

1 Amend 2 Cal Code Regs. Section 18360 to read:

2 **§18360. Complaints Filed with the Commission.**

3 The Enforcement Division of the Commission receives complaints and referrals from a  
4 variety of sources and pursues matters proactively.

5 (a) Requirements for filing complaint or referral.

6 (1) A complaint or referral must:

7 (A) Be filed with the Enforcement Division via the Electronic Complaint System  
8 available on the Commission’s website.

9 (B) Identify the person(s) who allegedly violated the Act (if known) and the specific  
10 provision(s) of the Act allegedly violated.

11 (C) Describe with as much particularity as possible the facts constituting each alleged  
12 violation.

13 (D) State the facts that support the complainant’s belief that a person has violated the Act  
14 and include any documents or other evidence supporting this conclusion.

15 (E) Include or describe with as much particularity as possible evidence or means of  
16 obtaining evidence in support of the complaint.

17 (F) Include the name and current contact information of any potential witness (if known).

18 (2) A sworn complaint must be electronically signed and submitted under penalty of  
19 perjury.

20 (3) A referral must include:

21 (A) Current contact information for the person or entity referred.

22 (B) Current contact information for the agency with which the person or entity files.

1 (C) Information regarding any attempt the referring entity made to obtain compliance,  
2 including copies of at least two written notices and the email address, mailing address, or  
3 telephone number at which the referred person or entity was contacted.

4 (D) For campaign non-filer referrals, also include:

5 (i) A copy of the most recently filed campaign statement, if any, including all relevant  
6 schedules.

7 (ii) Committee name and identification number and, in the case of a candidate- controlled  
8 committee, the candidate's name.

9 (iii) Office sought or held, if applicable.

10 (iv) The name of the committee's treasurer.

11 (v) Current contact information for the committee, candidate if applicable, and the  
12 committee's treasurer.

13 (vi) Filing methods available to the filer at their agency, such as paper or electronic filing.

14 (E) For statement of economic interests non-filer referrals, also include:

15 (i) A copy of the most recently filed statement of economic interest, if any.

16 (ii) A copy of the agency's conflict of interest code, in the case of Section 87300 filers.

17 (iii) Personal contact information such as a personal email address, home mailing  
18 address, or personal telephone number if the filer has left office or is no longer employed by the  
19 agency.

20 (iv) Indication whether the filer is still in office or employed by the agency. If the filer is  
21 on leave, also provide that information along with expected return date, if known.

22 (4) Before making a referral to the Enforcement Division, the filing officer shall attempt  
23 to contact the filer by telephone at least once.

1           (5) If a filing officer subsequently receives a filing from a referred candidate, committee,  
2 or statement of economic interests filer, the filing officer must notify the Enforcement Division  
3 within 7 days of receipt of the filing.

4           (b) Procedural rights for a sworn complaint. The following procedures only apply to a  
5 sworn complaint filed under penalty of perjury:

6           (1) Notice. Within three business days of receipt of a sworn complaint, the Enforcement  
7 Division will provide each person who the complaint alleges violated the Act a copy of the  
8 complaint and notice that the person may respond to the complaint. This is not required if the  
9 complaint is rejected within the three-day period. The Enforcement Division may withhold  
10 notice of a complaint or the identity of the complainant if the Enforcement Division Chief  
11 determines that disclosing the information would jeopardize the investigation, or if the complaint  
12 is rejected within the three business days.

13           (2) Notice to complainant of intended action. Within 14 calendar days of receiving a  
14 sworn complaint, the Enforcement Division will notify the complainant in writing that it will do  
15 one or more of the following in response to the complaint: open a case, refer the matter to  
16 another agency, take no action, take additional time to make a determination, or take any action  
17 the Enforcement Chief deems appropriate. Subsequent notice will be provided if more time is  
18 required.

