

Truckee-Tahoe Airport District should be declared formed and the five directors receiving the highest number of votes should be declared elected as directors of said district.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF SUPERVISORS OF THE COUNTY OF NEVADA, STATE OF CALIFORNIA, that the Truckee-Tahoe Airport District be, and the same is, hereby declared formed and established and that the boundaries of the said district shall be, and the same are, hereby defined and described as follows, to-wit:

Beginning at the intersection of the westerly shore line of Lake Tahoe and the south line of Section 8 T14N-R17E; and running thence west along section lines about one mile to the quarter corner on the North line of Section 18 T14N-R17E; thence south along the north-south centerline of said Section 18 one half mile to the center of said Section 18; thence west along the east-west centerline one half mile to the quarter corner on the section line between Section 18 T14N-R17E and Section 13 T14N-R16E; thence south on the range line one mile to the quarter corner between Section 19 T14N-R17E and Section 24 T14N-R16E; thence west along the east-west centerline of Section 24 T14N-R16E one mile to the quarter corner on the east line of Section 23 T14N-R16E; thence south along the section line one half mile to the southeast corner of said Section 23; thence west along the south line of said Section 23 one mile to the northeast corner of Section 27 T14N-R16E; thence south along section line one half mile to the quarter corner on the east line of said Section 27; thence west along the east-west centerline of Sections 27, 28, and 29 three miles to the quarter corner on the East line of Section 30 T14N-R16E; thence south along the section line one half mile to the southeast corner of said Section 30; thence west along the south line of said Section 30 one mile to the southwest corner of said Section 30, a point on the range line between Ranges 15 east and 16 east; thence north along the range line between ranges 15 east and 16 east about eleven miles to the northwest corner of Section 6 T15N-R16E, the northwest corner of Township 15 North-Range 16 east; thence east along the north line of Township 15 North about one half mile to the southwest corner of Section 31 T16N-R16E, the southwest corner of Township 16 North-Range 16 east; thence north along the range line between Ranges 15 East and 16 East one and one half miles to the quarter corner on the east line of Section 25 T16N-R15E; thence west along the east-west centerlines of Sections 25, 26, and 27 T16N-R15E about two and one half miles to the centerline of the North Fork of the American River; thence westerly along the centerline of the North Fork of the American River to the range line between ranges 12 east and 13 east; thence north along said range line about seven miles to the Placer and Nevada County boundary line; thence east along said county boundary line six miles to the range line between Ranges 13 East and 14 East; thence north into Nevada County along the said range line about nine miles to the Nevada Sierra County boundary line; thence east along the Nevada and Sierra County boundary line about twenty four miles to the boundary line of the State of California and the State of Nevada; thence south along said state boundary line about fifteen and one half miles to the northerly shore line of Lake Tahoe;

thence westerly and southwesterly along the shoreline of Lake Tahoe to the south line of Section 8 T12S-17E, the point of beginning.

BE IT FURTHER RESOLVED that the directors elected at the said election held on the 8th day of April, 1958, being the five persons receiving the highest votes, to-wit: LEE H. APPLE, REX ELTON REID, ZEPHANIAH D. ROSE, FRED M. SCHULTZ and WALTER O. SPETER, be, and they are, hereby declared to be the directors and to constitute the Board of Directors of the said Truckee-Tahoe Airport District.

BE IT FURTHER RESOLVED that the clerk cause a certified copy of this resolution to be filed in the office of the Recorder of both the County of Placer and the County of Nevada and with the Secretary of State of the State of California.

Passed and adopted as a resolution of the Board of Supervisors of the County of Nevada, State of California, on the 1st day of May, 1958, by the following vote:

AYES: Supervisors Smart, Bishop, Coughlan, Robinson and Loehr

NOES: Supervisors None

ABSENT: Supervisors None

/s/ H. G. LOEHR  
Chairman of the Board of Supervisors  
of the County of Nevada, State of  
California.

ATTEST:

/s/ JOHN T. TRAJNER  
Clerk of the Board of Supervisors.



State of California  
County of Nevada

} ss.

I, JOHN T. TRAUNER, County Clerk and ex-officio Clerk of the Board of Supervisors in and for said County of Nevada, State of California, do hereby certify that I have compared the foregoing with the original, and find the same to be a full, true and correct copy of the Original Resolution No. 58-15

on file in this my office.

Witness my hand and seal of said Board of Supervisors, this 2nd day of

May 1958

FILED

In the office of the Secretary of State  
of the State of California

JOHN T. TRAUNER

Clerk

By

*Frank M. Jordan*

Deputy Clerk

MAY 5 - 1958

FRANK M. JORDAN, Secretary of State

*William M. Miller*

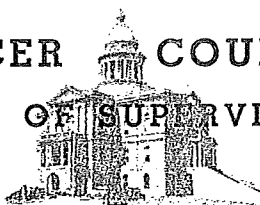
Deputy

J. B. PAOLINI  
DISTRICT NO. 1  
ROSEVILLE, CALIF.

J. E. BOYINGTON  
DISTRICT NO. 2  
LODMIS, CALIF.

J. O. ANDERSON  
DISTRICT NO. 3  
AUBURN, CALIF.

PLACER COUNTY  
BOARD OF SUPERVISORS



AUBURN, CALIFORNIA

Telephone TUrner 5-5621

April 18, 1958

FRANK J. PAOLI  
DISTRICT NO. 4  
CHAIRMAN OF THE BOARD  
COLFAX, CALIF.

L. L. ANDERSON  
DISTRICT NO. 5  
FORESTHILL, CALIF.

L. RECHENMACHER  
COUNTY CLERK AND  
EX-OFFICIO CLERK  
OF THE BOARD

Truckee-Tahoe Airport District  
c/o Mr. Z. D. Rose  
Truckee, California

Gentlemen:

Enclosed is a certified copy of Resolution  
No. 58-63 being a resolution ordering and declaring  
the Truckee-Tahoe Airport District created and  
established, together with a map of the District, and  
a tally of the votes cast.

A similar resolution will be passed by  
Nevada County, and a copy forwarded to you.

Very truly yours,

L. RECHENMACHER  
County Clerk

By Elyna Freeman  
Deputy

ef  
encl



RESOLUTION ORDERING AND DECLARING THE  
TRUCKEE-TAHOE AIRPORT CREATED AND  
ESTABLISHED 58-63

WHEREAS, the election for the formation of the Truckee-Tahoe Airport District was duly and regularly held on April 3, 1958;

WHEREAS, the Board of Supervisors on April 15, 1958, did canvass the votes cast at said election and counted and canvassed the absentee ballots at said election in accordance with the provisions of the California Airport District Act;

WHEREAS, it appeared from the canvass of said votes by said Board of Supervisors that the majority of the votes cast at said election were in favor of said district and that a majority of the votes cast in a majority in number of the cities included in whole or in part in the district, counting all of the unincorporated territory in each affected county as a city for this purpose, were for the formation of the district, the vote cast at said election being as follows:

IN FAVOR OF THE FORMATION OF SAID DISTRICT	- 419
AGAINST THE FORMATION OF SAID DISTRICT	- 143

and that the following named directors received the following number of votes at said election:

LEE H. APPLE	363
REX ELTON REID	341
ZEPHANIAH D. ROSE	385
FRED M. SCHULTZ	383
WALTER G. SPEETER	373
DON A. STRUMBO	299
Wm. BECHDOLT	3
Wm. or BILL CONNERS	60
TOM DOLLY	2
Wm. ENGLEHART, JR.	1
RAY FELLOWS	2
CHARLIE FINK	1
E. HINTZ	1
GEORGE KASPIAN	2
TONY PACE	1
REGINALD SMART	1
J. W. VAN ALLEN	1
N. R. MAYFIELD	2

