedings. It should be noted that under the Open Meeting Law deliberations on a decision to be reached based on evidence introduced in an adjudicative proceeding may be made in closed session. Section 11126(d). See also Section 610.280 ("agency member" defined).

Subdivision (a) codifies existing practice. See discussion in 1 G. Ogden, California Public Agency Practice § 37.03 (1991). Statutory protection of trade secrets and other confidential or privileged information is covered by subdivision (a)(1). See, e.g., Evid. Code §§ 1060-1063. Discretion of the presiding officer under subdivision (a)(2) could include such matters as protection of a child witness. Cf. Section 648.350 (protection of child witnesses).

Subdivision (b) is drawn in part from 1981 Model State APA § 4-211(6).

§ 648.150. Hearing by electronic means

648.150. (a) The presiding officer may conduct all or part of the hearing by telephone, television, or other electronic means if each participant in the hearing has an opportunity to participate in and to hear the entire proceeding while it is taking place and to observe exhibits.

(b) The presiding officer may not conduct all or part of a hearing by telephone, television, or other electronic means if a party shows that a determination in the proceeding will be based substantially on the credibility of a witness and that a hearing by telephone, television, or other electronic means will impair a proper determination of credibility.

Comment. Subdivision (a) of Section 648.150 is drawn from 1981 Model State APA § 4-211(4), allowing the presiding officer to conduct all or part of the hearing by telephone, television, or other electronic means, such as a conference telephone call. While subdivision (a) permits the conduct of proceedings by telephone, television, or other electronic means, the presiding officer may of course conduct the proceeding in the physical presence of all participants.

§ 648.160. Report of proceedings

648.160. (a) Except as provided in subdivision (b), the proceedings at the hearing shall be reported by a stenographic reporter or electronically, in the discretion of the agency.

(b) Notwithstanding an agency's election of electronic reporting of proceedings:

(1) The presiding officer may, if the presiding officer determines electronic reporting will not provide an adequate record of the proceedings, require stenographic reporting.

(2) A party may at the party's own expense require stenographic recording.

Comment. Section 648.160 supersedes former Section 11512(d).

Article 2. Language Assistance

§ 648.210. "Language assistance"

648.210. As used in this article, "language assistance" means oral interpretation or written translation into English of a language other than English or of English into another language for a party or witness who cannot speak or understand English or who can do so only with difficulty.

Comment. Section 648.210 supersedes former Section 11500(g). It extends this article to language translation for witnesses.

§ 648.220. Interpretation for hearing-impaired person

648.220. Nothing in this article limits the application or effect of Section 754 of the Evidence Code to interpretation for a deaf or hard-of-hearing party or witness in an adjudicative proceeding.

Comment. Section 648.220 makes clear that the language assistance provisions of this article are not intended to limit the application to adjudicative proceedings of the provisions of Evidence Code Section 754.

§ 648.230. Application of article

(a) The following state agencies shall provide language assistance in adjudicative proceedings to the extent provided in this article:

- Agricultural Labor Relations Board
- State Department of Alcohol and Drug Abuse
- Athletic Commission
- California Unemployment Insurance Appeals Board
- Board of Prison Terms
- Board of Cosmetology
- State Department of Developmental Services
- Public Employment Relations Board
- Franchise Tax Board
- State Department of Health Services
- Department of Housing and Community Development
- Department of Industrial Relations
- State Department of Mental Health
- Department of Motor Vehicles
- Notary Public Section, Office of the Secretary of State
- Public Utilities Commission
- Office of Statewide Health Planning and Development
- State Department of Social Services
- Workers' Compensation Appeals Board
- Department of the Youth Authority
- Youthful Offender Parole Board
- Bureau of Employment Agencies
- Board of Barber Examiners

1 Department of Insurance

2 State Personnel Board

3 (b) Nothing in this section prevents an agency other than an agency listed in
4 subdivision (a) from electing to adopt any of the procedures in this article,
5 provided that any selection of an interpreter is subject to Section 648.250.

6 (c) Nothing in this section prohibits an agency from providing an interpreter
7 during an informal factfinding or informal investigatory hearing.

8 **Comment.** Subdivisions (a) and (b) of Section 648.230 restate former Section 11501.5.
9 Subdivision (c) restates a portion of former Section 11500(f).

10 **§ 648.240. Provision for interpreter**

11 648.240. (a) The hearing, or any medical examination conducted for the
12 purpose of determining compensation or monetary award, shall be conducted in
13 the English language.

14 (b) If a party or the party's witness does not proficiently speak or understand
15 the English language and before commencement of the hearing or medical
16 examination requests language assistance, an agency subject to the language
17 assistance requirement of this article shall provide the party or witness an
18 interpreter.

19 (c) Except as provided in Section 648.275:

20 (1) An interpreter used in a hearing shall be certified pursuant to Section
21 648.250.

22 (2) An interpreter used in a medical examination shall be certified pursuant to
23 Section 648.255.

24 **Comment.** Section 648.240 continues the first three sentences of former Section 11513(d)
25 and extends it to witnesses as well as parties. See Section 648.210 ("language assistance"
26 defined).

27 **§ 648.245. Cost of interpreter**

28 648.245. The cost of providing an interpreter under this article shall be paid by
29 the agency having jurisdiction over the matter if the presiding officer so directs,
30 otherwise the party at whose request the interpreter is provided.

31 (b) The presiding officer's decision to direct payment shall be based upon an
32 equitable consideration of all the circumstances in each case, such as the ability of
33 the party in need of the interpreter to pay.

34 (c) Notwithstanding any other provision of this section, in a hearing before the
35 Workers' Compensation Appeals Board or the Division of Workers'
36 Compensation relating to worker's compensation claims, the payment of the costs
37 of providing an interpreter shall be governed by the rules and regulations
38 promulgated by the Workers' Compensation Appeals Board or the
39 Administrative Director of the Division of Workers' Compensation, as
40 appropriate.

41 **Comment.** Section 648.245 continues the fourth sentence and the second paragraph of
42 former Section 11513(d) without substantive change.

1 **§ 648.250. Certification of hearing interpreters**

2 648.250. (a) The State Personnel Board shall establish, maintain, administer, and
3 publish annually an updated list of certified administrative hearing interpreters it
4 has determined meet the minimum standards in interpreting skills and linguistic
5 abilities in languages designated pursuant to Section 648.260. Any interpreter so
6 listed may be examined by each employing agency to determine the interpreter's
7 knowledge of the employing agency's technical program terminology and
8 procedures.

9 (b) Court interpreters certified pursuant to Section 68562, and interpreters listed
10 on the State Personnel Board's recommended lists of court and administrative
11 hearing interpreters before July 1, 1993, shall be deemed certified for purposes of
12 this section.

13 **Comment.** Section 648.250 continues former Section 11513(e) without substantive change.

14 **§ 648.255. Certification of medical examination interpreters**

15 648.255. (a) The State Personnel Board shall establish, maintain, administer, and
16 publish annually, an updated list of certified medical examination interpreters it
17 has determined meet the minimum standards in interpreting skills and linguistic
18 abilities in languages designated pursuant to Section 648.260.

19 (b) Court interpreters certified pursuant to Section 68562 and administrative
20 hearing interpreters certified pursuant to Section 648.250 shall be deemed
21 certified for purposes of this section.

22 **Comment.** Section 648.255 continues former Section 11513(f) without substantive change.

23 **§ 648.260. Designation of languages for certification**

24 648.260. (a) The State Personnel Board shall designate the languages for which
25 certification shall be established under Sections 648.250 and 648.255. The
26 languages designated shall include, but not be limited to, Spanish, Tagalog,
27 Arabic, Cantonese, Japanese, Korean, Portuguese, and Vietnamese until the State
28 Personnel Board finds that there is an insufficient need for interpreting assistance
29 in these languages.

30 (b) The language designations shall be based on the following:

31 (1) The language needs of non-English-speaking persons appearing before the
32 administrative agencies, as determined by consultation with the agencies.

33 (2) The cost of developing a language examination.

34 (3) The availability of experts needed to develop a language examination.

35 (4) Other information the board deems relevant.

36 **Comment.** Section 648.260 continues former Section 11513(g) without substantive
37 change.

38 **§ 648.265. Certification fees**

39 648.265. (a) The State Personnel Board shall establish and charge fees for
40 applications to take interpreter examinations and for renewal of certifications. The

purpose of these fees is to cover the annual projected costs of carrying out this article. The fees may be adjusted each fiscal year by a percent that is equal to or less than the percent change in the California Necessities Index prepared by the Commission on State Finance.

(b) Each certified administrative hearing interpreter and each certified medical examination interpreter shall pay a fee, due on July 1 of each year, for the renewal of the certification. Court interpreters certified under Section 68562 shall not pay any fees required by this section.

(c) If the amount of money collected in fees is not sufficient to cover the costs of carrying out this article, the board shall charge and be reimbursed a pro rata share of the additional costs by the state agencies that conduct administrative hearings.

Comment. Section 648.265 continues former Section 11513(h) and (i) without substantive change.

§ 648.270. Decertification

648.270. The State Personnel Board may remove the name of a person from the list of certified interpreters if any of the following conditions occurs:

(a) The person is deceased.

(b) The person notifies the board that the person is unavailable for work.

(c) The person does not submit a renewal fee as required by Section 648.265.

Comment. Section 648.270 continues former Section 11513(j) without substantive change.

§ 648.275. Unavailability of certified interpreter

648.275. (a) In the event an interpreter certified pursuant to Section 648.250 cannot be present at the hearing, the hearing agency shall have discretionary authority to provisionally qualify and utilize another interpreter.

(b) In the event an interpreter certified pursuant to Section 648.255 cannot be present at the medical examination, the physician provisionally may utilize another interpreter if that fact is noted in the record of the medical evaluation.

Comment. Section 648.275 continues former Section 11513(k) without substantive change.

§ 648.280. Duty to advise party of right to interpreter

648.280. Every agency subject to the language assistance requirement of this article shall advise each party of the right to an interpreter at the same time that each party is advised of the hearing date or medical examination. Each party in need of an interpreter shall also be encouraged to give timely notice to the agency conducting the hearing or medical examination so that appropriate arrangements can be made.

Comment. Section 648.280 continues former Section 11513(l) without substantive change.

1 **§ 648.285. Confidentiality and impartiality of interpreter**

2 648.285. (a) The rules of confidentiality of the agency, if any, that apply in an
3 adjudicative proceeding shall apply to any interpreter in the hearing, whether or
4 not the rules so state.

5 (b) The interpreter shall not have had any involvement in the issues of the case
6 before the hearing.

7 **Comment.** Section 648.285 continues former Section 11513(m) and (n) without
8 substantive change.

9 **Article 3. Testimony and Witnesses**

10 **§ 648.310. Burden of proof**

11 648.310. (a) The proponent of a matter has both the burden of producing
12 evidence and the burden of proof on the matter. Except as provided in
13 subdivision (b), the burden of proof is a preponderance of the evidence.

14 (b) In an adjudicative proceeding to determine whether an occupational license
15 should be revoked, suspended, limited, or conditioned, the burden of proof is clear
16 and convincing proof unless by regulation the agency provides a different
17 burden.

18 **Comment.** Section 648.310 generally codifies case law concerning the burden of proof in
19 adjudicative proceedings. See discussion in 1 G. Ogden, California Public Agency Practice §
20 39 (1991). As used in this section, "license" includes "certificate". Section 610.360
21 ("license" defined).

22 This section is also subject to specific statutes to the contrary. See Section 612.140
23 (contrary express statute controls).

24 If a party defaults in a case where the party has the burden of proof, the agency may act
25 without taking evidence. Section 648.130 (default).

26 **§ 648.320. Presentation of testimony**

27 648.320. (a) Each party has the right to do all of the following:

28 (1) Call and examine witnesses.

29 (2) Introduce exhibits and examine exhibits introduced by the opposing party.

30 (3) Cross-examine and confront opposing witnesses on any matter relevant to
31 the issues even though that matter was not covered in the direct examination.

32 (4) Impeach a witness regardless of which party first called the witness to
33 testify.

34 (5) Rebut the evidence against the party.

35 (b) A party or person identified with a party may be called and examined as if
36 under cross-examination by an adverse party at any time during the presentation
37 of evidence by the party calling the witness.

38 **Comment.** Section 648.320 supersedes former Sections 11500(f)(2) and 11513(b).
39 Subdivision (b) is drawn from Evidence Code Section 776(a).

40 **§ 648.330. Oral and written testimony**

41 648.330. (a) Oral evidence shall be taken only on oath or affirmation.

(b) Any part of the evidence may be received in written form if to do so will expedite the hearing without claim of prejudice to the interests of a party.

(c) Documentary evidence may be received in the form of a copy or excerpt. On request, parties shall be given an opportunity to compare the copy with the original and an excerpt with the complete text if available.

Comment. Subdivision (a) of Section 648.330 restates former Sections 11500(f)(1) and 11513(a).

Subdivision (b) is drawn from 1981 Model State APA § 4-212(d).

Subdivision (c) is drawn from 1981 Model State APA § 4-212(e). It requires that parties be given an opportunity to compare a copy with the original and an excerpt with the complete text, "if available". If the original is not available, the copy or excerpt may still be received in evidence, but its probative effect is likely to be weaker than if the original or complete text were available.

For general provisions on oaths, affirmations, and certification of official acts, see Section 613.120.

§ 648.340. Affidavits

648.340. (a) At any time 15 or more days before a hearing or a continued hearing, a party may serve on the opposing party a copy of an affidavit the party proposes to introduce in evidence, together with a notice substantially in the following form:

The accompanying affidavit of [here insert name of affiant] will be introduced as evidence at the hearing in [here insert title of proceeding]. [Here insert name of affiant] will not be called to testify orally and you will not be entitled to question the affiant unless you notify [here insert name of proponent or proponent's attorney or authorized representative] at [here insert address] that you wish to cross-examine the affiant.

To be effective your request must be sent or delivered to [here insert name of proponent or proponent's attorney or authorized representative] on or before [here insert a date 10 days after the date of sending or delivery of the affidavit to the opposing party].

(b) Unless the opposing party, within ten days after service, serves on the proponent a request to cross-examine the affiant, the opposing party's right to cross-examine the affiant is waived and the affidavit, if introduced in evidence, shall be given the same effect as if the affiant had testified orally.

(c) If an opportunity to cross-examine an affiant is not given after request to cross-examine is made as provided in this section, the affidavit may be introduced in evidence, but shall be given only the same effect as other hearsay evidence.

(d) As used in this section, "affidavit" includes declaration under penalty of perjury.

Comment. Section 648.340 restates former Section 11514, except the notice must be served at least 15, rather than ten, days before the hearing, and the opposing party has ten, rather than seven, days to request cross-examination. See also Section 613.230 (extension of time). Subdivision (d) is a specific application of the general rule stated in Code of Civil Procedure Section 2015.5 (affidavit includes declaration under penalty of perjury "under any law of this state").

1 **§ 648.350. Protection of child witnesses**

2 648.350. Notwithstanding any other provision of this part, the presiding officer
3 may conduct the hearing, including the manner of examining witnesses and
4 closing the hearing, in a way that is appropriate to protect a child witness from
5 intimidation or other harm, taking into account the rights of all persons.

6 **Comment.** Section 648.350 codifies an aspect of *Seering v. Department of Social Services*,
7 194 Cal. App. 3d 298, 239 Cal. Rptr. 422 (1987). See also Section 648.140(a)(2) (discretion
8 of presiding officer to close hearing in appropriate circumstances).

9 **§ 648.360. Official notice**

10 648.360. (a) Official notice may be taken of any of the following:

11 (1) A generally accepted technical or scientific matter within the agency's
12 special field.

13 (2) A fact that may be judicially noticed by the courts of this state.

14 (b) Official notice may be taken before or after submission of the case for
15 decision. The matters of which official notice is taken shall be noted in, referred to
16 in, or appended to, the record.

17 (c) All parties present at the hearing shall be notified at the hearing, or before
18 issuance of a proposed or final decision, of the matters of which official notice is
19 taken. A party shall have a reasonable opportunity on request to rebut the
20 officially noticed matters by evidence or by written or oral presentation of
21 authority, the manner of rebuttal to be determined by the agency.

22 **Comment.** Section 648.360 supersedes former Section 11515. For matters subject to
23 judicial notice by the courts, see Evid. Code §§ 451-452.

24 Section 648.360 makes clear that all parties have an opportunity to rebut an officially
25 noticed matter, including the agency that is a party to the adjudicative proceeding. Contrast
26 *Harris v. Alcoholic Beverage Cont. App. Bd.*, 62 Cal. 2d 589, 595-97, 43 Cal. Rptr. 633
27 (1965).