19           (3) Reconsideration of intended action. If the person who filed the sworn complaint  
20 disagrees with the Enforcement Division's intended action, other than needing additional time to  
21 consider, the person may submit in writing, within 20 calendar days of receipt of the response, a  
22 request for reconsideration to the Executive Director of the Commission. The Executive Director  
23 may deny the request, or based on good cause, direct the Enforcement Division Chief to take

1 specified action consistent with the Act and its regulations. The Executive Director will provide  
2 the complainant written notice of the decision within 20 calendar days of receipt of the request.  
3 However, if the complainant proves new information or allegations in the request for  
4 reconsideration, this will be considered a new complaint and not a request for reconsideration.

5 (4) Notice to subject of a sworn complaint. The Enforcement Division will send a copy of  
6 the notice of intended action to any person the complaint alleges violated the Act at the  
7 same time it is sent to the complainant, unless the Enforcement Division Chief determines that  
8 providing the person with notice of the complaint would jeopardize the investigation.

9 (5) Notice of resolution. The Enforcement Division will send a notice of resolution to  
10 each complainant who filed a sworn complaint with the Commission and was notified that the  
11 Enforcement Division would investigate the allegations in the complaint.

12 (c) Commission initiated case. All matters that do not result from a sworn complaint,  
13 including proactive investigations, referrals, nonsworn and anonymous complaints, are opened  
14 on the Commission's initiative under Section 83115. The Enforcement Division will determine  
15 whether to open Commission initiated investigations

16 (1) Notice of Commission initiated case. The Enforcement Division will send notice, as  
17 well as a copy of any document submitted to the Enforcement Division, to any identified subjects  
18 of a Commission initiated case when opening a case based upon that information.

19 (2) The Enforcement Division may withhold any document, the identity of any person  
20 providing information, or the notice and existence of a matter if the Enforcement Division Chief  
21 determines disclosing the information would jeopardize the case, or if the information is  
22 privileged, private or confidential.

1 (3) No notice is required to be sent to the provider of the information regarding whether a  
2 case has been opened or its resolution. For filing officer referrals, the Enforcement Division may  
3 notify the filing officer regarding the outcome of the referral.

4 (d) Public information. The Commission will post on its website and respond to requests  
5 for information about all matters as follows:

6 (1) Notice. The Commission may confirm receipt and provide a copy of any document  
7 received from a complainant or referring agency five calendar days after a copy of the complaint  
8 or referral has been sent to all persons the complaint or referral alleges violated the Act. The  
9 Commission may provide a copy of the complaint or referral before five calendar days have  
10 passed if the Enforcement Division has decided to take no action on the complaint or referral. If  
11 a case is opened without the filing of a complaint or referral, the Commission may confirm a  
12 case has been opened and provide a copy of any documents reviewed by the Enforcement  
13 Division is making a determination to open a case five calendar days after a copy of the  
14 information, or a notification that a case has been opened, has been sent to all persons alleged to  
15 have violated the Act.

16 (2) Intended Action. Commission staff may not disclose any action the Enforcement  
17 Division intends to take on a complaint or referral, other than no action, until after the notice to  
18 complainant of intended action is sent and the five days have passed. The Commission may  
19 confirm that it has opened a case on its own initiative and provide a copy of the notice sent to all  
20 identified subjects of the investigation five calendar days after sending notice to all identified  
21 subjects of the investigation.

22 (3) Protected Information. The Commission may withhold any document, the identity of  
23 any person providing information, or the existence of an complaint or case if the Enforcement

1 Division Chief determines that disclosing the information would jeopardize the matter, or the  
2 information is privileged, private or confidential.

3 (e) Complaints Rejected without Notice to Respondents. Duplicate complaints or  
4 referrals submitted by the same complainant or filing officer may be rejected without notice. A  
5 nonsworn or anonymous complaint that the Chief of Enforcement determines fails to allege facts  
6 that could result in a violation of the Act may be rejected without notice. A complaint or referral  
7 rejected pursuant to this subdivision will not be posted on the Commission website.

8 Note: Authority cited: Section 83112, Government Code. Reference: Section 83115,  
9 Government Code.