WHEREAS, pursuant to the provision of the Public Utility Code of the State of California the Truckee-Tahoe Airport District should be formed and the directors receiving the highest number of votes elected as directors of said district;

NOW, THEREFORE, BE IT RESOLVED that the Board of Supervisors does hereby order and declare that the Truckee-Tahoe Airport District is hereby established with boundaries as hereinafter described:

## BOUNDARIES OF TRUCKEE-TAHOE AIRPORT DISTRICT

Beginning at the intersection of the westerly shore line of Lake Tahoe and the south line of Section 8 T14N-R17E; and running thence west along section lines about one mile to the quarter corner on the North line of Section 18 T14N-R17E; thence south along the north-south centerline of said Section 18 one half mile to the center of said Section 18; thence west along the east-west centerline one half mile to the quarter corner on the section line between Section 18 T14N-R17E and Section 13 T14N-R16E; thence south on the range line one mile to the quarter corner between Section 19 T14N-R17E and Section 24 T14N-R16E; thence west along the east-west centerline of Section 24 T14N-R16E one mile to the quarter corner on the east line of Section 23 T14N-R16E; thence south along the section line one half mile to the southeast corner of said Section 23; thence west along the south line of said Section 23 one mile to the northeast corner of Section 27 T14N-R16E; thence south along section line one half mile to the quarter corner on the east line of said Section 27; thence west along the east-west centerline of Sections 27, 28, and 29 three miles to the quarter corner on the east line of Section 30 T14N-R16E; thence south along the section line one half mile to the southeast corner of said Section 30; thence west along the south line of said Section 30 one mile to the southwest corner of said Section 30, a point on the range line between Ranges 15 east and 16 east; thence north along the range line between ranges 15 east and 16 east about eleven miles to the northwest corner of Section 6 T15N-R16E, the northwest corner of Township 15 North-Range 16 east; thence east along the north line of Township 15 North about one half mile to the southwest corner of Section 31 T16N-R16E, the southwest corner of Township 16 North-Range 16 east; thence north along the range line between Ranges 15 East and 16 East one and one-half miles to the quarter corner on the east line of Section 25 T16N-R15E; thence west along the east-west centerlines of Sections 25, 26, and 27 T16N-R15E about two and one half miles to the centerline of the North Fork of the American River; thence westerly along the centerline of the North Fork of the American River to the range line between ranges 12 east and 13 east; thence north along said range line about seven miles to the Placer and Nevada County boundary line; thence east along said county boundary line six miles to the range line between Ranges 13 East and 14 East; thence north into Nevada County along the said range line about nine miles to the Nevada Sierra County boundary line; thence east along the Nevada and Sierra County boundary line about twenty four miles to the boundary line of the State of California and the State of Nevada; thence south along said state boundary line about fifteen and one half miles to the northerly shore line of Lake Tahoe; thence westerly and southwesterly along the shoreline of Lake Tahoe to the south line of Section 8 T14N-R17E, the point of beginning.



BE IT FURTHER RESOLVED that the directors elected at said election held on April 8, 1953, being the five (5) individuals with the highest votes, to wit: LEE H. APPLE, RAY EDITH REID, ZEPHANIAH D. ROSE, FRED M. SCHULTZ and WALTER G. SPEETER, be and they are hereby declared to be the directors of said Truckee-Tahoe Airport District.

Passed and adopted as a resolution of the Board of Supervisors, County of Placer, State of California, by the following vote of the members of said Board, at a meeting of the said Board held on the 15th day of April, 1953.

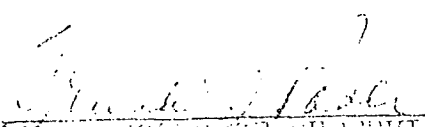
AYES SUPERVISORS: Paolini, J. O. Anderson, Boyington,

L. L. Anderson and Paoli

NOES SUPERVISORS: None

ABSENT SUPERVISORS: None

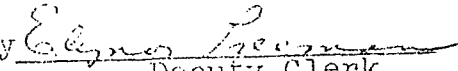
Signed and approved by me after its passage this 15th day of April, 1958.

  
CHAIRMAN, BOARD OF SUPERVISORS OF THE  
COUNTY OF PLACER, STATE OF CALIFORNIA

ATTEST:

L. RECHENMACHER

Clerk of said Board

By   
Deputy Clerk





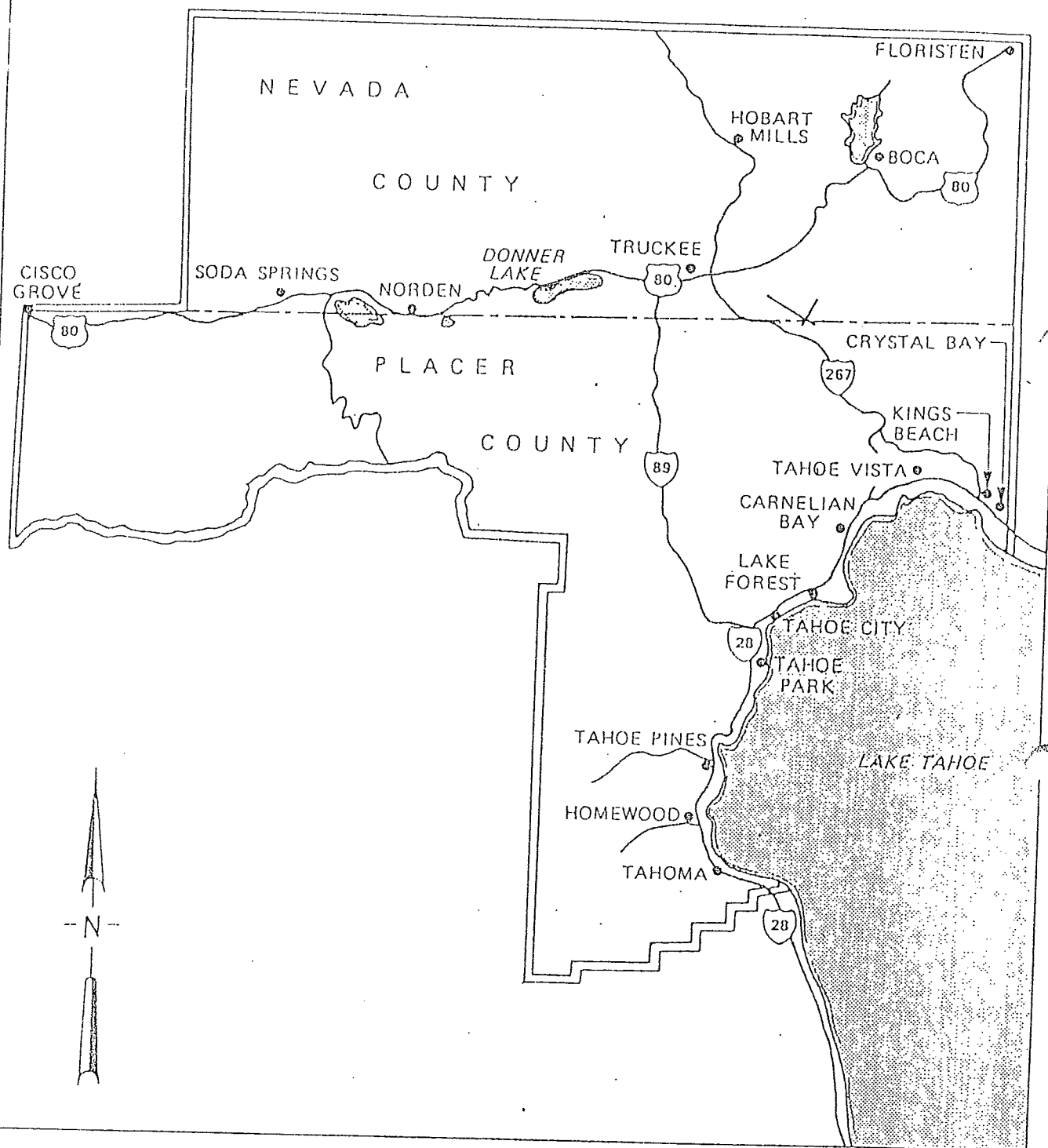


FIGURE 2 : TRUCKEE TAHOE AIRPORT DISTRICT

## **Part 2 Airport Districts**

### **Chapter 1 General Provisions and Definitions**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 1, General Provisions and Definitions; added by Stats 1953 ch 151 §1.]**

#### **§ 22001. Citation of part**

This part may be cited as the "California Airport District Act."

**Added Stats 1953 ch 151 §1.**

#### **§ 22002. Purpose of part**

The purpose of this part is to facilitate the formation of intercity and county airport districts having responsibility for the development of airports, spaceports, and air navigation facilities, the objective being to encourage airport and spaceport development by communities and to distribute the cost uniformly among all who benefit.

**Added Stats 1953 ch 151 §1.**

**Amended Stats 2000 ch 191 §1 (AB 2252).**

**§ 22002.5. Section repealed 2000.**

**Added Stats 2000 ch 191 §2 (AB 2252). Repealed Stats 2000 ch 1056 §14 (SB 1136). The repealed section related to definitions.**

#### **§ 22003. Definitions and general provisions to govern construction**

(a) Unless the context otherwise requires, the definitions and general provisions contained in this chapter govern the construction of this part.

(b) "Spaceport" and associated terms contained in this part shall be defined pursuant to Section 13999.1[Deering's] of the Government Code.

**Added Stats 1953 ch 151 §1.**

**Amended Stats 2003 ch 627 §4 (AB 1532).**



**§ 22004. Airport districts authorized; Exercise of powers**

Airport districts may be created, maintained, and managed as provided in this part and may exercise the powers expressly granted or necessarily implied.

**Added Stats 1953 ch 151 §1.**

**§ 22005. What district may include**

A district may lie within or include the territories of one or more counties. It may include one or more cities, all or any part of any city and any part of the unincorporated territory of any county.

**Added Stats 1953 ch 151 §1.**

**§ 22006. Alteration of boundaries and annexation of contiguous territory**

The boundaries of a district may be altered and outlying contiguous territory in the same or an adjoining county annexed to the district.

**Added Stats 1953 ch 151 §1; Amended Stats 1965 ch 2043 §625.**

**§ 22007. Laws governing elections**

Except as otherwise provided in this part, the law governing the qualifications of electors, the manner of voting, the duties of election officers, the canvassing of returns, declaration of results, and all other particulars in respect to the calling and holding of general municipal elections in cities of the fifth and sixth class, so far as applicable, governs all district elections.

**Added Stats 1953 ch 151 §1.**

**§ 22008. "District"**

"District" means airport district, formed or proposed to be formed, pursuant to this part.

**Added Stats 1953 ch 151 §1.**

**§ 22009. "Principal county"**

"Principal county" means the county in which all of the territory of the district is situated, or if the territory is situated in more than one county, the county in which the greatest portion of the territory is situated.

**Added Stats 1953 ch 151 §1.**

**§ 22010. "Affected county"**

"Affected county" means any county in which the territory of the district is situated.

**Added Stats 1953 ch 151 §1.**

**§ 22011. "Board"**

"Board" means the board of directors of the district.

**Added Stats 1953 ch 151 §1.**

**§ 22012. "Director"**

"Director" means member of the board.

**Added Stats 1953 ch 151 §1.**

**§ 22013. "Secretary"**

"Secretary" means secretary of the board.

**Added Stats 1953 ch 151 §1.**

**§ 22014. "Bond election"**

"Bond election" means an election provided for in Article 2 (commencing with Section 22731) of Chapter 5.

**Added Stats 1953 ch 151 §1; Amended Stats 1984 ch 144 §174.**

**§ 22015. "Formation election"**

"Formation election" means an election provided for in Article 4 (commencing with Section 22226) of Chapter 2.

**Added Stats 1953 ch 151 §1; Amended Stats 1984 ch 144 §175.**

**§ 22016. "Bond tax"**

"Bond tax" means the tax levied pursuant to Chapter 6 (commencing with Section 22901) for the payment of the bonded indebtedness of the district.

**Added Stats 1953 ch 151 §1; Amended Stats 1984 ch 144 §176.**

**§ 22017. "District tax"**

"District tax" means the tax levied pursuant to Chapter 6 for the payment of expenses of, and claims against the district, other than the bonded indebtedness.

**Added Stats 1953 ch 151 §1.**

**Chapter 2 Formation**

**Article 1 Resolution**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 2, Formation--Article 1, Resolution; added by Stats 1953 ch 151 §1.]**

**§ 22151. Resolution of intention; Adoption**

The board of supervisors of each county desiring to form, or join in forming, a district shall adopt a resolution of intention to that effect.

**Added Stats 1953 ch 151 §1.**

**§ 22152. Contents of resolution**

Each resolution shall contain:

- (a) A statement of intention to form a district.
- (b) The boundaries of the district or some other designation of its territorial extent.
- (c) The name of the district.
- (d) The time and place for hearing objections to the formation of the district or to its extent. The time of the hearing shall not be less than 30 days after the adoption of the resolution.
- (e) The name of the newspaper in which the resolution shall be published.

**Added Stats 1953 ch 151 §1.**

**§ 22153. Publication of resolution**

Each resolution shall be published pursuant to Section 6061[Deering's] of the Government Code in the county concerned. The board of supervisors may order it published in more than one newspaper. Publication shall be at least 20 days before the date of hearing. The publication of the resolution constitutes the notice of the hearing.

**Added Stats 1953 ch 151 §1; Amended Stats 1957 ch 357 §147.**

**Article 2 Investigation and Termination by Majority Protest**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 2, Formation--Article 2, Investigation and Termination by Majority Protest; added by Stats 1953 ch 151 §1.]**

**§ 22176. Application of District Investigation Law**

Except as otherwise provided in this article, the District Investigation Law of 1933 applies to districts formed under this part.

**Added Stats 1953 ch 151 §1.**

**§ 22177. Section 22178 to supercede Government Code Section 58680**

Section 22178 of this code supersedes Section 58680[Deering's] of the Government Code, with respect to districts formed under this part.

**Added Stats 1953 ch 151 §1.**

**§ 22178. When certain provisions of District Investigation Law not applicable**

The requirements of the District Investigation Law for the mailing of the notice of hearing, and for the inclusion in the report of value and liability statements provided for in Article 3 of that law, do not apply to districts formed under this part if the board of supervisors of each affected county, prior to the hearing on the formation of the district, finds by resolution adopted by a four-fifths vote of its members that:

(a) In its opinion the probable assessments will not exceed the limitations prescribed in the District Investigation Law.