28 Article 4. Evidence

29 **§ 648.410. Technical rules of evidence inapplicable**

30 648.410. (a) Except as provided in this chapter, the hearing need not be
31 conducted in accordance with technical rules relating to evidence and witnesses.

32 (b) Any relevant evidence shall be admitted if it is the sort of evidence on which
33 responsible persons are accustomed to rely in the conduct of serious affairs,
34 regardless of the existence of any common law or statutory rule that might make
35 improper the admission of the evidence over objection in a civil action.

36 **Comment.** Section 648.410 restates the first two sentences of former Section 11513(c). The
37 intent of Section 648.410 is to make available to the fact finder evidence that might not be
38 admissible under evidentiary limitations of civil or criminal cases. Thus, for example, the
39 Evidence Code rules relating to excludability of evidence about prior convictions should not
40 apply automatically in the administrative setting. Contrast *Coburn v. State Personnel Bd.*, 83
41 Cal. App. 3d 801, 148 Cal. Rptr. 134 (1978).

1 **§ 648.420. Discretion of presiding officer to exclude evidence**

2 648.420. The presiding officer in its discretion may exclude evidence if its
3 probative value is substantially outweighed by the probability that its admission
4 will necessitate undue consumption of time or create substantial danger of
5 confusing the issues.

6 **Comment.** Section 648.420 supersedes the last clause of the first paragraph of former
7 Section 11513(c) (exclusion of irrelevant and unduly repetitious evidence). It is drawn from
8 Evidence Code Section 352.

9 **§ 648.430. Review of presiding officer evidentiary rulings**

10 648.430. A ruling of the presiding officer admitting or excluding evidence is
11 subject to administrative review in the same manner and to the same extent as the
12 presiding officer's proposed decision in the proceeding.

13 **Comment.** Section 648.430 is new. It overrules any contrary implication that might be
14 drawn from former Section 11512(b).

15 **§ 648.440. Privilege**

16 648.440. The rules of privilege are effective to the extent that they are
17 otherwise required by statute to be recognized at the hearing.

18 **Comment.** Section 648.440 restates the first portion of the last sentence of the first
19 paragraph of former Section 11513(c). Under Division 8 (commencing with Section 900) of
20 the Evidence Code, the privileges applicable in some administrative proceedings are at times
21 different from those applicable in civil actions. See also Evid. Code §§ 901, 910.

22 **§ 648.450. Hearsay evidence and the residuum rule**

23 648.450. (a) Hearsay evidence may be used for the purpose of supplementing
24 or explaining other evidence but is not sufficient in itself to support a finding
25 unless it would be admissible over objection in a civil action.

26 (b) On judicial review of the decision in the proceeding, a party may object to a
27 finding supported only by hearsay evidence in violation of subdivision (a),
28 whether or not the objection was previously raised in the adjudicative
29 proceeding.

30 **Comment.** Subdivision (a) of Section 648.450 restates the third sentence of former Section
31 11513(c). Subdivision (b) provides an exception to the general requirement of exhaustion of
32 administrative remedies on judicial review.

33 **§ 648.460. Unreliable scientific evidence**

34 648.460. Notwithstanding any other provision of this chapter, evidence based
35 on methods of proof that are not generally accepted as reliable in the scientific
36 community shall be excluded.

37 **Comment.** Section 648.460 codifies case law applicable to administrative hearings. See *Seering*
38 *v. Department of Social Services*, 194 Cal. App. 3d 298, 239 Cal. Rptr. 422 (1987). This
39 section applies notwithstanding agency rules to the contrary.

1 **§ 648.470. Evidence of sexual conduct**

2 648.470. (a) As used in this section "complainant" means a person claiming to
3 have been subjected to conduct that constitutes sexual harassment, sexual
4 assault, or sexual battery.

5 (b) Notwithstanding any other provision of this chapter:

6 (1) In any proceeding under subdivision (i) or (j) of Section 12940, or Section
7 19572 or 19702, alleging conduct that constitutes sexual harassment, sexual
8 assault, or sexual battery, evidence of specific instances of a complainant's sexual
9 conduct with individuals other than the alleged perpetrator is not admissible at
10 the hearing unless offered to attack the credibility of the complainant, as provided
11 for under paragraph (2). Reputation or opinion evidence regarding the sexual
12 behavior of the complainant is not admissible for any purpose.

13 (2) Evidence of specific instances of a complainant's sexual conduct with
14 individuals other than the alleged perpetrator is presumed inadmissible absent an
15 offer of proof establishing its relevance and reliability and that its probative value
16 is not substantially outweighed by the probability that its admission will create
17 substantial danger of undue prejudice or confuse the issue.

18 **Comment.** Subdivision (a) of Section 648.470 restates former Section 11513(p). Paragraph
19 (b)(1) restates the second paragraph of former Section 11513(c). Paragraph (b)(2) restates
20 former Section 11513(o). This section applies notwithstanding agency rules to the contrary.

21 **Article 5. Ex Parte Communications**

22 **§ 648.520. Ex parte communications prohibited**

23 648.520. (a) Except as provided in subdivision (b), while the proceeding is
24 pending there shall be no communication, direct or indirect, between the
25 following persons without notice and opportunity for all parties to participate in
26 the communication:

27 (1) Between the presiding officer and a party or the attorney or other
28 authorized representative of a party, including an employee of an agency that is a
29 party.

30 (2) Between the presiding officer and an interested person outside an agency
31 that is a party.

32 (b) A communication otherwise prohibited by this section is permissible in any
33 of the following circumstances:

34 (1) The communication is for the purpose of assistance and advice to the
35 presiding officer by an employee of the agency that is a party or the attorney or
36 other authorized representative of the agency, provided the assistance or advice
37 does not violate Section 643.320 (separation of functions).

38 (2) The proceeding is nonprosecutorial in character, provided the content of the
39 communication is disclosed in the manner prescribed in Section 648.540 and all
40 parties are given an opportunity to comment on it.

(3) The communication is required for the disposition of an ex parte matter specifically authorized by statute.

(4) The communication concerns a matter of procedure or practice that is not in controversy.

Comment. Subdivision (a) of Section 648.520 is drawn from former Section 11513.5(a) and (b). See also 1981 Model State APA § 4-213(a), (c). This provision also applies to the reviewing authority. Section 649.230 (review procedure). Subdivision (a) applies to communications initiated by the presiding officer as well as communications initiated by others.

Subdivision (a) is not intended to apply to communications made to or by a presiding officer or staff assistant regarding noncontroversial matters of procedure and practice, such as the format of pleadings, number of copies required, or manner of service. Subdivision (b)(4). Such topics are not part of the merits of the matter, provided they appear to be noncontroversial in context of the specific case. However, it should be noted that a staff assistant who receives substantive ex parte communications may not aid the presiding officer. Section 643.340 (staff assistance for presiding officer).

Subdivision (a) does not preclude ex parte contacts between the agency head making a decision and any person who presided at a previous stage of the proceeding. This reverses a provision of former Section 11513.5(a).

The reference in subdivision (a)(1) to the attorney or representative of a party is consistent with Section 613.340 (authority of attorney or other representative of party).

The reference in subdivision (a)(2) to an "interested person outside the agency" replaces the former reference to a "person who has a direct or indirect interest in the outcome of the proceeding," and is drawn from federal law. See Federal APA § 557(d)(1)(A); see also *PATCO v. Federal Labor Relations Author.*, 685 F. 2d 547 (D.C. Cir. 1982) (construing the federal standard to include person with an interest beyond that of a member of the general public).

Subdivision (b)(1) qualifies the provision of this section that otherwise would preclude a presiding officer from obtaining advice from expert agency personnel even though not involved in the matter under adjudication.

Nothing in this article limits the authority of the presiding officer to conduct an in camera examination of proffered evidence. Cf. Section 645.330 (lodging discovery matters with court).

§ 648.530. Prior ex parte communication

648.530. If, while the proceeding is pending but before serving as presiding officer, a person receives a communication of a type that would be in violation of this article if received while serving as presiding officer, the person, promptly after starting to serve, shall disclose the content of the communication in the manner prescribed in Section 648.540 and all parties shall be given an opportunity to comment on it.

Comment. Section 648.530 is drawn from former Section 11513.5(c), but is limited to communications received during pendency of the proceeding. See also 1981 Model State APA § 4-213(d). This provision also applies to the reviewing authority. Section 649.230 (review procedure). A proceeding is pending on issuance of a notice of commencement of proceeding. Section 642.310 (proceeding commenced by notice of commencement).

1 **§ 648.540. Disclosure of ex parte communication received**

2 648.540. (a) If a presiding officer receives a communication in violation of this
3 article, the presiding officer shall make all of the following a part of the record of
4 the proceeding:

5 (1) If the communication is written, the writing and any written response to the
6 communication.

7 (2) If the communication is oral, a memorandum stating the substance of the
8 communication, any response made, and the identity of each person from which
9 the presiding officer received the communication.

10 (b) The presiding officer shall notify all parties that a communication described
11 in this section has been made a part of the record. A party that requests an
12 opportunity to comment on the communication within ten (10) days after notice
13 of the communication shall be allowed to comment.

14 **Comment.** Section 648.540 is drawn from former Section 11513.5(d). This provision also
15 applies to the reviewing authority. Section 649.230 (review procedure). It should be noted
16 that a staff assistant who receives substantive ex parte communications may not aid the
17 presiding officer. Section 643.340 (staff assistance for presiding officer).

18 See also Section 613.230 (extension of time).

19 **§ 648.550. Disqualification of presiding officer**

20 648.550. Receipt by the presiding officer of a communication in violation of
21 this article may provide a basis for disqualification of the presiding officer. If the
22 presiding officer is disqualified, the portion of the record pertaining to the ex
23 parte communication may be sealed by protective order of the disqualified
24 presiding officer.

25 **Comment.** Section 648.550 is drawn from former Section 11513.5(e). This provision also
26 applies to the reviewing authority. Section 649.230 (review procedure).

27 Section 648.550 permits the disqualification of a presiding officer if necessary to eliminate
28 the effect of an ex parte communication. For the disqualification procedure, see Section
29 643.230.

30 In addition, this section permits the pertinent portions of the record to be sealed by
31 protective order. The intent of this provision is to remove the improper communication from
32 the view of the successor presiding officer, while preserving it as a sealed part of the record,
33 for purposes of subsequent administrative or judicial review. Issuance of a protective order
34 under this section is permissive, not mandatory, and is therefore within the discretion of a
35 presiding officer who has knowledge of the improper communication.

36 **Article 6. Enforcement of Orders and Sanctions**

37 **§ 648.610. Misconduct in proceeding**

38 648.610. A person is subject to the contempt sanction for any of the following
39 in a proceeding before an agency under this part:

40 (a) Disobedience of or resistance to a lawful order.

41 (b) Refusal to take the oath or affirmation as a witness or thereafter refusal to be
42 examined.

(c) Obstruction or interruption of the due course of the proceeding during a hearing or near the place of the hearing by any of the following:

(1) Disorderly, contemptuous, or insolent behavior toward the presiding officer while conducting the proceeding.

(2) Breach of the peace, boisterous conduct, or violent disturbance.

(3) Other unlawful interference with the process or proceedings of the agency.

(d) Violation of the prohibition of ex parte communications under Section 648.520.

(e) Failure or refusal, without substantial justification, to comply with a deposition order, discovery request, subpoena, or other order of the presiding officer under Chapter 4 (commencing with Section 645.110), or moving, without substantial justification, to compel discovery.

Comment. Section 648.610 restates the substance of a portion of former Section 11525. Subdivision (c) is a clarifying provision drawn from Code of Civil Procedure Section 1209 (contempt of court). Subdivision (d) is new. Subdivision (e) supersedes former Section 11507.7(i).

§ 648.620. Contempt

648.620. (a) The presiding officer or reviewing authority may certify the facts that justify the contempt sanction against a person to the superior court in and for the county where the proceeding is conducted. The court shall thereupon issue an order directing the person to appear before the court at a specified time and place, and then and there to show cause why the person should not be punished for contempt. The order and a copy of the certified statement shall be served on the person. Thereafter the court has jurisdiction of the matter.

(b) The same proceedings shall be had, the same penalties may be imposed, and the person charged may purge the contempt in the same way, as in the case of a person who has committed a contempt in the trial of a civil action before a superior court.

Comment. Section 648.620 restates a portion of former Section 11525, but vests certification authority in the presiding officer or reviewing authority. For monetary sanctions for bad faith tactics, see Section 648.630. For enforcement of discovery orders, see Sections 645.310-645.360.

§ 648.630. Monetary sanctions for bad faith actions or tactics

648.630. (a) The presiding officer or agency may order a party, the party's attorney or other authorized representative, or both, to pay reasonable expenses, including attorney's fees, incurred by another party as a result of bad faith actions or tactics that are frivolous or solely intended to cause unnecessary delay as defined in Section 128.5 of the Code of Civil Procedure.

(b) The order, or denial of an order, is subject to administrative and judicial review in the same manner as a decision in the proceeding, and is enforceable by writ of execution, by the contempt sanction, or by other proper process.

Comment. Section 648.630 is new. It permits monetary sanctions against a party (including the agency) for bad faith actions or tactics. Bad faith actions or tactics could include failure

or refusal to comply with a deposition order, discovery request, subpoena, or other order of the presiding officer in discovery, or moving to compel discovery, frivolously or solely intended to cause delay. An order imposing sanctions (or denial of such an order) is reviewable in the same manner as administrative decisions generally.

For authority to seek the contempt sanction, see Section 648.620. For enforcement of discovery orders, see Sections 645.310-645.360.

CHAPTER 9. DECISION

Article 1. Issuance of Decision

§ 649.110. Proposed and final decisions

649.110. (a) If the presiding officer is the agency head, the presiding officer shall issue a final decision within 100 days after the case is submitted.

(b) If the presiding officer is not the agency head, the presiding officer shall deliver a proposed decision to the agency head within 30 days after the case is submitted, and make proof of delivery. Failure of the presiding officer to deliver a proposed decision within the time required does not prejudice any rights of the agency in the case.

(c) A proposed decision becomes a final decision at the time provided in Section 649.150.

Comment. Subdivision (a) of Section 649.110 restates the second sentence of former Section 11517(d), with the addition of authority for an agency to provide a different decision period in an exempt proceeding. See also 1981 Model State APA § 4-215(a).

The first sentence of subdivision (b) restates the first sentence of former Section 11517(b). The second sentence makes clear that the agency is not accountable for the presiding officer's failure to meet required deadlines. Nothing in subdivision (b) is intended to limit the authority of an agency to use its own internal procedures, including internal review processes, in the development of a proposed decision.

A case is submitted for purposes of this section when the hearing record is closed, in the sense that evidence has been taken and briefs submitted.

The time limits in this section may be modified by another statute. See Section 612.140 (contrary express statute controls).

For the form and contents of a decision, whether proposed or final, see Section 649.120.

Either a proposed or final decision may be subject to administrative review. Section 649.210 (availability and scope of review). See also Section 610.310 ("decision" defined). Errors in a final decision may be corrected under Section 649.170 (correction of mistakes in final decision). A proposed decision becomes final unless it is subjected to administrative review under Article 8 (commencing with Section 649.210).

§ 649.120. Form and contents of decision

649.120. (a) A proposed decision or final decision shall be in writing and shall include a statement of the factual and legal basis for the decision as to each of the principal controverted issues.

(b) The statement of the factual basis for the proposed or final decision may be in the language of, or by reference to, the pleadings. If the statement is no more than mere repetition or paraphrase of the relevant statute or regulation, the statement shall be accompanied by a concise and explicit statement of the

underlying facts of record that support the proposed or final decision. If the factual basis for the proposed or final decision includes a determination based substantially on the credibility of a witness, the statement shall identify any specific evidence of the observed demeanor, manner, or attitude of the witness that supports the determination.

(c) The statement of the factual basis for the proposed or final decision shall be based exclusively on the evidence of record in the proceeding and on matters officially noticed in the proceeding. Evidence of record may include facts known to the presiding officer and supplements to the record that are made after the hearing, provided the evidence is made a part of the record and that all parties are given an opportunity to comment on it. The presiding officer's experience, technical competence, and specialized knowledge may be utilized in evaluating evidence.

(d) Nothing in this section limits the information that may be contained in a proposed or final decision, including a summary of evidence relied on.

Comment. Section 649.120 supersedes the first two sentences of former Sections 11500(f)(4) and 11518. Under Section 649.120, the form and contents of a proposed decision and final decision are the same. Cf. former Section 11517(b) (proposed decision in form that it may be adopted as decision in case).

