

1 Amend 2 Cal. Code Regs. Section 18360 as follows:

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 a 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.

23 (C) Information regarding any attempt the referring entity made to obtain compliance,  
24 including copies of at least two written notices and the email address, mailing address, or

1 telephone number at which the referred person or entity was contacted. Attempts to contact a  
2 referred person who has left office or is no longer at an agency should be made to a personal  
3 email address, home mailing address, or personal telephone number known by the filing officer if  
4 the filer cannot be contacted through an agency email address, telephone number, or mailing  
5 address.

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

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

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

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

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

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

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

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

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

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

19 (iii) Any personal contact information for the filer such as a personal email address, home  
20 mailing address, or personal telephone number in the possession of the filing officer if the filer  
21 has left office or is no longer employed by the agency and can no longer be contacted through an  
22 agency email address, telephone number, or mailing address. If the filing officer does not have  
23 any personal contact information for the filer, the filing officer shall make best efforts to obtain  
24 personal contact information for the filer, including requesting the information from the filer.

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

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

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

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

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

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

23           (3) Reconsideration of intended action. If the person who filed the sworn complaint  
24 disagrees with the Enforcement Division's intended action, other than needing additional time to

1 consider, the person may submit in writing, within 20 calendar days of receipt of the response, a  
2 request for reconsideration to the Executive Director of the Commission. The Executive Director  
3 may deny the request, or based on good cause, direct the Enforcement Division Chief to take  
4 specified action consistent with the Act and its regulations. The Executive Director will provide  
5 the complainant written notice of the decision within 20 calendar days of receipt of the request.  
6 However, if the complainant provides new information or allegations in the request for  
7 reconsideration, this will be considered a new complaint and not a request for reconsideration.

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

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

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

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

22 (2) The Enforcement Division may withhold any document, the identity of any person  
23 providing information, or the notice and existence of a matter if the Enforcement Division Chief  
24 determines disclosing the information would jeopardize the case, or if the information is

1 privileged, private or confidential.

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

5 (d) Public Information. The Commission will post on its website and respond to requests  
6 from the public for records and information about all Enforcement matters as follows:

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

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

23 (1) When the Commission receives a complaint or referral alleging a person violated the  
24 Act, or if a case is opened on the Commission's own initiative, the Commission may provide the

1 following information and records two days after sending via email notice of the alleged  
2 violation to the person alleged to have violated the Act or five days after sending such notice via  
3 physical mail:

4 (A) Confirmation of receiving a complaint or referral;

5 (B) Copies of the respective complaint, referral, information, notification, or letter of  
6 inquiry;

7 (C) Copies of any document received from a complainant or referring agency; and

8 (D) Copies of any documents reviewed by the Enforcement Division in making a  
9 determination to open a case.

10 (2) The Commission may disclose the action the Enforcement Division intends to take on  
11 a complaint or referral two days after providing notice of the intended action to the sworn  
12 complainant via email or five days after providing notice via physical mail. However, if the  
13 Enforcement Division intends to take no action, the Commission may disclose that fact  
14 immediately.

15 (3) The Commission may disclose the scheduling or result of any step in an  
16 administrative action.

17 (4) The Commission may not comment on specific facts or provide analysis relating to an  
18 Enforcement matter when responding to requests for information regarding a pending  
19 Enforcement matter. The Commission may provide general information regarding the provisions  
20 of the Act and Section 1090 without analyzing the potential application of those provisions to the  
21 facts of a specific Enforcement matter.

22 ~~(3) (5) Protected Information.~~ The Commission may withhold any document, the identity  
23 of any person providing information, or the existence of ~~an~~ a complaint or case if the  
24 Enforcement Division Chief determines that disclosing the information would jeopardize the

1 matter, or the information is privileged, private or confidential.

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

7 (f) When sending a form of notice to a respondent or complainant via email, Enforcement  
8 Division staff shall include a request for a read receipt. A returned read receipt is not required  
9 prior to providing information to other parties as specified in this regulation.

10 Note: Authority cited: Section 83112, Government Code. Reference: Section 83115, Government  
11 Code.