(b) The property to be assessed will be able to carry the assessments.

(c) The assessment limitations may be dispensed with.

**Added Stats 1953 ch 151 §1.**

### **Article 3 Hearing**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 2, Formation--Article 3, Hearing; added by Stats 1953 ch 151 §1.]**

#### **§ 22201. Protests or objections to formation; Filing**

Written protests or objections to the formation of the district or to its extent within the county may be filed in the office of the clerk of the board of supervisors of any affected county at any time prior to the hour fixed for the hearing. At the hearing the board of supervisors shall consider only the protests or objections filed pursuant to this section.

**Added Stats 1953 ch 151 §1.**

#### **§ 22202. Public hearing**

The board of supervisors of each affected county shall hold a public hearing to consider the objections or protests at the time fixed for the hearing. The hearing may be continued by order of the board of supervisors entered on its minutes.

**Added Stats 1953 ch 151 §1.**

#### **§ 22203. Overruling protests or objections**

Each board of supervisors may overrule any protests or objections filed with it.

**Added Stats 1953 ch 151 §1.**

#### **§ 22204. Exclusion of territory within county from district**

\* The board of supervisors of each affected county may exclude any territory within the county that in its opinion will not be benefited by inclusion in the district.

**Added Stats 1953 ch 151 §1.**

### **Article 4 Election**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 2, Formation--Article 4, Election; added by**



**Stats 1953 ch 151 §1.]**

**§ 22226. Resolution; Contents**

If after the hearing the board of supervisors of each affected county determines that the district should be formed, each board, by resolution entered on its minutes, shall:

- (a) Define and describe the boundaries of the district or otherwise designate its territorial extent.
- (b) State the name of the district, which shall contain the words " \_\_\_\_\_  
airport district."
- (c) Call an election in the county, or portion thereof within the district, for the purpose of determining whether the district shall be formed and to elect a board of five directors for the district if formed.
- (d) Fix the date of the election and the hours the polls will be open.
- (e) Establish election precincts and designate polling places for the election.
- (f) Appoint the election officers.

**Added Stats 1953 ch 151 §1.**

**§ 22227. Publication of resolution**

The resolution shall be published pursuant to Section 6066[Deering's] of the Government Code in each county and city in the district. The first publication shall be at least 30 days prior to the date of the election. The resolution may be published in more than one newspaper by order of the board of supervisors of the affected county.

**Added Stats 1953 ch 151 §1; Amended Stats 1957 ch 357 §148.**

**§ 22228. Election proposition; Form**

The proposition submitted at the election shall be "Shall the proposition to form  
\_\_\_\_\_ Airport District under the California Airport District Act be adopted?"

**Added Stats 1953 ch 151 §1.**

**§ 22229. Statutory provisions governing election**

Except as otherwise provided in this article, the election shall be called, noticed, and conducted, candidates nominated, the vote canvassed, and the results declared in the manner prescribed by law for general municipal elections in general law cities and by the general laws so far as applicable.

**Added Stats 1953 ch 151 §1; Amended Stats 1959 ch 603 §1, ch 643 §5.**

**§ 22229.1. Impartial analysis of proposed district; Approval by local agency formation commission**

Within five days after the district formation election has been called, the legislative body which has called the election shall transmit, by registered mail, a written notification of the election call to the executive officer of the local agency formation commission of the county or principal county in which the territory or major portion of the territory of the proposed district is located. Such written notice shall include the name and a description of the proposed district, and may be in the form of a certified copy of the resolution adopted by the legislative body calling the district formation election.

The executive officer, within five days after being notified that the district formation election has been called, shall submit to the commission, for its approval or modification, an impartial analysis of the proposed district formation.

The impartial analysis shall not exceed 500 words in length and shall include a specific description of the boundaries of the district proposed to be formed.

The local agency formation commission, within five days after the receipt of the executive officer's analysis, shall approve or modify the analysis and submit it to the officials in charge of conducting the district formation election.

**Added Stats 1970 ch 736 §94.**

**§ 22229.2. Submission of written arguments for or against district formation**

The board of supervisors or any member or members of the board authorized by the board, or any individual voters or bona fide association of citizens entitled to vote on the district formation proposition, or any combination of such voters and associations of citizens, may file a written argument for or a written argument against the proposed district formation.

Arguments shall not exceed 300 words in length and shall be filed with the officials in charge of conducting the election not less than 54 days prior to the district formation election.

**Added Stats 1970 ch 736 §95.**

**§ 22229.3. Selection of arguments for publication**

If more than one argument for or more than one argument against the proposed district formation is filed with the election officials within the time prescribed, such election officials shall select one of the arguments for printing and distribution to the voters.

In selecting the arguments, the election officials shall give preference and priority in the order named to the arguments of the following:

(a) The board of supervisors or any member or members of the board authorized by the board.

(b) Individual voters or bona fide associations of citizens or a combination of such voters and associations.

**Added Stats 1970 ch 736 §96.**

**§ 22229.4. Ballot pamphlet; Preparation; Distribution**

The officials in charge of conducting the election shall cause a ballot pamphlet concerning the district formation proposition to be voted on to be printed and mailed to each voter entitled to vote on the district formation question.

The ballot pamphlet shall contain the following in the order prescribed:

(a) The complete text of the proposition.

(b) The impartial analysis of the proposition prepared by the local agency formation commission.

(c) The argument for the proposed district formation.

(d) The argument against the proposed district formation.

The election officials shall mail a ballot pamphlet to each voter entitled to vote in the district formation election at least 10 days prior to the date of the election. The ballot pamphlet is "official matter" within the meaning of Section 13303[Deering's] of the Elections Code.

**Added Stats 1970 ch 736 §97.**

**Amended Stats 1994 ch 923 §188 (SB 1546).**

**§ 22230. Powers and duties at first election and thereafter**

At the first election the board of supervisors of each affected county and its clerk have the powers and duties vested in the legislative bodies of cities and their clerks by the general laws described in Section 22229[Deering's]. Thereafter the board of directors of the district and its secretary have these powers and duties.

**Added Stats 1953 ch 151 §1.**

**§ 22231. Canvass of returns**

The canvass of the returns of the election shall be made at the time, in the manner, and by the officers prescribed by law for special elections in each affected county.

**Added Stats 1953 ch 151 §1.**

**§ 22232. Declaration of result**

If the canvass is made by an officer other than the board of supervisors of the affected county, the officer shall transmit the results to the board of supervisors. The board of supervisors shall declare the result of the election.

**Added Stats 1953 ch 151 §1.**

**Article 5 Establishment of District**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 2, Formation--Article 5, Establishment of District; added by Stats 1953 ch 151 §1.]**

**§ 22256. Resolution of formation; Conditions**

By a resolution entered on its minutes, the board of supervisors of each affected county shall declare the district formed if:

- (a) A majority of the votes cast at the election is for the formation of the district.
- (b) A majority of the votes cast in a majority in number of the cities included in whole or in part in the district, counting all of the unincorporated territory in each affected county as a city for this purpose, is for the formation of the district.

**Added Stats 1953 ch 151 §1.**

**§ 22257. Contents of resolution**

The resolution shall contain the name of the district and a description or other designation of its boundaries.

**Added Stats 1953 ch 151 §1.**

**§ 22258. Recording and filing**

A certified copy of the resolution shall be recorded in the office of the recorder of each affected county .