Subdivision (a) is drawn from the first sentence of 1981 Model State APA § 4-215(c). The decision must be supported by findings that link the evidence in the proceeding to the ultimate decision. *Topanga Ass'n for Scenic Community v. County of Los Angeles*, 11 Cal. 3d 506, 113 Cal. Rptr. 836 (1974). The requirement that the decision must include a statement of the basis for the decision is particularly significant when an agency develops new policy through the adjudication of specific cases rather than through rulemaking. Articulation of the basis for the agency's decision facilitates administrative and judicial review, helps clarify the effect of any precedential decision, see Article 3 (commencing with Section 649.310), and focuses attention on questions that the agency should address in subsequent rulemaking to supersede the policy that has been developed through adjudicative proceedings.

The requirement in subdivision (b) that a mere repetition or paraphrase of the relevant statute or regulation be accompanied by a statement of the underlying facts is drawn from the second sentence of 1981 Model APA § 4-215(c).

The requirement in subdivision (b) that a determination based on credibility be identified is derived from Wash. Rev. Code Ann. §§ 34.05.461(3), 34.05.464(4). A determination of this type is entitled to great weight on judicial review to the extent the statement of decision identifies the observed demeanor, manner, or attitude of the witness that supports the determination. Code Civ. Proc. § 1094.5 (administrative mandamus). The observed manner of a witness includes observed actions of the witness.

The first sentence of subdivision (c) codifies existing California case law. See, e.g., *Vollstedt v. City of Stockton*, 220 Cal. App. 3d 265, 269 Cal. Rptr. 404 (1990). It is drawn from the first sentence of 1981 Model State APA § 4-215(d). The second sentence codifies existing practice in some agencies. Third sentence is drawn from 1981 Model State APA § 4-215(d).

§ 649.130. Issuance of proposed decision

649.130. (a) Within 30 days after delivery of a proposed decision to the agency head, the agency head shall issue the proposed decision as a public record and serve a copy of the proposed decision on each party.

(b) Issuance and service under this section is not an adoption of a proposed decision by the agency head. Nothing in this section limits the time within which a proposed decision becomes a final decision under Section 649.150.

Comment. Subdivision (a) of Section 649.130 restates the second paragraph of former Section 11517(b) and extends it to an exempt hearing, along with the authority of the agency to vary the time allowed for issuance. Service on a party is accomplished by service on the party's attorney or authorized representative if the party has an attorney or authorized representative of record in the proceeding. Section 613.210 (service).

Subdivision (b) makes clear the distinction between the issuance requirement for a proposed decision (this section) and the time within which the agency must act before a proposed decision becomes final (Section 649.150). The time within which a proposed decision must be issued does not affect the time the agency has for acting on the proposed decision.

§ 649.140. Adoption of proposed decision

649.140. (a) Within 100 days after delivery of the proposed decision to the agency head, the agency head may summarily do any of the following:

(1) Adopt the proposed decision in its entirety as a final decision.

(2) Make technical or other minor changes in the proposed decision and adopt it as a final decision. Action by the agency head under this paragraph is limited to a clarifying change or a change of a similar nature that does not affect the factual or legal basis of the proposed decision.

(3) Reduce or otherwise mitigate a proposed remedy and adopt the balance of the proposed decision as a final decision.

(b) In proceedings under this section the agency head shall consider the proposed decision but need not review the record in the case.

Comment. Section 649.140 is drawn from the second paragraph of former Section 11517(b). The authority in subdivision (a)(2) to adopt "with changes" supplements the general authority of the agency head under Section 649.170 (correction of mistakes and clerical errors in final decision).

Mitigation of a proposed remedy under subdivision (a)(3) includes adoption of a different sanction, as well as reduction in amount, so long as the sanction adopted is not of increased severity.

It should be noted that the adoption procedure is available to an agency as an alternative to review procedures under Article 8 (commencing with Section 649.210) (administrative review of proposed decision).

§ 649.150. Time proposed decision becomes final

649.150. Unless adopted as a final decision under Section 649.140 or reviewed under Article 2 (commencing with Section 649.210), a proposed decision becomes a final decision at the earliest of the following times:

(a) If pursuant to Section 649.210 by regulation the agency precludes administrative review, at the time the proposed decision is issued by the presiding officer.

(b) If pursuant to Section 649.210 by regulation the agency limits administrative review, at the time limited in the regulation.

(c) If the agency head in the exercise of discretion denies administrative review, at the time administrative review is denied.

(d) One hundred days after delivery of the proposed decision to the agency head.

Comment. Section 649.150 supersedes the first sentence of subdivision (d) of former Section 11517. See also 1981 Model State APA § 4-220(b). The time within which a proposed decision becomes final is not affected by the time within which a copy of the proposed decision must be issued by the agency as a public record. See Section 649.130 & Comment (issuance of proposed decision).

An agency that wishes to reject a proposed decision must do so through the administrative review procedure. Cf. Section 649.240 (decision or remand).

§ 649.160. Service of final decision on parties

649.160. (a) The agency shall serve a copy of the final decision in the proceeding on each party within 10 days after the final decision is issued. The final decision shall state its effective date and shall be accompanied by a statement of the time within which judicial review of the decision may be initiated. Failure to state the time within which judicial review may be initiated extends the time to six months after service of the decision.

(b) If a proposed decision is issued and served on the parties in the proceeding and the agency head adopts the proposed decision as a final decision under Section 649.140 or the proposed decision becomes a final decision by operation of law under Section 649.150, the agency may satisfy subdivision (a) by service of a notice that states the effective date and judicial review period and that the proposed decision is the final decision or, if the final decision makes technical or other minor changes in the proposed decision, that the proposed decision is the final decision, with specified changes. A notice under this subdivision may be served simultaneously with service of a copy of the proposed decision under Section 649.130.

(c) The final decision shall be issued immediately by the agency as a public record.

Comment. Section 649.160 supersedes the third sentence of former Section 11517(b), former Section 11517(e), and the third sentence of former Section 11518. For the manner of service (including service on a party's attorney or authorized representative of record instead of the party), see Section 613.210.

The California Public Records Act governs the accessibility of a decision to the public, including exclusions from coverage, confidentiality, and agency regulations affecting access. Gov't Code §§ 6250-6268.

§ 649.170. Correction of mistakes and clerical errors in final decision

649.170. (a) Within 15 days after service of a copy of a final decision on a party, but not later than the effective date of the decision, the party may apply to the agency head for correction of a mistake or clerical error in the final decision, stating the specific ground on which the application is made. Notice of the application shall be given to the other parties to the proceeding. The application is not a prerequisite for seeking administrative or judicial review.

(c) If the agency head in the exercise of discretion denies administrative review, at the time administrative review is denied.

(d) One hundred days after delivery of the proposed decision to the agency head.

Comment. Section 649.150 supersedes the first sentence of subdivision (d) of former Section 11517. See also 1981 Model State APA § 4-220(b). The time within which a proposed decision becomes final is not affected by the time within which a copy of the proposed decision must be issued by the agency as a public record. See Section 649.130 & Comment (issuance of proposed decision).

An agency that wishes to reject a proposed decision must do so through the administrative review procedure. Cf. Section 649.240 (decision or remand).

§ 649.160. Service of final decision on parties

649.160. (a) The agency shall serve a copy of the final decision in the proceeding on each party within 10 days after the final decision is issued. The final decision shall state its effective date and shall be accompanied by a statement of the time within which judicial review of the decision may be initiated. Failure to state the time within which judicial review may be initiated extends the time to six months after service of the decision.

(b) If a proposed decision is issued and served on the parties in the proceeding and the agency head adopts the proposed decision as a final decision under Section 649.140 or the proposed decision becomes a final decision by operation of law under Section 649.150, the agency may satisfy subdivision (a) by service of a notice that states the effective date and judicial review period and that the proposed decision is the final decision or, if the final decision makes technical or other minor changes in the proposed decision, that the proposed decision is the final decision, with specified changes. A notice under this subdivision may be served simultaneously with service of a copy of the proposed decision under Section 649.130.

(c) The final decision shall be issued immediately by the agency as a public record.

Comment. Section 649.160 supersedes the third sentence of former Section 11517(b), former Section 11517(e), and the third sentence of former Section 11518. For the manner of service (including service on a party's attorney or authorized representative of record instead of the party), see Section 613.210.

The California Public Records Act governs the accessibility of a decision to the public, including exclusions from coverage, confidentiality, and agency regulations affecting access. Gov't Code §§ 6250-6268.

§ 649.170. Correction of mistakes and clerical errors in final decision

649.170. (a) Within 15 days after service of a copy of a final decision on a party, but not later than the effective date of the decision, the party may apply to the agency head for correction of a mistake or clerical error in the final decision, stating the specific ground on which the application is made. Notice of the application shall be given to the other parties to the proceeding. The application is not a prerequisite for seeking administrative or judicial review.

required to determine issues under Educ. Code § 13443). See Section 641.120 (modification or inapplicability of statute by regulation).

§ 649.220. Initiation of review

649.220. On service of a copy of a proposed or final decision that is subject to review under Section 649.210, but not later than the effective date of the decision stated in the decision or if the effective date is not stated in the decision not later than 30 days after service:

(a) A party may petition the agency head for administrative review of the proposed or final decision. The petition shall state the basis for review.

(b) The agency head on its own motion may give written notice of administrative review of the proposed or final decision. The notice shall be served on each party and, if review is limited to specified issues, shall identify the issues for review.

Comment. Section 649.220 supersedes a portion of the first sentence of former Section 11517(d). See also 1981 Model State APA § 4-216(b)-(c). For the manner of service, see Section 613.210. See also Section 613.230 (extension of time).

§ 649.230. Review procedure

649.230. (a) The reviewing authority shall decide the case on the record, including a transcript or a summary of evidence, a recording of proceedings, or other record used by the agency, of the portions of the proceeding under review that the reviewing authority considers necessary. A copy of the record shall be made available to the parties. The reviewing authority may take additional evidence that, in the exercise of reasonable diligence, could not have been produced at the hearing.

(b) The reviewing authority shall allow each party an opportunity to present a written brief or an oral argument as determined by the reviewing authority.

(c) The reviewing authority may remand the matter for further proceedings. The remand shall be to the presiding officer who formulated the proposed decision, if reasonably available.

(d) The reviewing authority is subject to the same provisions governing qualifications, separation of functions, ex parte communications, and substitution that would apply to the presiding officer in the proceeding.

Comment. Section 649.230 restates the first, second, and fifth sentences of former Section 11517(c) except that the reviewing authority is precluded from taking additional evidence (except evidence unavailable at the hearing before the presiding officer). Cf. Code Civ. Proc. § 1094.5(e); see also 1981 Model State APA § 4-216(d)-(f). The reviewing authority is the agency head or person to which the authority to review is delegated. Section 610.680 ("reviewing authority" defined).

Subdivision (a) requires only that the record be made available to the parties. The cost of providing a copy of the record is a matter left to the discretion of each agency as appropriate for its situation.

Subdivision (d) extends to the reviewing authority the provisions of this part governing qualifications (Sections 643.210-643.230), separation of functions (Sections 643.320-

643.340), ex parte communications (Sections 648.510-648.550), and substitution (Section 643.130), that are applicable to the presiding officer.

If further proceedings are required, they may be obtained on remand under Section 649.240.

§ 649.240. Decision or remand

649.240. (a) Within 100 days after presentation of briefs and arguments, or if a transcript is ordered, after receipt of the transcript, the reviewing authority shall do one of the following:

(1) Issue a final decision disposing of the proceeding.

(2) Remand the matter for further proceedings. The remand shall be to the presiding officer who formulated the proposed or final decision, if reasonably available.

(3) Reject the proposed or final decision, without remand. The reviewing authority shall dispose of the proceeding within a reasonable time after rejection.

(b) The time under subdivision (a) may be waived or extended with the written consent of all parties or for good cause. Disposition of the proceeding under subdivision (a) shall only be pursuant to the procedure provided in Section 649.230 (review procedure).

(c) A final decision or a remand for further proceedings shall be in writing and shall include, or incorporate by express reference to the original proposed or final decision, all the matters required by Section 649.120 (form and contents of decision). A remand for further proceedings shall specify the ground for remand and shall include precise instructions to the presiding officer of the action required.

(d) The reviewing authority shall cause a copy of the final decision or remand for further proceedings to be served on each party.

Comment. Section 649.240 supersedes former Section 11517(c)-(d). It is drawn in part from 1981 Model State APA § 4-216(g)-(j). Disposition of the proceeding under this section must be done pursuant to Section 649.230, which provides for either review on the record or remand; the reviewing authority may not hear the matter de novo.

Remand is required to the presiding officer who issued the proposed decision only if "reasonably" available. Thus if workloads make remand to the same presiding officer impractical, the officer would not be reasonably available, and remand need not be made to that particular person.

Specification of the ground for remand must be precise, but need not include the same details of explanation as a final decision would contain. The specification may include such matters as the need for additional proceedings resulting from newly discovered evidence.

The reviewing authority is the agency head or person to which the authority to review is delegated. Section 610.680 ("reviewing authority" defined). For the manner of service, see Section 613.210.

§ 649.250. Procedure on remand

649.250. (a) On remand, the reviewing authority may order authorized and appropriate temporary relief.

(b) The presiding officer shall prepare a revised proposed or final decision on remand based on the additional evidence and the record of the prior hearing.

(c) The revised proposed or final decision on remand shall be served on each party and is subject to correction and review to the same extent and in the same manner as an original proposed or final decision.

Comment. Subdivision (a) of Section 649.250 is drawn from 1981 Model State APA § 4-216(g). Subdivisions (b) and (c) restate the third and fourth sentences of former Section 11517(c). For the record in the proceeding, see Section 649.230 (review procedure). For the manner of service, see Section 613.210.

Article 3. Precedent Decisions

§ 649.310. Precedential effect of decision

649.310. A decision may not be expressly relied on as precedent unless it is designated as a precedent decision by the agency.

Comment. Section 649.310 is new.

§ 649.320. Designation of precedent decision

649.320. (a) An agency may designate as a precedent decision a final decision or part of a final decision that contains a significant legal or policy determination of general application that is likely to recur.

(b) Designation of a decision or part of a decision as a precedent decision is not rulemaking and need not be done under Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2, relating to rulemaking.

(c) An agency's designation of a decision or part of a decision, or failure to designate a decision or part of a decision, as a precedent decision is not subject to judicial review.

Comment. Section 649.320 recognizes the need of agencies to be able to make law and policy through adjudication as well as through rulemaking. It codifies the practice of a number of agencies to designate important decisions as precedential. See Section 12935(h) (Fair Employment and Housing Commission); Unemp. Ins. Code § 409 (Unemployment Insurance Appeals Board). Section 649.320 is intended to encourage agencies to articulate what they are doing when they make new law or policy in an adjudicative decision.

This section applies notwithstanding any contrary implication in Section 11347.5 ("underground regulations"). Nonetheless, agencies are encouraged to express precedent decisions in the form of regulations, to the extent practicable.

§ 649.330. Index of precedent decisions

649.330. (a) An agency shall maintain an index of significant legal and policy determinations made in precedent decisions. The index shall be updated not less frequently than annually, unless no precedent decision has been designated since the last preceding update.

(b) The index shall be made available to the public by subscription, and its availability shall be publicized annually in the California Regulatory Notice Register.

Comment. The index required by Section 649.330 is a public record, available for public inspection and copying.

§ 649.340. Article not retroactive

649.340. (a) This article applies to final decisions issued on or after July 1, 1997.

(b) Nothing in this article precludes an agency from designating as a precedent decision a final decision issued before July 1, 1997.

Comment. Section 649.340 minimizes the potential burden on agencies by making the precedent decision requirements prospective only.

CHAPTER 10. IMPLEMENTATION OF DECISION

§ 650.110. Effective date of decision

650.110. (a) The decision is effective on the date stated in the decision or, if the effective date is not stated in the decision, 30 days after it becomes final, unless:

(1) The agency head orders that the decision becomes effective sooner.

(2) The agency head orders that enforcement of the decision shall be stayed.

(b) A party may not be required to comply with a final decision unless the party has been served with or has actual knowledge of the final decision.

(c) A nonparty may not be required to comply with a final decision unless the agency has made the final decision available for public inspection and copying or the nonparty has actual knowledge of the final decision.

(d) This section does not preclude an agency from taking immediate action to protect the public interest in accordance with Sections 634.010-634.070 (emergency decision).

Comment. Subdivision (a) of Section 650.110 restates subdivision (a) and a portion of the first sentence of subdivision (b) of former Section 11519, with the addition of the provision for statement of the effective date in the decision. The remainder of the section is drawn from 1981 Model State APA § 4-220(c)-(d). The section distinguishes between the effective date of a decision and the time when it can be enforced. For provisions on stays, see Section 650.120.