**Added Stats 1953 ch 151 §1. Amended Stats 1973 ch 665 §11.**

**Amended Stats 1998 ch 829 §52 (SB 1652).**

**§ 22259. When formation complete**

Upon the filing with the Secretary of State, the formation of the district is complete.

**Added Stats 1953 ch 151 §1.**

**Chapter 3 Internal Organization**

**Article 1 Board of Directors**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 3, Internal Organization--Article 1, Board of**



**Directors; added by Stats 1953 ch 151 §1.]**

**§ 22401. Governing body; Number and residence of directors**

A board of five directors is the governing body of the district. Each director shall be a resident of the district.

**Added Stats 1953 ch 151 §1; Amended Stats 1979 ch 398 §1.**

**§ 22402. Election of directors**

Each district shall hold a general district election, governed by the provisions of the Uniform District Election Law for the election of directors on the first Tuesday after the first Monday in November of each odd-numbered year.

**Added Stats 1953 ch 151 §1; Amended Stats 1963 ch 760 §1; Stats 1967 ch 29 §45, operative January 1, 1969.**

**§ 22402.5. Section repealed**

**Added by Stats 1961 ch 1667 §1 and repealed by Stats 1967 ch 29 §45.1, operative January 1, 1969.**

**§ 22403. Official oath**

Within 30 days after notice of election or appointment each member of the board shall qualify by taking the official oath of office and filing it with the clerk of the principal county.

**Added Stats 1953 ch 151 §1.**

**§ 22404. Term of office**


The terms of office of directors elected at the formation election are governed by the provisions of the Uniform District Election Law.

**Added Stats 1953 ch 151 §1; Amended Stats 1963 ch 760 §2; Stats 1967 ch 29 §47, operative January 1, 1969.**

**§ 22405. Section repealed**

**Added by Stats 1953 ch 151 §1, amended by Stats 1963 ch 760 §3, and repealed by Stats 1967 ch 29 §47.1, operative January 1, 1969.**

**§ 22406. Filling vacancies; Term of office of appointee**

 The board shall fill any vacancies occurring in the office of director. The appointee shall hold office for

the balance of the term and until his successor is elected and qualified.

**Added Stats 1953 ch 151 §1.**

**§ 22406.5. Section repealed**

**Added by Stats 1963 ch 760 §4, amended by Stats 1967 ch 28 §7.5, effective April 6, 1967, and repealed by Stats 1976 ch 1437 §16. See Elec C §§27000[Deering's] et seq.**

**§ 22407. Compensation; Allowance of traveling and other expenses**

Each member of the board of directors shall receive compensation in an amount not to exceed one hundred dollars (\$100) for each attendance at the meeting of the board held within the district, which amount shall be fixed from time to time by the board. No director, however, shall receive pay for more than four meetings in any calendar month.

Each director shall be allowed, with the approval of the board, all traveling and other expenses necessarily incurred by the member in the performance of the member's duties.

**Added Stats 1953 ch 151 §1; Amended Stats 1963 ch 760 §5; Stats 1984 ch 175 §1; Stats 1985 ch 1180 §3.**

**§ 22408. First meeting**

The board shall hold its first meeting in the meeting room of the board of supervisors of the principal county at 10 a.m. on the first Monday after the formation of the district.

**Added Stats 1953 ch 151 §1.**

**§ 22409. Meetings; Special meetings; Rules**

At its first meeting the board shall provide for the time and place of holding its meetings and the manner in which special meetings may be called. The board may establish rules for its proceedings.

**Added Stats 1953 ch 151 §1.**

**§ 22410. Quorum**

A majority of the board constitutes a quorum for the transaction of business.

**Added Stats 1953 ch 151 §1.**

## Article 2 Officers and Employees

[Division 9, Aviation--Part 2, Airport Districts--Chapter 3, Internal Organization--Article 2, Officers and Employees; added by Stats 1953 ch 151 §1.]

### § 22436. President; Selection; Powers and duties

At its first meeting the board shall choose one of its members president. The president shall sign all contracts on behalf of the district and perform such other duties as may be imposed by the board.

Added Stats 1953 ch 151 §1.

### § 22437. Other officers; Appointment; Terms of office; Compensation

At its first meeting or as soon thereafter as practicable, by a majority vote the board shall appoint a general manager, a secretary, a district counsel, and an auditor. These officers shall serve at the pleasure of the board. The board shall fix their compensation.

Added Stats 1953 ch 151 §1.

### § 22438. Secretary; Powers and duties

The secretary shall countersign all contracts on behalf of the district and perform such other duties as may be imposed by the board.

Added Stats 1953 ch 151 §1.

### § 22439. General manager; Powers and functions

The general manager has the following powers and functions:

- (a) Full charge and control of the construction, maintenance, and operation of the physical properties of the district.
- (b) Except as otherwise provided in this article, full power to employ and discharge all employees and assistants at pleasure, prescribe their duties, and, subject to the approval of the board, to fix their compensation.
- (c) Such other duties as may be imposed by the board.

**Added Stats 1953 ch 151 §1.**

**§ 22440. Report of general manager**

The general manager shall report to the board in accordance with rules and regulations adopted by the board.

**Added Stats 1953 ch 151 §1.**

**§ 22441. Auditor; Powers and duties**

The auditor shall install and maintain a system of auditing and accounting which shall competently and at all times show the financial condition of the district. He shall draw warrants to pay demands made against the district if the demands have been approved by at least three directors.

**Added Stats 1953 ch 151 §1; Amended Stats 1963 ch 760 §6.**

**§ 22442. Depositories; Designation; Security; Powers**

The board shall designate depositories for the custody of the funds of the district. A depository shall give security sufficient to secure the district against possible loss and shall pay the warrants drawn by the auditor for demands against the district under such rules as the board may prescribe.

**Added Stats 1953 ch 151 §1.**

**§ 22443. Official bond**

The general manager, secretary, auditor, and all other employees or assistants of the district who may be required to do so by the board, shall give bonds to the district conditioned for the faithful performance of their duties as the board may prescribe.

**Added Stats 1953 ch 151 §1.**

**Chapter 4 Powers and Duties**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 4, Powers and Duties; added by Stats 1953 ch 151 §1.]**

**§ 22551. Exercise of powers by board**

Except as otherwise provided in this part, the powers of the district shall be exercised by the board.

**Added Stats 1953 ch 151 §1.**

**§ 22552. Perpetual succession**

A district has perpetual succession.

**Added Stats 1953 ch 151 §1.**

**§ 22553. Powers of district**

A district may do all of the following:

- (a) Sue and be sued, except as otherwise provided by law, in all actions and proceedings in all courts and tribunals of competent jurisdiction.
- (b) Adopt a seal and alter it at pleasure.
- (c) Provide and maintain public airports, spaceports, and landing places for aerial and space reentry traffic.
- (d) Acquire by purchase, condemnation, donation, lease, or otherwise, real or personal property necessary to the full or convenient exercise of any of its powers or purposes.
- (e) Improve, construct or reconstruct, lease, furnish or refurnish, use, repair, maintain, control, sell, or dispose of the property of the district, including any buildings, structures, lighting equipment, and all other equipment and facilities necessary for those purposes.

**Added Stats 1953 ch 151 §1.**

**Amended Stats 2000 ch 191 §3 (AB 2252).**

**§ 22553.2. Requirement of spaceport designation**

No district may exercise any of the authority granted under this part for the development of spaceports unless it has been designated as a spaceport pursuant to Section 15348.5[Deering's] of the Government Code.