The requirement of "actual knowledge" in subdivisions (b) and (c) is intended to include not only knowledge that an order has been issued, but also knowledge of the general contents of the order insofar as it pertains to the person who is required to comply with it. If a question arises whether a particular person had actual knowledge of an order, this must be resolved in the manner that other fact questions are resolved.

The binding effect of an order on nonparties who have actual knowledge may be illustrated by a state law that prohibits wholesalers from delivering alcoholic beverages to liquor dealers unless the dealers hold valid licenses from the state beverage agency. If the agency issues an order revoking the license of a particular dealer, this order is binding on any wholesaler who has actual knowledge of it, even before the order is made available for public inspection and copying; the order binds all wholesalers, including those without actual knowledge, after it has been made available for public inspection and copying.

§ 650.120. Stay

650.120. A stay of enforcement may be included in the decision or may be ordered at any time before the decision becomes effective.

1 **Comment.** Section 650.120 restates the first sentence of former Section 11519(b).

2 **§ 650.130. Probation**

3 650.130. (a) A stay of enforcement may be accompanied by an express
4 condition that the person to which the agency action is directed comply with
5 specified terms of probation. Specified terms of probation shall be just and
6 reasonable in the light of the findings and decision.

7 (b) Specified terms of probation may include an order of restitution that requires
8 the person to which the agency action is directed to compensate the other party
9 to a contract damaged as a result of a breach of contract by the person to which
10 the agency action is directed. In such a case, the decision shall include findings
11 that a breach of contract has occurred and shall specify the amount of actual
12 damages sustained as a result of the breach. If restitution is ordered and paid
13 under this subdivision, the amount paid shall be credited to any subsequent
14 judgment in a civil action based on the same breach of contract.

15 **Comment.** Subdivision (a) of Section 650.130 restates the last sentence of former Section
16 11519(b). Subdivision (b) restates former Section 11519(d).

17 **PART 5. JUDICIAL REVIEW**

18 **§ 660. Judicial review**

19 660. Judicial review in an adjudicative proceeding required by statute to be
20 conducted by an administrative law judge employed by the Office of
21 Administrative Hearings may be had by filing a petition for a writ of mandate in
22 accordance with the provisions of the Code of Civil Procedure, subject, however,
23 to the statutes relating to the particular agency. Except as otherwise provided in
24 this section, any such petition shall be filed within 30 days after the last day on
25 which administrative review can be ordered. The right to petition shall not be
26 affected by the failure to seek administrative review. The complete record of the
27 proceedings, or such parts thereof as are designated by the petitioner, shall be
28 prepared by the agency and shall be delivered to petitioner, within 30 days after a
29 request therefor by the petitioner, upon the payment of the fee specified in
30 Section 69950 as now or hereinafter amended for the transcript, the cost of
31 preparation of other portions of the record and for certification thereof.
32 Thereafter, the remaining balance of any costs or charges for the preparation of
33 the record shall be assessed against the petitioner whenever the agency prevails
34 on judicial review following trial of the cause. These costs or charges constitute a
35 debt of the petitioner which is collectible by the agency in the same manner as in
36 the case of an obligation under a contract, and no license shall be renewed or
37 reinstated where the petitioner has failed to pay all of these costs or charges. The
38 complete record includes the pleadings, all notices and orders issued by the
39 agency, any proposed decision by an administrative law judge, the final decision,
40 a transcript of all proceedings, the exhibits admitted or rejected, the written

1 evidence and any other papers in the case. Where petitioner, within 10 days after
2 the last day on which administrative review can be ordered, requests the agency
3 to prepare all or any part of the record the time within which a petition may be
4 filed shall be extended until 30 days after its delivery to the petitioner. The
5 agency may file with the court the original of any document in the record in lieu
6 of a copy thereof. In the event that the petitioner prevails in overturning the
7 administrative decision following judicial review, the agency shall reimburse the
8 petitioner for all costs of transcript preparation, compilation of the record, and
9 certification.

10 **Comment.** Section 660 continues former Section 11523 without substantive change.

1 SELECTED CONFORMING REVISIONS AND REPEALS

2 ADMINISTRATIVE MANDAMUS

3 **Code Civ. Proc. § 1094.5 (amended). Administrative mandamus**

4 1094.5. ...

5 (c) Where it is claimed that the findings are not supported by the evidence, in
6 cases in which the court is authorized by law to exercise its independent
7 judgment on the evidence, abuse of discretion is established if the court
8 determines that the findings are not supported by the weight of the evidence. In
9 all other cases, abuse of discretion is established if the court determines that the
10 findings are not supported by substantial evidence in the light of the whole
11 record. *In making a determination under this subdivision in a review of a*
12 *decision under Division 3.3 (commencing with Section 600) of Title 1 of the*
13 *Government Code, the court shall give great weight to a determination of the*
14 *presiding officer in the adjudicative proceeding based substantially on*
15 *credibility of a witness to the extent the determination of the presiding officer*
16 *identifies the observed demeanor, manner, or attitude of the witness that*
17 *supports the determination.*

18 ...

19 **Comment.** Subdivision (c) of Section 1094.5 is amended to adopt the rule of Universal
20 Camera Corp. v. N.L.R.B., 340 U.S. 474 (1951), for proceedings under the Administrative
21 Procedure Act, requiring that the reviewing court weigh more heavily findings by the trier of
22 fact (the presiding officer in an administrative adjudication) based on observation of witnesses
23 than findings based on other evidence. This generalizes the standard of review used by a
24 number of California agencies. See, e.g., Lamb v. Workmen's Compensation Appeals Bd., 11
25 Cal. 3d 274, 281, 520 P.2d 978, 113 Cal. Rptr. 162 (1974) (Workers' Compensation Appeals
26 Board); Millen v. Swoap, 58 Cal. App. 3d 943, 947, 130 Cal. Rptr. 387 (1976) (Department
27 of Social Services); Apte v. Regents of Univ. of Calif., 198 Cal. App. 3d 1084, 1092, 244 Cal.
28 Rptr. 312 (1988) (University of California); Precedent Decisions P-B-10, P-T-13, P-B-57
29 (Unemployment Insurance Appeals Board); Lab. Code § 1148 (Agricultural Labor Relations
30 Board). It reverses the existing practice under the administrative procedure act and other
31 California administrative procedures that gives no weight to the findings of the presiding
32 officer at the hearing. See Asimow, *Toward a New California Administrative Procedure Act:*
33 *Adjudication Fundamentals*, 39 UCLA L. Rev. 1067, 1114 (1992).

34 Findings based substantially on credibility of a witness must be identified by the presiding
35 officer in the decision made in the adjudicative proceeding. Gov't Code § 649.120(b) (form
36 and contents of decision). However, the presiding officer's identification of such findings is
37 not binding on the agency or the courts, which may make their own determinations whether a
38 particular finding is based substantially on credibility of a witness.

39 Under subdivision (c), even though the presiding officer's determination is based
40 substantially on credibility of a witness, the determination is entitled to great weight only to
41 the extent the determination derives from the presiding officer's observation of the
42 demeanor, manner, or attitude of the witness. Nothing in subdivision (c) precludes the agency
43 head or court from overturning a credibility determination of the presiding officer, after
44 giving the observational elements of the credibility determination great weight, whether on the
45 basis of nonobservational elements of credibility or otherwise. See Evid. Code § 780. Nor

1 does it preclude the agency head from overturning a factual finding based on the presiding
2 officer's assessment of expert witness testimony.

3 ADMINISTRATIVE PROCEDURE ACT

4 Gov't Code § 11340.4 (added). Study of administrative rulemaking

5 11340.4. (a) The office is authorized and directed to:

6 (1) Study the subject of administrative rulemaking in all its aspects.

7 (2) Submit its suggestions to the various agencies in the interests of fairness,
8 uniformity, and the expedition of business.

9 (3) Report its recommendations to the Governor and Legislature at the
10 commencement of each general session.

11 (b) All agencies of the state shall give the office ready access to their records
12 and full information and reasonable assistance in any matter of research requiring
13 recourse to them or to data within their knowledge or control. Nothing in this
14 subdivision authorizes an agency to give access to records required by statute to
15 be kept confidential.

16 **Comment.** Section 11340.4 is new. It delegates to the Office of Administrative Law
17 authority formerly found in Section 11370.5 relating to the study of "administrative law" by
18 the Office of Administrative Hearings. See also Section 610.190 ("agency" defined). Cf.
19 Section 636.180 (authority of Office of Administrative Hearings to study administrative
20 adjudication).

21 Gov't Code §§ 11370-11370.5 (repealed). Office of Administrative Hearings

22 CHAPTER 4. OFFICE OF ADMINISTRATIVE HEARINGS

23 § 11370 (repealed). Administrative Procedure Act

24 11370. Chapter 3.5 (commencing with Section 11340), Chapter 4 (commencing
25 with Section 11370), and Chapter 5 (commencing with Section 11500) constitute,
26 and may be cited as, the Administrative Procedure Act.

27 **Comment.** Former Section 11370 is restated in Section 600 (short title).

28 § 11370.1 (repealed). "Director"

29 11370.1. As used in the Administrative Procedure Act "director" means the
30 executive officer of the Office of Administrative Hearings.

31 **Comment.** Former Section 11370.1 is continued in Section 636.110(a) ("director"
32 defined).

33 § 11370.2 (repealed). Office of Administrative Hearings

34 11370.2. (a) There is in the Department of General Services the Office of
35 Administrative Hearings which is under the direction and control of an executive
36 officer who shall be known as the director.

37 (b) The director shall have the same qualifications as administrative law judges,
38 and shall be appointed by the Governor subject to confirmation of the Senate.

(c) Any and all references in any law to the Office of Administrative Procedure shall be deemed to be the Office of Administrative Hearings.

Comment. Former Section 11370.2 is restated in Section 636.120 (Office of Administrative Hearings).

§ 11370.3 (repealed). Personnel

11370.3. The director shall appoint and maintain a staff of full-time, and may appoint pro tempore part-time, administrative law judges qualified under Section 11502 which is sufficient to fill the needs of the various state agencies. The director shall also appoint hearing officers, shorthand reporters, and such other technical and clerical personnel as may be required to perform the duties of the office. The director shall assign an administrative law judge for any proceeding arising under Chapter 5 (commencing with Section 11500) and, upon request from any agency, may assign an administrative law judge or a hearing officer to conduct other administrative proceedings not arising under that chapter and shall assign hearing reporters as required. The director shall assign an administrative law judge for any proceeding arising pursuant to Chapter 20 (commencing with Section 22450) of Division 8 of the Business and Professions Code upon the request of a public prosecutor. Any administrative law judge, hearing officer, or other employee so assigned shall be deemed an employee of the office and not of the agency to which he or she is assigned. When not engaged in hearing cases, administrative law judges and hearing officers may be assigned by the director to perform other duties vested in or required of the office, including those provided for in Section 11370.5.

Comment. The first sentence of former Section 11370.3 is restated in Section 636.130(a) (administrative law judges). The second sentence is restated in Section 636.140 (and other personnel), deleting the reference to hearing officers and the limitation to shorthand reporters.

The first part of the third sentence is superseded by Section 636.150(a) (assignment of administrative law judges). The second part is restated in subdivision (b) of Section 636.150, deleting the reference to hearing officers. The third part is restated in Section 636.150(c).

The fourth sentence is omitted as unnecessary. See Section 636.150(a) (assignment of administrative law judges); Bus. & Prof. Code § 22460.5.

The fifth sentence is restated in Section 636.150(d) (assignment of administrative law judges), deleting the reference to hearing officers.

The sixth sentence is restated in Section 636.150(e) (assignment of administrative law judges), deleting the reference to hearing officers.

§ 11370.4 (repealed). Costs

11370.4. The total cost to the state of maintaining and operating the Office of Administrative Hearings shall be determined by, and collected by the Department of General Services in advance or upon such other basis as it may determine from the state or other public agencies for which services are provided by the office.

Comment. Former Section 11370.4 is restated in Section 636.170.

1 **§ 11370.5 (repealed). Administrative law and procedure**

2 11370.5. The office is authorized and directed to study the subject of
3 administrative law and procedure in all its aspects; to submit its suggestions to the
4 various agencies in the interests of fairness, uniformity and the expedition of
5 business; and to report its recommendations to the Governor and Legislature at
6 the commencement of each general session. All departments, agencies, officers
7 and employees of the State shall give the office ready access to their records and
8 full information and reasonable assistance in any matter of research requiring
9 recourse to them or to data within their knowledge of control.

10 **Comment.** Former Section 11370.5 is restated in Sections 610.190 ("agency" defined)
11 and 636.180 (study of administrative law and procedure).

12 **§ 11371 (repealed). Medical Quality Hearing Panel**

13 11371. (a) There is within the Office of Administrative Hearings a Medical
14 Quality Hearing Panel, consisting of no fewer than five full-time administrative
15 law judges. The administrative law judges shall have medical training as
16 recommended by the Division of Medical Quality of the Medical Board of
17 California and approved by the Director of the Office of Administrative Hearings.

18 (b) The director shall determine the qualifications of panel members, supervise
19 their training, and coordinate the publication of a reporter of decisions pursuant
20 to this section. The panel shall include only those persons specifically qualified
21 and shall at no time constitute more than 25 percent of the total number of
22 administrative law judges within the Office of Administrative Hearings. If the
23 members of the panel do not have a full workload, they may be assigned work by
24 the Director of the Office of Administrative Hearings. When the medically related
25 case workload exceeds the capacity of the members of the panel, additional
26 judges shall be requested to be added to the panels as appropriate. When this
27 workload overflow occurs on a temporary basis, the Director of the Office of
28 Administrative Hearings shall supply judges from the Office of Administrative
29 Hearings to adjudicate the cases.

30 (c) The decisions of the administrative law judges of the panel, together with
31 any court decisions reviewing those decisions, or any court decisions relevant to
32 medical quality adjudications shall be published in a quarterly "Medical
33 Discipline Report," to be funded from the Contingent Fund of the Medical Board
34 of California.

35 (d) The administrative law judges of the panel shall have panels of experts
36 available. The panels of experts shall be appointed by the Director of the Office of
37 Administrative Hearings, with the advice of the Medical Board of California.
38 These panels of experts may be called as witnesses by the administrative law
39 judges of the panel to testify on the record about any matter relevant to a
40 proceeding and subject to cross examination by all parties. The administrative law
41 judge may award reasonable expert witness fees to any person or persons serving

1 on a panel of experts, which shall be paid from the Contingent Fund of the
2 Medical Board of California.

3 (e) On or before April 1, 1997, the Medical Board of California shall prepare, in
4 consultation with the Office of Administrative Hearings, an analysis and report
5 that evaluates the effectiveness of the Medical Quality Hearing Panel since its
6 creation. Among other things, the report shall analyze whether administrative
7 adjudications against physicians have been expedited, the aging of cases at the
8 office, whether administrative decisions and penalties ordered in the discipline of
9 physicians have become more consistent, and whether the panels of the Division
10 of Medical Quality have adopted more proposed decisions than prior to the
11 creation of the panel. The board shall send a copy of its report to the
12 Chairpersons of the Senate Committee on Business and Professions and the
13 Assembly Committee on Health, to the Office of Administrative Hearings, and to
14 the Director of Consumer Affairs.

15 (f) This section shall remain in effect only until January 1, 1997, and as of that
16 date is repealed, unless a later enacted statute, which is enacted before January 1,
17 1997, deletes or extends that date.

18 **Comment.** Former Section 11371 is continued without change in Section 636.210
19 (Medical Quality Hearing Panel).

20 **§ 11372 (repealed). Conduct of hearing by administrative law judge**

21 11372. (a) Except as provided in subdivision (b), all adjudicative hearings and
22 proceedings relating to the discipline or reinstatement of licensees of the Medical
23 Board of California, including licensees of allied health agencies within the
24 jurisdiction of the Medical Board of California, that are heard pursuant to the
25 Administrative Procedure Act, shall be conducted by an administrative law judge
26 as designated in Section 11371, sitting alone if the case is so assigned by the
27 agency filing the charging pleading.

28 (b) Proceedings relating to interim orders shall be heard in accordance with
29 Section 11529.

30 **Comment.** Former Section 11372 is continued in Section 636.220 (conduct of hearing by
31 administrative law judge) without substantive change.

32 **§ 11373 (repealed). Conduct of proceedings under Administrative Procedure Act**

33 11373. All adjudicative hearings and proceedings conducted by an
34 administrative law judge as designated in Section 11371 shall be conducted under
35 the terms and conditions set forth in the Administrative Procedure Act, except as
36 provided in the Medical Practice Act (Chapter 5 (commencing with Section
37 2000) of Division 2 of the Business and Professions Code).