**Added Stats 2000 ch 1056 §15 (SB 1136).**

**§ 22553.5. Sale or lease of district property**

- (a) The board of directors may, from time to time, cause to be sold or leased property of the district which in its opinion is not needed for the district's affairs.
- (b) Such sales, at the discretion of the board of directors, may be on time, provided at least 20 percent of the total consideration be paid in cash at the time of the transaction and the remainder thereto be paid within 10 years and evidenced by a promissory note payable to the order of the district bearing interest at the rate of at least 5 percent per annum secured by a first mortgage, first deed of trust, or other prior encumbrance upon the property being sold.

- (c) Property may be leased for any purpose and to any party whenever the board of directors finds that such lease does not interfere with use of such property for the purposes of the district or with the operations of the district. All rents and other consideration received by the district shall be paid into its general fund for the use of the district.

**Added Stats 1963 ch 760 §7; Amended Stats 1974 ch 449 §1.**

**§ 22554. Additional powers**

A district may also:

- (a) Employ legal counsel, in addition to its district counsel, and provide all necessary custodians, employees, engineers, and attendants for the proper maintenance of the property of the district and the conduct of the affairs of the district, for any of its purposes.
- (b) Borrow money, incur indebtedness, issue bonds or other evidence of the indebtedness, and refund or retire any indebtedness of the district.
- (c) Cause to be levied and collected, taxes for the purpose of maintaining and carrying on the operations of the district and paying its obligations.
- (d) Make contracts, employ labor, and do all acts necessary or convenient for the full exercise of any of the powers of the district.

**Added Stats 1953 ch 151 §1; Amended Stats 1963 ch 760 §8.**



**§ 22555. Rules and regulations governing airports**

The board shall make all rules governing the use of the airports and spaceports, landing places for aerial traffic, and other aerial facilities of the district that the board determines to be necessary.

Added Stats 1953 ch 151 §1.

Amended Stats 2000 ch 191 §4 (AB 2252).

**§ 22556. Fees, tolls, and rentals**

The board may charge and collect fees, tolls, and rentals for the use of all or a part of the aerial facilities of the district in such amounts and at such rates as, so far as possible, will produce revenues sufficient to pay the operating expenses of the district, provide for repairs and depreciation of the properties of the district, pay the interest on the bonded indebtedness of the district, and provide a sinking or other fund for the payment of the principal of the indebtedness as it becomes due.

Added Stats 1953 ch 151 §1.

**§ 22557. Issuance of temporary negotiable notes; Interest; Maturity; Maximum amount**

(a) The district may issue temporary negotiable notes bearing interest at a rate not exceeding 8 percent per annum. However, these notes shall be general obligations of the district payable from revenues and taxes, unless paid from other available funds of the district, in the same manner as bonds of the district. The maturity of the notes shall not be later than 20 years from the date thereof, and the total aggregate amount of the notes outstanding at any one time shall not exceed 2 percent of the assessed valuation of the taxable property in the district, or if the assessed valuation is not obtained, 2 percent of the county auditor's estimate of the assessed valuation of the taxable property of the district evidenced by his or her certificate. The total aggregate amount of these notes outstanding at any one time shall further not exceed the sum of five hundred thousand dollars (\$500,000).

(b) Any note proposed to be issued pursuant to subdivision (a) with a term longer than five years shall not be issued until after a public hearing is conducted with respect to the issuance and a resolution is adopted approving the issuance. At least 15 days prior to the public hearing, the board shall cause notice of the hearing to be published pursuant to Section 6061[Deering's] of the Government Code in a newspaper published in the principal county. The resolution shall be subject to referendum pursuant to Section 9340[Deering's] of the Elections Code and shall so provide. Within 15 days after adoption of the resolution of issuance, the board shall cause the resolution to be published at least once in a newspaper of general circulation published in the principal county, or if there is none, posted in at least three public places in the district.

**Added Stats 1963 ch 760 §5; Amended Stats 1979 ch 398 §2.**

**Amended Stats 1994 ch 923 §189 (SB 1546).**

**§ 22557.5. Issuance of temporary negotiable notes by Big Bear Airport District**

(a) Notwithstanding Section 22557[Deering's], the Big Bear Airport District may issue temporary negotiable notes bearing interest at a rate not exceeding the maximum rate permitted pursuant to Section 53531[Deering's] of the Government Code. These notes shall be general obligations of the district payable from revenues and taxes, unless paid from other available funds of the district, in the same manner as bonds of the district. The notes shall mature not later than 20 years from the date thereof, and the total aggregate amount of notes outstanding at any one time shall not exceed 2 percent of the assessed valuation of the taxable property in the district, or if the assessed valuation is not obtained, 2 percent of the county auditor's estimate of the assessed valuation of the taxable property of the district evidenced by the auditor's certificate. The total aggregate amount of notes outstanding at any one time shall further not exceed one million five hundred thousand dollars (\$1,500,000).

(b) Any note proposed to be issued pursuant to subdivision (a) with a term longer than five years shall not be issued until after a public hearing is conducted with respect to the issuance and a resolution is adopted approving the issuance. At least 15 days prior to the public hearing, the board shall cause notice of the hearing to be published pursuant to Section 6061[Deering's] of the Government Code in a newspaper published in the principal county. The resolution is subject to referendum pursuant to Section 9340[Deering's] of the Elections Code and shall so provide. Within 15 days after adoption of the resolution of issuance, the board shall cause the resolution to be published at least once in a newspaper of general circulation published in the principal county, or if there is none, posted in at least three public places in the district.

**Added Stats 1985 ch 78 §1, effective June 18, 1985.**

**Amended Stats 1994 ch 923 §190 (SB 1546).**

**§ 22558. Employment of airport police**

In addition to all other powers authorized by this part, the Santa Maria Public Airport District may do both of the following:

(a) Employ airport police officers in accordance with subdivision (d) of Section 830.33[Deering's] of the Penal Code.

(b) Pursuant to Chapter 4[Deering's] (commencing with Section 6300) of Division 7[Deering's] of

Title 1[Deering's] of the Government Code, apply for, establish, operate, and maintain a foreign trade zone and subzones thereto, and allow in the foreign trade zone and the subzones thereto any properties and businesses that are located either within or outside the geographic boundaries of the district and that are located within either the County of Santa Barbara or the County of San Luis Obispo.

**Added Stats 1973 ch 48 §2, effective May 15, 1973.**

**Amended Stats 1989 ch 1165 §46.**

**Amended Stats 1998 ch 396 §1 (SB 2099).**

**§ 22559. Resolution changing name of district**

The board may by resolution change the name of the district. Certified copies of such resolution shall be recorded in each county within which some portion of the territory of the district is situated and shall be transmitted to the Secretary of State and to the clerk of each such county.

**Added Stats 1979 ch 398 §3.**

**Chapter 4.5 Claims**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 4.5, Claims; Chapter added by Stats 1959 ch 1727 §52.]**

**§ 22601. Presentation of claim for money or damages against district**

All claims for money or damages against the district are governed by Part 3 (commencing with Section 900) and Part 4 (commencing with Section 940) of Division 3.6 of Title 1[Deering's] of the Government Code except as provided therein, or by other statutes or regulations expressly applicable thereto.

**Added Stats 1959 ch 1727 §52; Amended Stats 1963 ch 1715 §56.**

**Chapter 5 Bonds**

**Article 1 General**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 5, Bonds--Article 1, General; added by Stats 1953 ch 151 §1.]**

**§ 22701. "Board of supervisors"**

As used in this chapter, "board of supervisors" means the board of supervisors of the principal county.