38 **Comment.** Former Section 11373 is continued in Section 636.230 (conduct of proceedings
39 under Administrative Procedure Act) without substantive change.

1 **§ 11373.3 (repealed). Facilities and support personnel for review committee panel**

2 11373.3. The Office of Administrative Hearings shall provide facilities and
3 support personnel for the review committee panel and shall assess the Medical
4 Board of California for facilities and personnel, where used to adjudicate cases
5 involving the Medical Board of California.

6 **Comment.** Former Section 11373.3 is continued in Section 636.240 (facilities and support
7 personnel for review committee panel) without change.

8 **Gov't Code §§ 11500-11529 (repealed). Administrative adjudication**

9 **CHAPTER 5. ADMINISTRATIVE ADJUDICATION**

10 **§ 11500 (repealed). Definitions**

11 11500. In this chapter unless the context or subject matter otherwise requires:

12 (a) "Agency" includes the state boards, commissions, and officers enumerated
13 in Section 11501 and those to which this chapter is made applicable by law,
14 except that wherever the word "agency" alone is used the power to act may be
15 delegated by the agency, and wherever the words "agency itself" are used the
16 power to act shall not be delegated unless the statutes relating to the particular
17 agency authorize the delegation of the agency's power to hear and decide.

18 (b) "Party" includes the agency, the respondent, and any person, other than an
19 officer or an employee of the agency in his or her official capacity, who has been
20 allowed to appear or participate in the proceeding.

21 (c) "Respondent" means any person against whom an accusation is filed
22 pursuant to Section 11503 or against whom a statement of issues is filed pursuant
23 to Section 11504.

24 (d) "Administrative law judge" means an individual qualified under Section
25 11502.

26 (e) "Agency member" means any person who is a member of any agency to
27 which this chapter is applicable and includes any person who himself or herself
28 constitutes an agency.

29 (f) "Adjudicatory hearing" means a state agency hearing which involves
30 personal or property rights of an individual, the granting or revocation of an
31 individual's license, or the resolution of an issue pertaining to an individual.
32 However, the procedures governing such a hearing shall include, but not be
33 limited to, all of the following:

34 (1) Testimony under oath.

35 (2) The right to cross-examination and to confront adversary witnesses.

36 (3) The right to representation.

37 (4) The issuance of a formal decision.

38 For purposes of this subdivision, an "adjudicatory hearing" shall not be
39 required to include any informal factfinding or informal investigatory hearing.

1 However, nothing in this subdivision shall be construed to prohibit an agency
2 from providing an interpreter during any such informal hearing.

3 (g) "Language assistance" means oral interpretation or written translation of a
4 language other than English into English or of English into another language for
5 a party who cannot speak or understand English or who can do so only with
6 difficulty.

7 **Comment.** The introductory portion of former Section 11500 is restated in Section
8 610.010 (application of definitions).

9 Subdivision (a) is superseded by Sections 612.110 (application of division to state) and
10 610.250 ("agency head" defined). An agency may delegate the power of the agency head
11 to review a proposed decision in an administrative adjudication. Section 649.220 (limitation
12 of review); see also Section 610.680 ("reviewing authority" defined).

13 The substance of subdivision (b) is restated in Section 610.460 ("party" defined).

14 Subdivision (c) is not continued. The respondent is referred to as the person to which the
15 agency action is directed.

16 Subdivision (d) is superseded by Section 643.120 (presiding officer).

17 The substance of subdivision (e) is restated in Section 610.280 ("agency member"
18 defined).

19 Subdivision (f) is superseded by Sections 612.110 (application of division to state),
20 610.310 ("decision" defined), 648.330 (oral and written testimony), 648.320 (presentation
21 of testimony), 613.320 (representation by attorney), 649.120 (form and contents of
22 decision), 631.010 (application to constitutionally and statutorily required hearings), and
23 648.230 (language assistance).

24 Subdivision (g) is superseded by Section 648.210 ("language assistance" defined).

25 **§ 11501 (repealed). Application of chapter**

26 11501. (a) This chapter applies to any agency as determined by the statutes
27 relating to that agency.

28 (b) The enumerated agencies referred to in Section 11500 are:

29 Accountancy, State Board of
30 Air Resources Board, State
31 Alcohol and Drug Programs, State Department of
32 Alcoholic Beverage Control, Department of
33 Architectural Examiners, California State Board of
34 Attorney General
35 Auctioneer Commission, Board of Governors of
36 Automotive Repair, Bureau of
37 Barber Examiners, State Board of
38 Behavioral Science Examiners, Board of
39 Boating and Waterways, Department of
40 Cancer Advisory Council
41 Cemetery Board
42 Chiropractic Examiners, Board of
43 Collection and Investigative Services, Bureau of
44 Community Colleges, Board of Governors of the California
45 Conservation, Department of

1 Consumer Affairs, Director of
 2 Contractors, Registrar of
 3 Corporations, Commissioner of
 4 Cosmetology, State Board of
 5 Dental Examiners of California, Board of
 6 Education, State Department of
 7 Electronic and Appliance Repair, Bureau of
 8 Engineers and Land Surveyors, State Board of Registration for
 9 Professional
 10 Fair Political Practices Commission
 11 Fire Marshal, State
 12 Food and Agriculture, Director of
 13 Forestry and Fire Protection, Department of
 14 Funeral Directors and Embalmers, State Board of
 15 Geologists and Geophysicists, State Board of Registration for
 16 Guide Dogs for the Blind, State Board of
 17 Health Services, State Department of
 18 Highway Patrol, Department of the California
 19 Home Furnishings and Thermal Insulation, Bureau of
 20 Horse Racing Board, California
 21 Housing and Community Development, Department of
 22 Insurance Commissioner
 23 Labor Commissioner
 24 Landscape Architects, State Board of
 25 Medical Board of California, Medical Quality Review Committees and
 26 Examining Committees
 27 Motor Vehicles, Department of
 28 Nursing, Board of Registered
 29 Nursing Home Administrators, Board of Examiners of
 30 Optometry, State Board of
 31 Osteopathic Medical Board of California
 32 Pharmacy, California State Board of
 33 Public Employees' Retirement System, Board of Administration of the
 34 Real Estate, Department of
 35 San Francisco, San Pablo and Suisun, Board of Pilot Commissioners for
 36 the Bays of
 37 Savings and Loan Commissioner
 38 School Districts
 39 Secretary of State, Office of
 40 Shorthand Reporters Board, Certified
 41 Social Services, State Department of
 42 Statewide Health Planning and Development, Office of
 43 Structural Pest Control Board

1 Tax Preparer Program, Administrator
 2 Teacher Credentialing, Commission on
 3 Teachers' Retirement System, State
 4 Transportation, Department of, acting pursuant to the State Aeronautics
 5 Act
 6 Veterinary Medicine, Board of Examiners in
 7 Vocational Nurse and Psychiatric Technician Examiners of the State of
 8 California, Board of

9 **Comment.** Former Section 11501 is superseded by Sections 612.110 (application of
 10 division to state) and 612.120 (application of division to local agencies).

11 **§ 11501.5 (repealed). Language assistance; provision by state agencies**

12 11501.5. (a) The following state agencies shall provide language assistance at
 13 adjudicatory hearings pursuant to subdivision (d) of Section 11513:

14 Agricultural Labor Relations Board
 15 State Department of Alcohol and Drug Abuse
 16 Athletic Commission
 17 California Unemployment Insurance Appeals Board
 18 Board of Prison Terms
 19 Board of Cosmetology
 20 State Department of Developmental Services
 21 Public Employment Relations Board
 22 Franchise Tax Board
 23 State Department of Health Services
 24 Department of Housing and Community Development
 25 Department of Industrial Relations
 26 State Department of Mental Health
 27 Department of Motor Vehicles
 28 Notary Public Section, Office of the Secretary of State
 29 Public Utilities Commission
 30 Office of Statewide Health Planning and Development
 31 State Department of Social Services
 32 Department of Toxic Substances Control
 33 Workers' Compensation Appeals Board
 34 Department of the Youth Authority
 35 Youthful Offender Parole Board
 36 Bureau of Employment Agencies
 37 Board of Barber Examiners
 38 Department of Insurance
 39 State Personnel Board

40 (b) Nothing in this section shall be construed to prevent any agency other than
 41 those listed in subdivision (a) from electing to adopt any of the procedures set
 42 forth in subdivision (d), (e), (f), (g), (h), or (i) of Section 11513, except that the

1 State Personnel Board shall determine the general language proficiency of
 2 prospective interpreters as described in subdivisions (d) and (e) of Section 11513
 3 unless otherwise provided for as described in subdivision (f) of Section 11513.

4 **Comment.** Former Section 11501.5 is restated in Section 648.230 (application of article).

5 **§ 11502 (repealed). Administrative law judges**

6 11502. All hearings of state agencies required to be conducted under this
 7 chapter shall be conducted by administrative law judges on the staff of the Office
 8 of Administrative Hearings. The Director of the Office of Administrative Hearings
 9 has power to appoint a staff of administrative law judges for the office as
 10 provided in Section 11370.3 of the Government Code. Each administrative law
 11 judge shall have been admitted to practice law in this state for at least five years
 12 immediately preceding his or her appointment and shall possess any additional
 13 qualifications established by the State Personnel Board for the particular class of
 14 position involved.

15 **Comment.** The first sentence of former Section 11502 is superseded by Section 643.120
 16 (designation of presiding officer by agency head where exempt from OAH). The second
 17 sentence is restated in Section 636.130(a) (administrative law judges). The third sentence is
 18 restated in Section 636.130(b).

19 **§ 11502.1 (repealed). Health planning unit**

20 11502.1. There is hereby established in the Office of Administrative Hearings a
 21 unit of administrative law judges who shall preside over hearings conducted
 22 pursuant to Part 1.5 (commencing with Section 437) of Division 1 of the Health
 23 and Safety Code. In addition to meeting the qualifications of administrative law
 24 judges as prescribed in Section 11502, the administrative law judges in this unit
 25 shall have a demonstrated knowledge of health planning and certificate-of-need
 26 matters. As many administrative law judges as are necessary to handle the
 27 caseload shall be permanently assigned to this unit. In the event there are no
 28 pending certificate of need of health planning matters, administrative law judges
 29 in this unit may be assigned to other matters pending before the Office of
 30 Administrative Hearings. Health planning matters shall be given priority on the
 31 calendar of administrative law judges assigned to this unit.

32 **Comment.** Section 11502.1 is not continued. The requirement that health facilities and
 33 specialty clinics apply for and obtain certificates of need or certificates of exemption is
 34 indefinitely suspended. Health & Safety Code § 439.7 (1984 Cal. Stat. ch. 1745, § 14).

35 **§ 11503 (repealed). Accusation**

36 11503. A hearing to determine whether a right, authority, license or privilege
 37 should be revoked, suspended, limited or conditioned shall be initiated by filing
 38 an accusation. The accusation shall be a written statement of charges which shall
 39 set forth in ordinary and concise language the acts or omissions with which the
 40 respondent is charged, to the end that the respondent will be able to prepare his
 41 defense. It shall specify the statutes and rules which the respondent is alleged to

1 have violated, but shall not consist merely of charges phrased in the language of
 2 such statutes and rules. The accusation shall be verified unless made by a public
 3 officer acting in his official capacity or by an employee of the agency before
 4 which the proceeding is to be held. The verification may be on information and
 5 belief.

6 **Comment.** The first sentence of former Section 11503 is superseded by Sections 610.410
 7 ("notice of commencement of proceeding" includes accusation) and 642.310 (proceeding
 8 initiated by notice of commencement. The remainder is superseded by Section 642.320
 9 (contents of notice of commencement of proceeding).

10 **§ 11504 (repealed). Statement of issues**

11 11504. A hearing to determine whether a right, authority, license or privilege
 12 should be granted, issued or renewed shall be initiated by filing a statement of
 13 issues. The statement of issues shall be a written statement specifying the statutes
 14 and rules with which the respondent must show compliance by producing proof
 15 at the hearing, and in addition any particular matters which have come to the
 16 attention of the initiating party and which would authorize a denial of the agency
 17 action sought. The statement of issues shall be verified unless made by a public
 18 officer acting in his official capacity or by an employee of the agency before
 19 which the proceeding is to be held. The verification may be on information and
 20 belief. The statement of issues shall be served in the same manner as an
 21 accusation; provided, that, if the hearing is held at the request of the respondent,
 22 the provisions of Sections 11505 and 11506 shall not apply and the statement of
 23 issues together with the notice of hearing shall be delivered or mailed to the
 24 parties as provided in Section 11509. Unless a statement to respondent is served
 25 pursuant to Section 11505, a copy of Sections 11507.5, 11507.6 and 11507.7, and
 26 the name and address of the person to whom requests permitted by Section
 27 11505 may be made, shall be served with the statement of issues.

28 **Comment.** The first sentence of former Section 11504 is superseded by Sections 610.410
 29 ("notice of commencement of proceeding" includes statement of issues) and 642.310
 30 (proceeding commenced by notice of commencement). The remainder is superseded by
 31 Sections 642.320 (contents of notice of commencement of proceeding) and 642.330 (service
 32 of notice of commencement of proceeding).

33 **§ 11504.5 (repealed). References to accusations include statements of issues**

34 11504.5. In the following sections of this chapter, all references to accusations
 35 shall be deemed to be applicable to statements of issues except in those cases
 36 mentioned in subdivision (a) of Section 11505 and Section 11506 where
 37 compliance is not required.

38 **Comment.** Section 11504.5 is superseded by Section 610.410 ("notice of commencement
 39 of proceeding" includes accusation and statement of issues).

40 **§ 11505 (repealed). Service on respondent**

41 11505. (a) Upon the filing of the accusation the agency shall serve a copy
 42 thereof on the respondent as provided in subdivision (c). The agency may include

1 with the accusation any information which it deems appropriate, but it shall
 2 include a post card or other form entitled Notice of Defense which, when signed
 3 by or on behalf of the respondent and returned to the agency, will acknowledge
 4 service of the accusation and constitute a notice of defense under Section 11506.
 5 The copy of the accusation shall include or be accompanied by (1) a statement
 6 that respondent may request a hearing by filing a notice of defense as provided in
 7 Section 11506 within 15 days after service upon him of the accusation, and that
 8 failure to do so will constitute a waiver of his right to a hearing, and (2) copies of
 9 Sections 11507.5, 11507.6, and 11507.7.

10 (b) The statement to respondent shall be substantially in the following form:

11 Unless a written request for a hearing signed by or on behalf of the person
 12 named as respondent in the accompanying accusation is delivered or mailed to
 13 the agency within 15 days after the accusation was personally served on you or
 14 mailed to you, (here insert name of agency) may proceed upon the accusation
 15 without a hearing. The request for a hearing may be made by delivering or mailing
 16 the enclosed form entitled Notice of Defense, or by delivering or mailing a notice
 17 of defense as provided by Section 11506 of the Government Code to: (here insert
 18 name and address of agency). You may, but need not, be represented by counsel
 19 at any or all stages of these proceedings.

20 If you desire the names and addresses of witnesses or an opportunity to inspect
 21 and copy the items mentioned in Section 11507.6 in the possession, custody or
 22 control of the agency, you may contact: (here insert name and address of
 23 appropriate person).

24 The hearing may be postponed for good cause. If you have good cause, you are
 25 obliged to notify the agency within 10 working days after you discover the good
 26 cause. Failure to notify the agency within 10 days will deprive you of a
 27 postponement.

28 (c) The accusation and all accompanying information may be sent to
 29 respondent by any means selected by the agency. But no order adversely
 30 affecting the rights of the respondent shall be made by the agency in any case
 31 unless the respondent shall have been served personally or by registered mail as
 32 provided herein, or shall have filed a notice of defense or otherwise appeared.
 33 Service may be proved in the manner authorized in civil actions. Service by
 34 registered mail shall be effective if a statute or agency rule requires respondent to
 35 file his address with the agency and to notify the agency of any change, and if a
 36 registered letter containing the accusation and accompanying material is mailed,
 37 addressed to respondent at the latest address on file with the agency.

38 **Comment.** Section 11505 is superseded by Sections 643.230 (service of notice of
 39 commencement of proceeding and other information), 642.440 (notice of hearing), 642.340
 40 (jurisdiction over person to which the agency action is directed), 613.210 (service), and
 41 613.220 (mail).

1 **§ 11506 (repealed). Notice of defense**

2 11506. (a) Within 15 days after service upon him of the accusation the
3 respondent may file with the agency a notice of defense in which he may:

4 (1) Request a hearing.