**Added Stats 1953 ch 151 §1.**

**§ 22702. Issuance and sale of bonds; Purposes**

District bonds may be issued and sold pursuant to this chapter for all of the following purposes:

- (a) Raising money for purchasing real property for airport and spaceport purposes.
- (b) Building and purchasing buildings or structures including hangars, or making alterations, additions, or repairs to the buildings or structures.
- (c) Restoring or rebuilding buildings or structures damaged or destroyed by fire or other public calamity.
- (d) Supplying buildings, structures, and hangars with furnishings and necessary apparatus.
- (e) Improving the grounds of airports and spaceports.
- (f) Acquiring and maintaining lighting equipment and all other equipment, devices, and facilities necessary or convenient for the airports and spaceports.
- (g) Liquidating any indebtedness incurred for these purposes or refunding any valid outstanding indebtedness of the district evidenced by bonds or warrant.
- (h) Paying all costs and expenses incident to the bond election, including engineering, architectural, legal charges, fiscal agent's charges and interest during construction and for a period of not to exceed 12 months after the date of completion of construction.

**Added Stats 1953 ch 151 §1; Amended Stats 1957 ch 1377 §2.**

**Amended Stats 2000 ch 191 §5 (AB 2252).**

**§ 22703. Bond election; Authority to call; Addition**

If the board deems it advisable it may call an election and submit to the electors of the district the question whether district bonds shall be issued and sold. The board shall call a bond election upon the filing with the board of a petition signed by 10 percent of the registered voters of the district.

**Added Stats 1953 ch 151 §1.**

**§ 22704. Manner of bond election**

The board shall call and conduct the bond election in the manner prescribed by this chapter.

**Added Stats 1953 ch 151 §1.**

**§ 22705. Order calling election; Signing**

The order calling the bond election shall be signed by a majority of the directors.

**Added Stats 1953 ch 151 §1.**

**§ 22706. Contents of order**

In the order calling the bond election, the board may submit to the electors as one proposal the question of issuing bonds for all or any of the purposes described in this article, or it may submit as separate questions the issuance of bonds for any of these purposes, singly or in such combinations as it directs in the order.

**Added Stats 1953 ch 151 §1.**

**§ 22707. Bonds declared to be legal investments**

When bonds issued pursuant to this part have been investigated and certified by any authorized officer of the state and are declared to be legal investments for savings banks, they may be purchased or received in pledge for loans by savings banks, building and loan companies, trust companies, insurance companies, guardians, conservators, executors, administrators, and special administrators, or by any public officer of the state or of any county or other municipal or corporate body in the state having or holding funds which they may legally invest or loan.

**Added Stats 1953 ch 151 §1; Amended Stats 1979 ch 730 §108, operative January 1, 1981.**

**§ 22708. Signatures on bonds; Validity where officer ceases to be such before delivery**

If any officer whose signature, countersignature, or attestation appears on the bonds or coupons ceases

to be such officer before the delivery of the bonds to the purchaser, the signature, countersignature, or attestation is valid and sufficient for all purposes as if he had remained in office until the delivery of the bonds. The signature on the coupons of the person who is auditor at the date of the bonds is valid although the bonds may be attested by a different person who is auditor at the time of their delivery.

**Added Stats 1953 ch 151 §1.**

#### **Article 2 Bond Election**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 5, Bonds--Article 2, Bond Election; added by Stats 1953 ch 151 §1.]**

#### **§ 22731. Notice of election; Posting**

A notice of the bond election, signed by a majority of the directors, shall be posted in three public places in the district not less than 20 days before the election and shall be published in each affected county pursuant to Section 6063[Deering's] of the Government Code.

**Added Stats 1953 ch 151 §1; Amended Stats 1957 ch 557 §149.**

#### **§ 22732. Contents of notice**

The notice shall contain:

- (a) The time and place of holding the bond election.
- (b) The names of the election officers.
- (c) The hours the polls will be open.
- (d) A statement of the purpose for which the election is held.
- (e) The amount and denomination, the rate of interest, and the term, not exceeding 40 years, of the proposed bonds.

**Added Stats 1953 ch 151 §1.**

#### **§ 22733. Election precincts; Establishment; Change**



For the purpose of the bond election, the board may divide the district into election precincts and may change the precincts as often as occasion requires.

**Added Stats 1953 ch 151 §1.**

**§ 22734. Election officers; Appointment by board**

The board shall appoint one inspector, one judge, and two clerks of election in each precinct.

**Added Stats 1953 ch 151 §1.**

**§ 22735. Appointment of officers by electors**

If the board fails to appoint the election officers, or if those appointed are not present at the opening of the polls, the electors present may appoint them and they shall conduct the election.

**Added Stats 1953 ch 151 §1.**

**§ 22736. Compensation of election officers**

The board may fix the compensation of the election officers but not exceeding seven dollars (\$7) for each election officer.

**Added Stats 1953 ch 151 §1.**

**§ 22737. Hours when polls to be open**

The polls shall be open on election day from 8 a.m. until 8 p.m.

**Added Stats 1953 ch 151 §1.**

**§ 22738. Who may vote**

Every resident of the district, who is a qualified elector of the county, and who is registered in the precinct where the election is held at least 30 days before the election, may vote in the election.

**Added Stats 1953 ch 151 §1.**

**§ 22739. Ballots; Forms; Expense of printing and distributing**

The secretary shall obtain uniform ballots for the bond election. No other form of ballot shall be used. The expense of printing and distributing the ballots to the polling places shall be paid as other current expenses of the district are paid.

**Added Stats 1953 ch 151 §1.**

**§ 22740. Contents of ballots**

The ballot shall contain the following:

(a) "Official ballot provided by the board of directors of the '\_\_\_\_\_ airport district' to be used in the bond election of said district in the county of \_\_\_\_\_, State of California, on the \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_."

(b) Other matters required by law.

(c) "Bonds--Yes" and "Bonds--No."

**Added Stats 1953 ch 151 §1.**

**§ 22741. Booth or private room to be provided**

The board shall provide a booth or private room in which the voter may prepare his ballot in secret.

**Added Stats 1953 ch 151 §1.**

**§ 22742. Electioneering near polls prohibited**

No electioneering shall be carried on within 100 feet of the polls.

**Added Stats 1953 ch 151 §1.**

**§ 22743. Marking ballot**

Each voter shall put a cross[x] upon his ballot with pencil or ink after the words "Bonds--Yes" or "Bonds--No" to indicate whether he has voted for or against the issuance of the bonds.

**Added Stats 1953 ch 151 §1.**

**§ 22744. Depositing ballot; Entering voter's name on list**

After marking his ballot the voter shall hand it to the inspector. The inspector, in the presence of the voter, shall deposit the ballot in the ballot box. The judge or clerks shall enter the voter's name on the poll list.

**Added Stats 1953 ch 151 §1.**

**§ 22745. Elector's oath**

Any person offering to vote may be challenged by any elector of the district. In the case of a challenge the judge or clerks of the election shall administer to the person challenged an oath substantially as follows: "You do swear that you are a citizen of the United States, that you are 21 years of age, that you have resided in this State one year, in this county 90 days, and in this airport district 30 days preceding this election, and that your name is on the great register of this county and was on the great register of a precinct in this airport district at least 30 days before this election, and that you have not before voted this day." If the person challenged takes this oath his vote shall be received. Otherwise his vote shall be rejected.

**Added Stats 1953 ch 151 §1.**

**§ 22746. Official poll and tally lists**

The secretary shall provide the election officers with official poll and tally lists.