5 (2) Object to the accusation upon the ground that it does not state acts or
6 omissions upon which the agency may proceed.

7 (3) Object to the form of the accusation on the ground that it is so indefinite or
8 uncertain that he cannot identify the transaction or prepare his defense.

9 (4) Admit the accusation in whole or in part.

10 (5) Present new matter by way of defense.

11 (6) Object to the accusation upon the ground that, under the circumstances,
12 compliance with the requirements of a regulation would result in a material
13 violation of another regulation enacted by another department affecting
14 substantive rights.

15 Within the time specified respondent may file one or more notices of defense
16 upon any or all of these grounds but all such notices shall be filed within that
17 period unless the agency in its discretion authorizes the filing of a later notice.

18 (b) The respondent shall be entitled to a hearing on the merits if he files a notice
19 of defense, and any such notice shall be deemed a specific denial of all parts of
20 the accusation not expressly admitted. Failure to file such notice shall constitute a
21 waiver of respondent's right to a hearing, but the agency in its discretion may
22 nevertheless grant a hearing. Unless objection is taken as provided in paragraph
23 (3) of subdivision (a), all objections to the form of the accusation shall be deemed
24 waived.

25 (c) The notice of defense shall be in writing signed by or on behalf of the
26 respondent and shall state his mailing address. It need not be verified or follow
27 any particular form.

28 (d) Respondent may file a statement by way of mitigation even if he does not
29 file a notice of defense.

30 (e) As used in this section, "file," "files," "filed," or "filing" means "delivered
31 or mailed" to the agency as provided in Section 11505.

32 **Comment.** Former Section 11506 is superseded by Sections 642.350 (response), 648.130
33 (default), and 613.210 (service).

34 **§ 11507 (repealed). Amended accusation**

35 11507. At any time before the matter is submitted for decision the agency may
36 file or permit the filing of an amended or supplemental accusation. All parties shall
37 be notified thereof. If the amended or supplemental accusation presents new
38 charges the agency shall afford respondent a reasonable opportunity to prepare
39 his defense thereto, but he shall not be entitled to file a further pleading unless the
40 agency in its discretion so orders. Any new charges shall be deemed
41 controverted, and any objections to the amended or supplemental accusation may
42 be made orally and shall be noted in the record.

1 **Comment.** Former Section 11507 is superseded by Section 642.360 (amended and
2 supplemental pleadings).

3 **§ 11507.5 (repealed). Discovery provisions exclusive**

4 11507.5. The provisions of Section 11507.6 provide the exclusive right to and
5 method of discovery as to any proceeding governed by this chapter.

6 **Comment.** Former Section 11507.5 is superseded by Section 645.110 (application of
7 article).

8 **§ 11507.6 (repealed). Discovery**

9 11507.6. After initiation of a proceeding in which a respondent or other party is
10 entitled to a hearing on the merits, a party, upon written request made to another
11 party, prior to the hearing and within 30 days after service by the agency of the
12 initial pleading or within 15 days after such service of an additional pleading, is
13 entitled to (1) obtain the names and addresses of witnesses to the extent known
14 to the other party, including, but not limited to, those intended to be called to
15 testify at the hearing, and (2) inspect and make a copy of any of the following in
16 the possession or custody or under the control of the other party:

17 (a) A statement of a person, other than the respondent, named in the initial
18 administrative pleading, or in any additional pleading, when it is claimed that the
19 act or omission of the respondent as to such person is the basis for the
20 administrative proceeding;

21 (b) A statement pertaining to the subject matter of the proceeding made by any
22 party to another party or person;

23 (c) Statements of witnesses then proposed to be called by the party and of
24 other persons having personal knowledge of the acts, omissions or events which
25 are the basis for the proceeding, not included in (a) or (b) above;

26 (d) All writings, including, but not limited to, reports of mental, physical and
27 blood examinations and things which the party then proposes to offer in
28 evidence;

29 (e) Any other writing or thing which is relevant and which would be admissible
30 in evidence;

31 (f) Investigate reports made by or on behalf of the agency or other party
32 pertaining to the subject matter of the proceeding, to the extent that such reports
33 (1) contain the names and addresses of witnesses or of persons having personal
34 knowledge of the acts, omissions or events which are the basis for the
35 proceeding, or (2) reflect matters perceived by the investigator in the course of his
36 or her investigation, or (3) contain or include by attachment any statement or
37 writing described in (a) to (e), inclusive, or summary thereof.

38 For the purpose of this section, "statements" include written statements by the
39 person signed or otherwise authenticated by him or her, stenographic, mechanical,
40 electrical or other recordings, or transcripts thereof, of oral statements by the
41 person, and written reports or summaries of such oral statements.

1 Nothing in this section shall authorize the inspection or copying of any writing
2 or thing which is privileged from disclosure by law or otherwise made
3 confidential or protected as the attorney's work product.

4 (g) In any proceeding under subdivision (i) or (j) of Section 12940, or Section
5 19572 or 19702, alleging conduct which constitutes sexual harassment, sexual
6 assault, or sexual battery, evidence of specific instances of a complainant's sexual
7 conduct with individuals other than the alleged perpetrator is not discoverable
8 unless it is to be offered at a hearing to attack the credibility of the complainant as
9 provided for under subdivision (j) of Section 11513. This subdivision is intended
10 only to limit the scope of discovery; it is not intended to affect the methods of
11 discovery allowed under this section.

12 **Comment.** Former Section 11507.6 is superseded by Sections 645.210 (time and manner
13 of discovery), 645.220 (discovery of witness list), 645.230 (discovery of statements, writings,
14 and reports), and 645.120 (discovery of evidence of sexual conduct).

15 **§ 11507.7 (repealed). Petition to compel discovery**

16 11507.7. (a) Any party claiming his request for discovery pursuant to Section
17 11507.6 has not been complied with may serve and file a verified petition to
18 compel discovery in the superior court for the county in which the administrative
19 hearing will be held, naming as respondent the party refusing or failing to comply
20 with Section 11507.6. The petition shall state facts showing the respondent party
21 failed or refused to comply with Section 11507.6, a description of the matters
22 sought to be discovered, the reason or reasons why such matter is discoverable
23 under this section, and the ground or grounds of respondent's refusal so far as
24 known to petitioner.

25 (b) The petition shall be served upon respondent party and filed within 15 days
26 after the respondent party first evidenced his failure or refusal to comply with
27 Section 11507.6 or within 30 days after request was made and the party has
28 failed to reply to the request, whichever period is longer. However, no petition
29 may be filed within 15 days of the date set for commencement of the
30 administrative hearing except upon order of the court after motion and notice and
31 for good cause shown. In acting upon such motion, the court shall consider the
32 necessity and reasons for such discovery, the diligence or lack of diligence of the
33 moving party, whether the granting of the motion will delay the commencement
34 of the administrative hearing on the date set, and the possible prejudice of such
35 action to any party.

36 (c) If from a reading of the petition the court is satisfied that the petition sets
37 forth good cause for relief, the court shall issue an order to show cause directed to
38 the respondent party; otherwise the court shall enter an order denying the
39 petition. The order to show cause shall be served upon the respondent and his
40 attorney of record in the administrative proceeding by personal delivery or
41 certified mail and shall be returnable no earlier than 10 days from its issuance nor
42 later than 30 days after the filing of the petition. The respondent party shall have

1 the right to serve and file a written answer or other response to the petition and
2 order to show cause.

3 (d) The court may in its discretion order the administrative proceeding stayed
4 during the pendency of the proceeding, and if necessary for a reasonable time
5 thereafter to afford the parties time to comply with the court order.

6 (e) Where the matter sought to be discovered is under the custody or control of
7 the respondent party and the respondent party asserts that such matter is not a
8 discoverable matter under the provisions of Section 11507.6, or is privileged
9 against disclosure under such provisions, the court may order lodged with it such
10 matters as are provided in subdivision (b) of Section 915 of the Evidence Code
11 and examine such matters in accordance with the provisions thereof.

12 (f) The court shall decide the case on the matters examined by the court in
13 camera, the papers filed by the parties, and such oral argument and additional
14 evidence as the court may allow.

15 (g) Unless otherwise stipulated by the parties, the court shall no later than 30
16 days after the filing of the petition file its order denying or granting the petition,
17 provided, however, the court may on its own motion for good cause extend such
18 time an additional 30 days. The order of the court shall be in writing setting forth
19 the matters or parts thereof the petitioner is entitled to discover under Section
20 11507.6. A copy of the order shall forthwith be served by mail by the clerk upon
21 the parties. Where the order grants the petition in whole or in part, such order
22 shall not become effective until 10 days after the date the order is served by the
23 clerk. Where the order denies relief to the petitioning party, the order shall be
24 effective on the date it is served by the clerk.

25 (h) The order of the superior court shall be final and not subject to review by
26 appeal. A party aggrieved by such order, or any part thereof, may within 15 days
27 after the service of the superior court's order serve and file in the district court of
28 appeal for the district in which the superior court is located, a petition for a writ of
29 mandamus to compel the superior court to set aside or otherwise modify its order.
30 Where such review is sought from an order granting discovery, the order of the
31 trial court and the administrative proceeding shall be stayed upon the filing of the
32 petition for writ of mandamus, provided, however, the court of appeal may
33 dissolve or modify the stay thereafter if it is in the public interest to do so. Where
34 such review is sought from a denial of discovery, neither the trial court's order
35 nor the administrative proceeding shall be stayed by the court of appeal except
36 upon a clear showing of probable error.

37 (i) Where the superior court finds that a party or his attorney, without
38 substantial justification, failed or refused to comply with Section 11507.6, or,
39 without substantial justification, filed a petition to compel discovery pursuant to
40 this section, or, without substantial justification, failed to comply with any order
41 of court made pursuant to this section, the court may award court costs and
42 reasonable attorney fees to the opposing party. Nothing in this subdivision shall

1 limit the power of the superior court to compel obedience to its orders by
2 contempt proceedings.

3 **Comment.** Former Section 11507.7 is superseded by Sections 645.310-645.350
4 (compelling discovery) and 648.610-648.630 (enforcement of orders and sanctions).

5 **§ 11508 (repealed). Time and place of hearing**

6 11508. (a) The agency shall consult the office, and subject to the availability of
7 its staff, shall determine the time and place of hearing. The hearing shall be held in
8 San Francisco if the transaction occurred or the respondent resides within the
9 First or Sixth Appellate District, in the County of Los Angeles if the transaction
10 occurred or the respondent resides within the Second or Fourth Appellate
11 District, and in the County of Sacramento if the transaction occurred or the
12 respondent resides within the Third or fifth Appellate District.

13 (b) Notwithstanding subdivision (a):

14 (1) If the transaction occurred in a district other than that of respondent's
15 residence, the agency may select the county appropriate for either district.

16 (2) The agency may select a different place nearer the place where the
17 transaction occurred or the respondent resides.

18 (3) The parties by agreement may select any place within the state.

19 **Comment.** Former Section 11508 is superseded by Sections 642.410 (time and place of
20 hearing) and 642.430 (venue and change of venue).

21 **§ 11509 (repealed). Notice of hearing**

22 11509. The agency shall deliver or mail a notice of hearing to all parties at least
23 10 days prior to the hearing. The hearing shall not be prior to the expiration of the
24 time within which the respondent is entitled to file a notice of defense.

25 The notice to respondent shall be substantially in the following form but may
26 include other information:

27 You are hereby notified that a hearing will be held before [here insert name of
28 agency] at [here insert place of hearing] on the day of , 19_, at the hour of , upon
29 the charges made in the accusation served upon you. You may be present at the
30 hearing. You have the right to be represented by an attorney at your own
31 expense. You are not entitled to the appointment of an attorney to represent you
32 at public expense. You are entitled to represent yourself without legal counsel.
33 You may present any relevant evidence, and will be given full opportunity to
34 cross-examine all witnesses testifying against you. You are entitled to the
35 issuance of subpoenas to compel the attendance of witnesses and the production
36 of books, documents or other things by applying to [here insert appropriate office
37 of agency].

38 **Comment.** Former Section 11509 is superseded by Sections 642.410 (time and place of
39 hearing) and 642.440 (notice of hearing). See also Section 613.320 (representation by
40 attorney).

1 **§ 11510 (repealed). Subpoenas**

2 11510. (a) Before the hearing has commenced, the agency or the assigned
3 administrative law judge shall issue subpoenas and subpoenas duces tecum at the
4 request of any party for attendance or production of documents at the hearing.
5 Subpoenas and subpoenas duces tecum shall be issued in accordance with
6 Sections 1985, 1985.1, and 1985.2 of the Code of Civil Procedure. After the
7 hearing has commenced, the agency itself hearing a case or an administrative law
8 judge sitting alone may issue subpoenas and subpoenas duces tecum.

9 (b) The process issued pursuant to subdivision (a) shall be extended to all parts
10 of the state and shall be served in accordance with Sections 1987 and 1988 of the
11 Code of Civil Procedure. No witness shall be obliged to attend unless the witness
12 is a resident of the state at the time of service.

13 (c) All witnesses appearing pursuant to subpoena, other than the parties or
14 officers or employees of the state or any political subdivision thereof, shall receive
15 fees, and all witnesses appearing pursuant to subpoena, except the parties, shall
16 receive mileage in the same amount and under the same circumstances as
17 prescribed by law for witnesses in civil actions in a superior court. Witnesses
18 appearing pursuant to subpoena, except the parties, who attend hearings at
19 points so far removed from their residences as to prohibit return thereto from day
20 to day shall be entitled in addition to fees and mileage to a per diem compensation
21 of three dollars (\$3) for expenses of subsistence for each day of actual attendance
22 and for each day necessarily occupied in traveling to and from the hearing. Fees,
23 mileage, and expenses of subsistence shall be paid by the party at whose request
24 the witness is subpoenaed.

25 **Comment.** Former Section 11510 is superseded by Sections 645.410-645.440
26 (subpoenas).

27 **§ 11511 (repealed). Depositions**

28 11511. On verified petition of any party, an agency may order that the
29 testimony of any material witness residing within or without the State be taken
30 by deposition in the manner prescribed by law for depositions in civil actions. The
31 petition shall set forth the nature of the pending proceeding; the name and
32 address of the witness whose testimony is desired; a showing of the materiality of
33 his testimony; a showing that the witness will be unable or can not be compelled
34 to attend; and shall request an order requiring the witness to appear and testify
35 before an officer named in the petition for that purpose. Where the witness
36 resides outside the State and where the agency has ordered the taking of his
37 testimony by deposition, the agency shall obtain an order of court to that effect
38 by filing a petition therefor in the superior court in Sacramento County. The
39 proceedings thereon shall be in accordance with the provisions of Section 11189
40 of the Government Code.

41 **Comment.** Former Section 11511 is superseded by Section 645.130 (preservation of
42 testimony by deposition).

1 **§ 11511.5 (repealed). Prehearing conferences**

2 11511.5. (a) On motion of a party or by order of an administrative law judge, the
3 administrative law judge may conduct a prehearing conference. The
4 administrative law judge shall set the time and place for the prehearing
5 conference, and the agency shall give reasonable written notice to all parties.

6 (b) The prehearing conference may deal with one or more of the following
7 matters:

8 (1) Exploration of settlement possibilities.

9 (2) Preparation of stipulations.

10 (3) Clarification of issues.

11 (4) Rulings on identity and limitation of the number of witnesses.

12 (5) Objections to proffers of evidence.

13 (6) Order of presentation of evidence and cross-examination.

14 (7) Rulings regarding issuance of subpoenas and protective orders.

15 (8) Schedules for the submission of written briefs and schedules for the
16 commencement and conduct of the hearing.

17 (9) Any other matters as shall promote the orderly and prompt conduct of the
18 hearing.

19 (c) The administrative law judge shall issue a prehearing order incorporating the
20 matters determined at the prehearing conference. The administrative law judge
21 may direct one or more of the parties to prepare a prehearing order.

22 **Comment.** Former Section 11511.5 is superseded by Article 6.5 (commencing with Section
23 646.120) (prehearing conference).

24 **§ 11512 (repealed). Presiding officer**

25 11512. (a) Every hearing in a contested case shall be presided over by an
26 administrative law judge. The agency itself shall determine whether the
27 administrative law judge is to hear the case alone or whether the agency itself is
28 to hear the case with the administrative law judge.

29 (b) When the agency itself hears the case, the administrative law judge shall
30 preside at the hearing, rule on the admission and exclusion of evidence, and
31 advise the agency on matters of law; the agency itself shall exercise all other
32 powers relating to the conduct of the hearing but may delegate any or all of them
33 to the administrative law judge. When the administrative law judge alone hears a
34 case, he or she shall exercise all powers relating to the conduct of the hearing.

35 (c) An administrative law judge or agency member shall voluntarily disqualify
36 himself or herself and withdraw from any case in which he or she cannot accord a
37 fair and impartial hearing or consideration. Any party may request the
38 disqualification of any administrative law judge or agency member by filing an
39 affidavit, prior to the taking of evidence at a hearing, stating with particularity the
40 grounds upon which it is claimed that a fair and impartial hearing cannot be
41 accorded. Where the request concerns an agency member, the issue shall be
42 determined by the other members of the agency. Where the request concerns the

1 administrative law judge, the issue shall be determined by the agency itself if the
 2 agency itself hears the case with the administrative law judge, otherwise the issue
 3 shall be determined by the administrative law judge. No agency member shall
 4 withdraw voluntarily or be subject to disqualification if his or her disqualification
 5 would prevent the existence of a quorum qualified to act in the particular case.

6 (d) The proceedings at the hearing shall be reported by a phonographic
 7 reporter. However, upon the consent of all the parties, the proceedings may be
 8 reported electronically.

9 (e) Whenever, after the agency itself has commenced to hear the case with an
 10 administrative law judge presiding, a quorum no longer exists, the administrative
 11 law judge who is presiding shall complete the hearing as if sitting alone and shall
 12 render a proposed decision in accordance with subdivision (b) of Section 11517
 13 of the Government Code.

14 **Comment.** The substance of the first sentence of subdivision (a) of former Section 11512 is
 15 restated in Section 643.110(a) (where administrative law judge required). The second
 16 sentence is restated in Section 643.110(b).

17 The first sentence of subdivision (b) is restated in Section 643.110(d)(1) and (2). The
 18 second sentence is restated in Section 643.110(c).

19 The first sentence of subdivision (c) of former Section 11512 is superseded by Section
 20 643.220 (self disqualification). The second, third, and fourth sentences are superseded by
 21 Section 643.230 (procedure for disqualification of presiding officer). The fifth sentence is
 22 not continued: If disqualification would prevent the existence of a quorum qualified to act, a
 23 substitute presiding officer may be appointed under Section 643.130.

24 Subdivision (d) is superseded by Section 648.160 (report of proceedings).

25 Subdivision (e) is restated in Section 643.110(d)(3).

26 § 11513 (repealed). Evidence

27 11513. (a) Oral evidence shall be taken only on oath or affirmation.

28 (b) Each party shall have these rights: to call and examine witnesses, to
 29 introduce exhibits; to cross-examine opposing witnesses on any matter relevant
 30 to the issues even though that matter was not covered in the direct examination;
 31 to impeach any witness regardless of which party first called him or her to testify;
 32 and to rebut the evidence against him or her. If respondent does not testify in his
 33 or her own behalf he or she may be called and examined as if under cross-
 34 examination.

35 (c) The hearing need not be conducted according to technical rules relating to
 36 evidence and witnesses, except as hereinafter provided. Any relevant evidence
 37 shall be admitted if it is the sort of evidence on which responsible persons are
 38 accustomed to rely in the conduct of serious affairs, regardless of the existence of
 39 any common law or statutory rule which might make improper the admission of
 40 the evidence over objection in civil actions. Hearsay evidence may be used for
 41 the purpose of supplementing or explaining other evidence but shall not be
 42 sufficient in itself to support a finding unless it would be admissible over
 43 objection in civil actions. The rules of privilege shall be effective to the extent

1 that they are otherwise required by statute to be recognized at the hearing, and
2 irrelevant and unduly repetitious evidence shall be excluded.

3 In any proceeding under subdivision (i) or (j) of Section 12940, or Section
4 19572 or 19702, alleging conduct which constitutes sexual harassment, sexual
5 assault, or sexual battery, evidence of specific instances of a complainant's sexual
6 conduct with individuals other than the alleged perpetrator is not admissible at
7 hearing unless offered to attack the credibility of the complainant, as provided for
8 under subdivision (o). Reputation or opinion evidence regarding the sexual
9 behavior of the complainant is not admissible for any purpose.

10 (d) The hearing, or any medical examination conducted for the purpose of
11 determining compensation or monetary award, shall be conducted in the English
12 language, except that a party who does not proficiently speak or understand the
13 English language and who requests language assistance shall be provided an
14 interpreter. Except as provided in subdivision (k), interpreters utilized in hearings
15 shall be certified pursuant to subdivision (e). Except as provided in subdivision
16 (k), interpreters utilized in medical examinations shall be certified pursuant to
17 subdivision (f). The cost of providing the interpreter shall be paid by the agency
18 having jurisdiction over the matter if the administrative law judge or hearing
19 officer so directs, otherwise the party for whom the interpreter is provided.

20 The administrative law judge's or hearing officer's decision to direct payment
21 shall be based upon an equitable consideration of all the circumstances in each
22 case, such as the ability of the party in need of the interpreter to pay, except with
23 respect to hearings before the Workers' Compensation Appeals Board or the
24 Division of Workers' Compensation relating to worker's compensation claims.
25 With respect to these hearings, the payment of the costs of providing an
26 interpreter shall be governed by the rules and regulations promulgated by the
27 Workers' Compensation Appeals Board or the Administrative Director of the
28 Division of Workers' Compensation, as appropriate.

29 (e) The State Personnel Board which shall establish, maintain, administer, and
30 publish annually an updated list of certified administrative hearing interpreters it
31 has determined meet the minimum standards in interpreting skills and linguistic
32 abilities in languages designated pursuant to subdivision (g). Any interpreter so
33 listed may be examined by each employing agency to determine the interpreter's
34 knowledge of the employing agency's technical program terminology and
35 procedures. Court interpreters certified pursuant to Section 68562, and
36 interpreters listed on the State Personnel Board's recommended lists of court and
37 administrative hearing interpreters prior to July 1, 1993, shall be deemed certified
38 for purposes of this subdivision.

39 (f) The State Personnel Board shall establish, maintain, administer, and publish
40 annually, an updated list of certified medical examination interpreters it has
41 determined meet the minimum standards in interpreting skills and linguistic
42 abilities in languages designated pursuant to subdivision (g). Court interpreters
43 certified pursuant to Section 68562 and administrative hearing interpreters

1 certified pursuant to subdivision (e) shall be deemed certified for purposes of this
2 subdivision.

3 (g) The State Personnel Board shall designate the languages for which
4 certification shall be established under subdivisions (e) and (f). The languages
5 designated shall include, but not be limited to, Spanish, Tagalog, Arabic,
6 Cantonese, Japanese, Korean, Portuguese, and Vietnamese until the State
7 Personnel Board finds that there is an insufficient need for interpreting assistance
8 in these languages. The language designations shall be based on the following:

9 (1) The language needs of non-English-speaking persons appearing before the
10 administrative agencies, as determined by consultation with the agencies.

11 (2) The cost of developing a language examination.

12 (3) The availability of experts needed to develop a language examination.

13 (4) Other information the board deems relevant.

14 (h) Each certified administrative hearing interpreter and each certified medical
15 examination interpreter shall pay a fee, due on July 1 of each year, for the renewal
16 of his or her certification. Court interpreters certified under Section 68562 shall
17 not pay any fees required by this section.

18 (i) The State Personnel Board shall establish and charge fees for applications to
19 take interpreter examinations and for renewal of certifications. The purpose of
20 these fees is to cover the annual projected costs of carrying out this section. The
21 fees may be adjusted each fiscal year by a percent that is equal to or less than the
22 percent change in the California Necessities Index prepared by the Commission
23 on State Finance. If the amount of money collected in fees is not sufficient to
24 cover the costs of carrying out this section, the board shall charge and be
25 reimbursed a pro rata share of the additional costs by the state agencies that
26 conduct administrative hearings.

27 (j) The State Personnel Board may remove the names of people from the list of
28 certified interpreters if the following conditions occur:

29 (1) A person on the list is deceased.

30 (2) A person on the list notifies the board that he or she is unavailable for work.

31 (3) A person on the list does not submit a renewal fee as required by
32 subdivision (h).

33 (k) In the event that interpreters certified pursuant to subdivision (e) cannot be
34 present at the hearing, the hearing agency shall have discretionary authority to
35 provisionally qualify and utilize other interpreters. In the event that interpreters
36 certified pursuant to subdivision (f) cannot be present at the medical examination,
37 the physician provisionally may utilize another interpreter if that fact is noted in
38 the record of the medical evaluation.

39 (l) Every state agency affected by this section shall advise each party of their
40 right to an interpreter at the same time that each party is advised of the hearing
41 date or medical examination. Each party in need of an interpreter shall also be
42 encouraged to give timely notice to the agency conducting the hearing or
43 medical examination so that appropriate arrangements can be made.

(m) The rules of confidentiality of the agency, if any, that may apply in an adjudicatory hearing, shall apply to any interpreter in the hearing, whether or not the rules so state.

(n) The interpreter shall not have had any involvement in the issues of the case prior to the hearing.

As used in subdivisions (d) and (e), the terms "administrative law judge" and "hearing officer" shall not be construed to require the use of an Office of Administrative Hearings' administrative law judge or hearing officer.

(o) Evidence of specific instances of a complainant's sexual conduct with individuals other than the alleged perpetrator is presumed inadmissible absent an offer of proof establishing its relevance and reliability and that its probative value is not substantially outweighed by the probability that its admission will create substantial danger of undue prejudice or confuse the issue.

(p) For purposes of this section "complainant" means any person claiming to have been subjected to conduct which constitutes sexual harassment, sexual assault, or sexual battery.

(q) This section becomes operative on July 1, 1995.

Comment. Subdivision (a) of former Section 11513 is superseded by Section 648.330(a) (oral evidence).

Subdivision (b) is superseded by Section 648.320 (presentation of evidence).

The first two sentences of subdivision (c) are superseded by Section 648.410 (technical rules of evidence inapplicable). The third sentence is restated in Section 648.450 (hearsay evidence and the residuum rule). The fourth sentence is superseded by Sections 648.440 (privilege) and 648.420 (discretion of presiding officer to exclude evidence). The second paragraph is restated in Section 648.470(b).

Subdivisions (d)-(n) are restated in Sections 648.240-648.285.

Subdivision (o) is restated in Section 648.470(c).

Subdivision (p) is restated in Section 648.470(a).

§ 11513.5 (repealed). Ex parte communications

11513.5. (a) Except as required for the disposition of ex parte matters specifically authorized by statute, a presiding officer serving in an adjudicative proceeding may not communicate, directly or indirectly, upon the merits of a contested matter while the proceeding is pending, with any party, including employees of the agency that filed the complaint, with any person who has a direct or indirect interest in the outcome of the proceeding, or with any person who presided at a previous stage of the proceeding, without notice and opportunity for all parties to participate in the communication.

(b) Unless required for the disposition of ex parte matters specifically authorized by statute, no party to an adjudicative proceeding, including employees of the agency that filed the complaint, and no person who has a direct or indirect interest in the outcome of the proceeding or who presided at a previous stage of the proceeding, may communicate directly or indirectly, upon the merits of a contested matter while the proceeding is pending, with any person serving as

1 administrative law judge, without notice and opportunity for all parties to
2 participate in the communication.

3 (c) If, before serving as administrative law judge in an adjudicative proceeding,
4 a person receives an ex parte communication of a type that could not properly be
5 received while serving, the person, promptly after starting to serve, shall disclose
6 the content of the communication in the manner prescribed in subdivision (d).

7 (d) An administrative law judge who receives an ex parte communication in
8 violation of this section shall place on the record of the pending matter all written
9 communications received, all written responses to the communications, and a
10 memorandum stating the substance of all oral communications received, all
11 responses made, and the identity of each person from whom the presiding officer
12 received an ex parte communication, and shall advise all parties that these matters
13 have been placed on the record. Any person desiring to rebut the ex parte
14 communication shall be allowed to do so, upon requesting the opportunity for
15 rebuttal within 10 days after notice of the communication.

16 (e) The receipt by an administrative law judge of an ex parte communication in
17 violation of this section may provide the basis for disqualification of that
18 administrative law judge pursuant to subdivision (c) of Section 11512. If the
19 administrative law judge is disqualified, the portion of the record pertaining to the
20 ex parte communication may be sealed by protective order by the disqualified
21 administrative law judge.

22 **Comment.** Subdivisions (a) and (b) of former Section 11513.5 are restated in Section
23 648.520 (ex parte communications prohibited), omitting the limitation on communications
24 with a person who presided at a previous stage of the proceeding. Subdivision (c) is restated
25 in Section 648.530 (prior ex parte communication) but is limited to communications received
26 during the pendency of the proceeding. Subdivision (d) is restated in Section 648.540
27 (disclosure of ex parte communication received). Subdivision (e) is restated in Section
28 648.550 (disqualification of presiding officer).

29 **§ 11514 (repealed). Affidavits**

30 11514. (a) At any time 10 or more days prior to a hearing or a continued hearing,
31 any part may mail or deliver to the opposing party a copy of any affidavit which
32 he proposes to introduce in evidence, together with a notice as provided in
33 subdivision (b). Unless the opposing party, within seven days after such mailing
34 or delivery, mails or delivers to the proponent a request to cross-examine an
35 affiant, his right to cross-examine such affiant is waived and the affidavit, if
36 introduced in evidence, shall be given the same effect as if the affiant had testified
37 orally. If an opportunity to cross-examine an affiant is not afforded after request
38 therefor is made as herein provided, the affidavit may be introduced in evidence,
39 but shall be given only the same effect as other hearsay evidence.

40 (b) The notice referred to in subdivision (a) shall be substantially in the
41 following form:

42 The accompanying affidavit of (here insert name of affiant) will be introduced
43 as evidence at the hearing in (here insert title of proceeding). (Here insert name of

1 affiant) will not be called to testify orally and you will not be entitled to question
 2 him unless you notify (here insert name of proponent or his attorney) at (here
 3 insert address) that you wish to cross-examine him. To be effective your request
 4 must be mailed or delivered to (here insert name of proponent or his attorney) on
 5 or before (here insert a date seven days after the date of mailing or delivering the
 6 affidavit to the opposing party).

7 **Comment.** Former Section 11514 is restated in Section 648.340 (affidavit evidence), except
 8 that the ten-day period for service of notice of intent to produce affidavit evidence is changed
 9 to 30 days, and the seven-day period to request cross-examination is changed to ten days.

10 **§ 11515 (repealed). Official notice**

11 11515. In reaching a decision official notice may be taken, either before or after
 12 submission of the case for decision, of any generally accepted technical or
 13 scientific matter within the agency's special field, and of any fact which may be
 14 judicially noticed by the courts of this State. Parties present at the hearing shall be
 15 informed of the matters to be noticed, and those matters shall be noted in the
 16 record, referred to therein, or appended thereto. Any such party shall be given a
 17 reasonable opportunity on request to refute the officially noticed matters by
 18 evidence or by written or oral presentation of authority, the manner of such
 19 refutation to be determined by the agency.

20 **Comment.** Former Section 11515 is superseded by Section 648.360 (official notice).

21 **§ 11516 (repealed). Amendment of accusation after submission of case**

22 11516. The agency may order amendment of the accusation after submission of
 23 the case for decision. Each party shall be given notice of the intended amendment
 24 and opportunity to show that he will be prejudiced thereby unless the case is
 25 reopened to permit the introduction of additional evidence in his behalf. If such
 26 prejudice is shown the agency shall reopen the case to permit the introduction of
 27 additional evidence.

28 **Comment.** Former Section 11516 is superseded by Section 642.360 (amended and
 29 supplemental pleadings).

30 **§ 11517 (repealed). Decision in contested cases**

31 11517. (a) If a contested case is heard before an agency itself, the administrative
 32 law judge who presided at the hearing shall be present during the consideration
 33 of the case and, if requested, shall assist and advise the agency. Where a
 34 contested case is heard before an agency itself, no member thereof who did not
 35 hear the evidence shall vote on the decision.

36 (b) If a contested case is heard by an administrative law judge alone, he or she
 37 shall prepare within 30 days after the case is submitted a proposed decision in
 38 such form that it may be adopted as the decision in the case. The agency itself
 39 may adopt the proposed decision in its entirety, or may reduce the proposed
 40 penalty and adopt the balance of the proposed decision. Thirty days after receipt
 41 of the proposed decision, a copy of the proposed decision shall be filed by the

1 agency as a public record and a copy shall be served by the agency on each
2 party and his or her attorney.

3 (c) If the proposed decision is not adopted as provided in subdivision (b), the
4 agency itself may decide the case upon the record, including the transcript, with
5 or without taking additional evidence, or may refer the case to the same
6 administrative law judge to take additional evidence. By stipulation of the parties,
7 the agency may decide the case upon the record without including the transcript.
8 If the case is assigned to an administrative law judge he or she shall prepare a
9 proposed decision as provided in subdivision (b) upon the additional evidence
10 and the transcript and other papers which are part of the record of the prior
11 hearing. A copy of the proposed decision shall be furnished to each party and his
12 or her attorney as prescribed in subdivision (b). The agency itself shall decide no
13 case provided for in this subdivision without affording the parties the
14 opportunity to present either oral or written argument before the agency itself. If
15 additional oral evidence is introduced before the agency itself, no agency member
16 may vote unless the member heard the additional oral evidence.

17 (d) The proposed decision shall be deemed adopted by the agency 100 days
18 after delivery to the agency by the Office of Administrative Hearings, unless
19 within that time the agency commences proceedings to decide the case upon the
20 record, including the transcript, or without the transcript where the parties have
21 so stipulated, or the agency refers the case to the administrative law judge to take
22 additional evidence. In a case where the agency itself hears the case, the agency
23 shall issue its decision within 100 days of submission of the case. In a case where
24 the agency has ordered a transcript of the proceedings, the 100-day period shall
25 begin upon delivery of the transcript. If the agency finds that a further delay is
26 required by special circumstances, it shall issue an order delaying the decision no
27 more than 30 days and specifying the reasons therefor. The order shall be subject
28 to judicial review pursuant to Section 11523.

29 (e) The decision of the agency shall be filed immediately by the agency as a
30 public record and a copy shall be served by the agency on each party and his or
31 her attorney.

32 **Comment.** Subdivision (a) of former Section 11517 is restated in Section 643.110(d)(3)
33 with the addition of a sentence that makes clear the agency head may make a final decision in
34 the proceeding.

35 The substance of the first sentence of subdivision (b) is restated in Section 649.110(b)
36 (proposed and final orders) and is superseded by Section 649.120 (form and contents of
37 order). The second sentence is restated in Section 649.140 (adoption of proposed order). The
38 third sentence is restated in Sections 613.210 (service) and 649.130 (filing of proposed
39 decision).

40 The first and second sentences of subdivision (c) are restated in Section 649.240 (review
41 procedure), except that the agency is precluded from taking additional evidence. The third
42 and fourth sentences are restated in Section 642.860 (procedure on remand). The fifth and
43 sixth sentences are superseded by Section 649.240 (review procedure).

44 The first sentence of subdivision (d) is superseded by Sections 649.150 (time proposed
45 order becomes final) and 649.230 (initiation of review). The second sentence is restated in

1 Section 649.110(a) (proposed and final orders). The third, fourth, and fifth sentences are
 2 restated in Section 649.230 (initiation of review).

3 Subdivision (e) is restated in Section 649.160 (delivery of order to parties).

4 **§ 11518 (repealed). Decision**

5 11518. The decision shall be in writing and shall contain findings of fact, a
 6 determination of the issues presented and the penalty, if any. The findings may be
 7 stated in the language of the pleadings or by reference thereto. Copies of the
 8 decision shall be delivered to the parties personally or sent to them by registered
 9 mail.

10 **Comment.** The substance of the first two sentences of former Section 11518 is restated in
 11 Section 649.120 (contents of order). The third sentence is restated in Section 649.160
 12 (delivery of order to parties).

13 **§ 11519 (repealed). Effective date of decision; stay of execution; notification; restitution**

14 11519. (a) The decision shall become effective 30 days after it is delivered or
 15 mailed to respondent unless: A reconsideration is ordered within that time, or the
 16 agency itself orders that the decision shall become effective sooner, or a stay of
 17 execution is granted.

18 (b) A stay of execution may be included in the decision or if not included
 19 therein may be granted by the agency at any time before the decision becomes
 20 effective. The stay of execution provided herein may be accompanied by an
 21 express condition that respondent comply with specified terms of probation;
 22 provided, however, that the terms of probation shall be just and reasonable in the
 23 light of the findings and decision.

24 (c) If respondent was required to register with any public officer, a notification
 25 of any suspension or revocation shall be sent to such officer after the decision has
 26 become effective.

27 (d) As used in subdivision (b), specified terms of probation may include an order
 28 of restitution which requires the party or parties to a contract against whom the
 29 decision is rendered to compensate the other party or parties to a contract
 30 damaged as a result of a breach of contract by the party against whom the
 31 decision is rendered. In such case, the decision shall include findings that a breach
 32 of contract has occurred and shall specify the amount of actual damages
 33 sustained as a result of such breach. Where restitution is ordered and paid
 34 pursuant to the provisions of this subdivision, such amount paid shall be credited
 35 to any subsequent judgment in a civil action based on the same breach of
 36 contract.

37 **Comment.** Former Section 11519 is restated in Chapter 12 (commencing with Section
 38 650.120) (enforcement of decision) and Business and Professions Code Section 491.5.

39 **§ 11520 (repealed). Defaults**

40 11520. (a) If the respondent fails to file a notice of defense or to appear at the
 41 hearing, the agency may take action based upon the respondent's express

admissions or upon other evidence and affidavits may be used as evidence without any notice to respondent; and where the burden of proof is on the respondent to establish that he is entitled to the agency action sought, the agency may act without taking evidence.

(b) Nothing herein shall be construed to deprive the respondent of the right to make any showing by way of mitigation.

Comment. Former Section 11520 is superseded by Section 648.130 (default).

§ 11521 (repealed). Reconsideration

11521. (a) The agency itself may order a reconsideration of all or part of the case on its own motion or on petition of any party. The power to order a reconsideration shall expire 30 days after the delivery or mailing of a decision to respondent, or on the date set by the agency itself as the effective date of the decision if that date occurs prior to the expiration of the 30-day period or at the termination of a stay of not to exceed 30 days which the agency may grant for the purpose of filing an application for reconsideration. If additional time is needed to evaluate a petition for reconsideration filed prior to the expiration of any of the applicable periods, an agency may grant a stay of that expiration for no more than 10 days, solely for the purpose of considering the petition. If no action is taken on a petition within the time allowed for ordering reconsideration, the petition shall be deemed denied.

(b) The case may be reconsidered by the agency itself on all the pertinent parts of the record and such additional evidence and argument as may be permitted, or may be assigned to an administrative law judge. A reconsideration assigned to an administrative law judge shall be subject to the procedure provided in Section 11517. If oral evidence is introduced before the agency itself, no agency member may vote unless he or she heard the evidence.

Comment. Former Section 11521 is superseded by Section 649.170 (correction of mistakes in order).

§ 11522 (repealed). Reinstatement of license or reduction of penalty

11522. A person whose license has been revoked or suspended may petition the agency for reinstatement or reduction of penalty after a period of not less than one year has elapsed from the effective date of the decision or from the date of the denial of a similar petition. The agency shall give notice to the Attorney General of the filing of the petition and the Attorney General and the petitioner shall be afforded an opportunity to present either oral or written argument before the agency itself. The agency itself shall decide the petition, and the decision shall include the reasons therefor, and any terms and conditions that the agency reasonably deems appropriate to impose as a condition of reinstatement. This section shall not apply if the statutes dealing with the particular agency contain different provisions for reinstatement or reduction of penalty.

Comment. Former Section 11522 is restated in Business and Professions Code Section 494.5 (reinstatement of license or reduction of penalty).

1 **§ 11523 (repealed). Judicial review**

2 11523. Judicial review may be had by filing a petition for a writ of mandate in
 3 accordance with the provisions of the Code of Civil procedure, subject, however,
 4 to the statutes relating to the particular agency. Except as otherwise provided in
 5 this section, any such petition shall be filed within 30 days after the last day on
 6 which reconsideration can be ordered. The right to petition shall not be affected
 7 by the failure to seek reconsideration before the agency. The complete record of
 8 the proceedings, or such parts thereof as are designated by the petitioner, shall be
 9 prepared by the agency and shall be delivered to petitioner, within 30 days after a
 10 request therefor by him or her, upon the payment of the fee specified in Section
 11 69950 as now or hereinafter amended for the transcript, the cost of preparation of
 12 other portions of the record and for certification thereof. Thereafter, the remaining
 13 balance of any costs or charges for the preparation of the record shall be assessed
 14 against the petitioner whenever the agency prevails on judicial review following
 15 trial of the cause. These costs or charges constitute a debt of the petitioner which
 16 is collectible by the agency in the same manner as in the case of an obligation
 17 under a contract, and no license shall be renewed or reinstated where the
 18 petitioner has failed to pay all of these costs or charges. The complete record
 19 includes the pleadings, all notices and orders issued by the agency, any proposed
 20 decision by an administrative law judge, the final decision, a transcript of all
 21 proceedings, the exhibits admitted or rejected, the written evidence and any other
 22 papers in the case. Where petitioner, within 10 days after the last day on which
 23 reconsideration can be ordered, requests the agency to prepare all or any part of
 24 the record the time within which a petition may be filed shall be extended until 30
 25 days after its delivery to him or her. The agency may file with the court the
 26 original of any document in the record in lieu of a copy thereof. In the event that
 27 the petitioner prevails in overturning the administrative decision following
 28 judicial review, the agency shall reimburse the petitioner for all costs of transcript
 29 preparation, compilation of the record, and certification.

30 **Comment.** Former Section 11523 is continued in Section 660 (judicial review) without
 31 substantive change.

32 **§ 11524 (repealed). Continuances; grant time; good cause; denial; notice review**

33 11524. (a) The agency may grant continuances. When an administrative law
 34 judge of the Office of Administrative Hearings has been assigned to the hearing,
 35 no continuance may be granted except by him or her or by the administrative law
 36 judge in charge of the appropriate regional office of the Office of Administrative
 37 Hearings, for good cause shown.

38 (b) When seeking a continuance, a party shall apply for the continuance within
 39 10 working days following the time the party discovered or reasonably should
 40 have discovered the event or occurrence which establishes the good cause for
 41 the continuance. A continuance may be granted for good cause after the 10
 42 working days have lapsed if the party seeking the continuance is not responsible

1 for and has made a good faith effort to prevent the condition or event
2 establishing the good cause.

3 (c) In the event that an application for a continuance by a party is denied by an
4 administrative law judge of the Office of Administrative Hearings, and the party
5 seeks judicial review thereof, the party shall, within 10 working days of the denial,
6 make application for appropriate judicial relief in the superior court or be barred
7 from judicial review thereof as a matter of jurisdiction. A party applying for
8 judicial relief from the denial shall give notice to the agency and other parties.
9 Notwithstanding Section 1010 of the Code of Civil Procedure, the notice may be
10 either oral at the time of the denial of application for a continuance or written at
11 the same time application is made in court for judicial relief. This subdivision does
12 not apply to the Department of Alcoholic Beverage Control.

13 **Comment.** Former Section 11524 is superseded by Section 642.420 (continuances).
14 Subdivision (c) is not continued.

15 **§ 11525 (repealed). Contempt**

16 11525. If any person in proceedings before an agency disobeys or resists any
17 lawful order or refuses to respond to a subpoena, or refuses to take the oath or
18 affirmation as a witness or thereafter refuses to be examined, or is guilty of
19 misconduct during a hearing or so near the place thereof as to obstruct the
20 proceeding, the agency shall certify the facts to the superior court in and for the
21 county where the proceedings are held. The court shall thereupon issue an order
22 directing the person to appear before the court and show cause why he should
23 not be punished as for contempt. The order and a copy of the certified statement
24 shall be served on the person. Thereafter the court shall have jurisdiction of the
25 matter. The same proceedings shall be had, the same penalties may be imposed
26 and the person charged may purge himself of the contempt in the same way, as in
27 the case of a person who has committed a contempt in the trial of a civil action
28 before a superior court.

29 **Comment.** Former Section 11525 is restated in Sections 648.610-648.630 (enforcement of
30 orders and sanctions).

31 **§ 11526 (repealed). Voting by mail**

32 11526. The members of an agency qualified to vote on any question may vote
33 by mail.

34 **Comment.** Former Section 11526 is restated in Section 613.110 (voting by agency
35 member).

36 **§ 11527 (repealed). Charge against funds of agency**

37 11527. Any sums authorized to be expended under this chapter by any agency
38 shall be a legal charge against the funds of the agency.

39 **Comment.** Section 11527 is not continued.

1 **§ 11528 (repealed). Oaths**

2 11528. In any proceedings under this chapter any agency, agency member,
3 secretary of an agency, hearing reporter, or administrative law judge has power to
4 administer oaths and affirmations and to certify to official acts.

5 **Comment.** Former Section 11528 is restated in Section 613.120 (oaths, affirmations, and
6 certification of official acts).
7

8 **§ 11529 (repealed). Interim orders**

9 11529. (a) The administrative law judge of the Medical Quality Hearing Panel
10 established pursuant to Section 11371 may issue an interim order suspending a
11 license, or imposing drug testing, continuing education, supervision of
12 procedures, or other license restrictions. Interim orders may be issued only if the
13 affidavits in support of the petition show that the licensee has engaged in, or is
14 about to engage in, acts or omissions constituting a violation of the Medical
15 Practice Act or the appropriate practice act governing each allied health
16 profession, and that permitting the licensee to continue to engage in the
17 profession for which the license was issued will endanger the public health,
18 safety, or welfare.

19 (b) All orders authorized by this section shall be issued only after a hearing
20 conducted pursuant to subdivision (d), unless it appears from the facts shown by
21 affidavit that serious injury would result to the public before the matter can be
22 heard on notice. Except as provided in subdivision (c), the licensee shall receive
23 at least 15 days' prior notice of the hearing, which notice shall include affidavits
24 and all other information in support of the order.

25 (c) If an interim order is issued without notice, the administrative law judge who
26 issued the order without notice shall cause the licensee to be notified of the order,
27 including affidavits and all other information in support of the order by a 24-hour
28 delivery service. That notice shall also include the date of the hearing on the
29 order, which shall be conducted in accordance with the requirement of
30 subdivision (d), not later than 20 days from the date of issuance. The order shall
31 be dissolved unless the requirements of subdivision (a) are satisfied.

32 (d) For the purposes of the hearing conducted pursuant to this section, the
33 licentiate shall, at a minimum, have the following rights:

34 (1) To be represented by counsel.

35 (2) To have a record made of the proceedings, copies of which may be obtained
36 by the licentiate upon payment of any reasonable charges associated with the
37 record.

38 (3) To present written evidence in the form of relevant declarations, affidavits,
39 and documents.

40 The discretion of the administrative law judge to permit testimony at the
41 hearing conducted pursuant to this section shall be identical to the discretion of a

1 superior court judge to permit testimony at a hearing conducted pursuant to
2 Section 527 of the Code of Civil Procedure.

3 (4) To present oral argument.

4 (e) Consistent with the burden and standards of proof applicable to a
5 preliminary injunction entered under Section 527 of the Code of Civil Procedure,
6 the court shall grant the interim order where, in the exercise of its discretion, it
7 concludes that:

8 (1) There is a reasonable probability that the petitioner will prevail in the
9 underlying action.

10 (2) The likelihood of injury to the public in not issuing the order outweighs the
11 likelihood of injury to the licensee in issuing the order.

12 (f) In all cases where an interim order is issued, and an accusation is not filed
13 and served pursuant to Sections 11503 and 11505 within 15 days of the date in
14 which the parties to the hearing on the interim order have submitted the matter,
15 the order shall be dissolved.

16 Upon service of the accusation the licensee shall have, in addition to the rights
17 granted by this section, all of the rights and privileges available as specified in this
18 chapter. If the licensee requests a hearing on the accusation, the board shall
19 provide the licensee with a hearing within 30 days of the request, unless the
20 licensee stipulates to a later hearing, and a decision within 15 days of the date
21 that matter is submitted, or the board shall nullify the interim order previously
22 issued, unless good cause can be shown by the division for a delay.

23 (g) Where an interim order is issued, a written decision shall be prepared within
24 15 days of the hearing, by the administrative law judge, including findings of fact
25 and a conclusion articulating the connection between the evidence produced at
26 the hearing and the decision reached.

27 (h) Notwithstanding the fact that interim orders issued pursuant to this section
28 are not issued after a hearing as otherwise required by this chapter, interim orders
29 so issued shall be subject to judicial review pursuant to Section 1094.5 of the
30 Code of Civil Procedure. The relief which may be ordered shall be limited to a
31 stay of the interim order. Interim orders issued pursuant to this section are final
32 interim orders and, if not dissolved pursuant to subdivision (c) or (f), may only be
33 challenged administratively at the hearing on the accusation.

34 (i) The interim order provided for by this section shall be in addition to, and not
35 a limitation on, the authority to seek injunctive relief provided for in the Business
36 and Professions Code.

37 **Comment.** Former Section 11529 is continued in Business and Professions Code Section
38 494.1 without substantive change.