**Added Stats 1953 ch 151 §1.**

**§ 22747. Heading of poll list**

The heading of the poll list shall read "Official poll list of \_\_\_\_\_ airport district for the airport district bond election on the \_\_\_\_\_ day of \_\_\_\_\_ 19\_\_\_\_." Under this heading shall be arranged three columns. The heading of the first column shall read "Write your name as it appears on the great register of this county." The heading of the second column shall read "Write your residence, street and number, city, and airport district." The heading of the third column shall read "Are you a qualified registered voter in this airport district?" The person offering to vote shall write his name on the first column of the poll list, give his residence in the second, and in the third shall write the word "Yes" or "No." If he writes the word "No" he shall not be permitted to vote. Persons writing the word "Yes" may be challenged pursuant to this article.

**Added Stats 1953 ch 151 §1.**

**§ 22748. Heading of tally list**

The heading of the tally list shall read "An official tally list of \_\_\_\_\_ airport district for the airport district bond election held on the \_\_\_\_\_ day of \_\_\_\_\_ 19\_\_\_\_." It shall be arranged so that the propositions to be voted on at the election may be set forth. It shall be vertically ruled to provide for the counting of votes under a tally system. The heading of the final

column shall read "Total votes cast for the bonds" and "Total votes cast against the bonds." A space shall be provided at the bottom of the page for the signatures of the election officers. Over these signatures shall be printed the words "We hereby certify that this is a correct report of the election held in \_\_\_\_\_ airport district in the county of \_\_\_\_\_ on the \_\_\_\_\_ day of \_\_\_\_\_ 19\_\_\_\_."

**Added Stats 1953 ch 151 §1.**

**§ 22749. Canvass of ballots**

The election officers shall publicly canvass the votes immediately after closing the polls. They shall fill out the tally sheet and certify the correctness of the canvass. They shall make, sign, and deliver a certificate of the result of the election and transmit it to the clerk of the board of supervisors.

**Added Stats 1953 ch 151 §1.**

**§ 22750. Transmission of returns; Canvass of returns**

The election officers shall transmit the returns of the election to the board of directors. The board shall meet and canvass the returns on the seventh day after the election at 2 p.m.

**Added Stats 1953 ch 151 §1.**

**Article 3 Bond Issuance**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 5, Bonds--Article 3, Bond Issuance; added by Stats 1953 ch 151 §1.]**

**§ 22776. Approval of bond issuance at election; Certification of board proceedings**

If two-thirds of the votes cast at the election were for the issuance of bonds, the board shall enter that fact in its minutes. The board shall certify all of the board proceedings to the board of supervisors.

**Added Stats 1953 ch 151 §1.**

**§ 22777. Bond issuance by supervisors; Provision for payment of bonds**

The board of supervisors shall issue the district bonds in the number and amount specified in the bond proceedings. The board of supervisors shall provide that the bonds are payable out of the interest and sinking fund of the district, naming the fund, and that the money for redemption of the bonds and payment of the interest shall be raised by taxation upon the taxable property in the district.

**Added Stats 1953 ch 151 §1.**

**§ 22778. Form of bonds and coupons; Manner of execution; Time of payment of principal**

By an order entered in its minutes, the board of supervisors shall:

- (a) Prescribe the form of the bonds and of the interest coupons.
- (b) The manner in which the bonds shall be executed.
- (c) Fix the time when all or any part of the principal of the bonds is payable.

**Added Stats 1953 ch 151 §1.**

**§ 22779. Total amount of bonds**

The total amount of bonds issued shall not exceed 15 percent of the taxable property of the district as shown by the last equalized assessment books of the affected counties.

**Added Stats 1953 ch 151 §1.**

**§ 22780. Term of bonds**

The term of bonds shall not exceed 40 years.

**Added Stats 1953 ch 151 §1.**

**§ 22781. Payment in lawful money**

The bonds shall be payable in lawful money of the United States as to principal and interest.

**Added Stats 1953 ch 151 §1.**

**§ 22782. Place of payment**

The board of supervisors may make the principal and interest of the bonds payable at the office of the treasurer of the principal county, at such other place within the United States as the board may designate, or at the county treasurer's office or such other designated place at the option of the bondholders. The place of payment shall be specified in the bonds. The expense of paying the principal and interest other than at the office of the county is a charge against the district funds, to be paid out of the tax for the payment of the bonds.

**Added Stats 1953 ch 151 §1.**

**§ 22783. Sale of bonds; Time; Amount**

The bonds shall be sold at the times and in the amounts prescribed by the board of supervisors, but for not less than par.

**Added Stats 1953 ch 151 §1.**

**§ 22784. Advertisement for bids**

Before selling all or any part of the bonds, the board of supervisors shall advertise for bids pursuant to Section 6066[Deering's] of the Government Code in a newspaper of general circulation published in the principal county, or if no such newspaper is published in the county, in some newspaper published in another county.

**Added Stats 1953 ch 151 §1; Amended Stats 1957 ch 357 §150.**

**§ 22785. Award of purchase; Rejection of bids; Sale after rejection**

If satisfactory bids are received the bonds offered for sale shall be awarded to the highest bidder. If no bids are received or the board of supervisors determines that the bids received are not satisfactory as to price or responsibility of the bidders, the board of supervisors may reject all bids received and either re-advertise or sell the bonds at private sale.

**Added Stats 1953 ch 151 §1.**

**§ 22786. Disposition of proceeds**

The proceeds of the sale of the bonds shall be deposited in the treasury of the principal county to the credit of the improvement fund of the district, and may be withdrawn for the purposes for which the bonds were voted as other district money is withdrawn.

**Added Stats 1953 ch 151 §1.**

**Article 4 Cancellation of Unsold Bonds**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 5, Bonds--Article 4, Cancellation of Unsold Bonds; added by Stats 1953 ch 151 §1.]**

**§ 22811. Petition; Who may make**

If any bonds remain unsold for six months after having been offered for sale, the board of directors of the

district for which the bonds were issued or of a district containing any territory which at the time of the bond election was embraced within the district for which the bonds were issued, may petition the board of supervisors to cause the unsold bonds to be withdrawn from the market and canceled.

**Added Stats 1953 ch 151 §1.**

**§ 22812. Fixing time for hearing**

Upon receiving a petition signed by a majority of the members of the board of directors, the board of supervisors shall fix a time for hearing the petition. The hearing shall be held not more than 30 days after receipt of the petition.

**Added Stats 1953 ch 151 §1.**

**§ 22813. Publication of notice of time and place of hearing**

The board of supervisors shall publish a notice stating the time and place of the hearing and the object of the petition in general terms, pursuant to Section 6062[Deering's] of the Government Code in a newspaper published in the district or, if there is no such newspaper, in a newspaper published at the county seat of an affected county.

**Added Stats 1953 ch 151 §1; Amended Stats 1957 ch 357 §151.**

**§ 22814. Hearing; Order cancelling bonds; Effect of order**

At the time and place designated in the notice, or at any subsequent time to which the hearing is postponed, the board of supervisors shall hear any reason that may be submitted for or against the granting of the petition. If the board of supervisors deems it for the best interest of the district named in the petition that the unsold bonds be canceled, it shall make and enter an order in its minutes that the unsold bonds are canceled. Thereafter the bonds and the vote by which they were authorized to be issued have no validity whatever.

**Added Stats 1953 ch 151 §1.**

**Article 5 Revenue Bonds**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 5, Bonds--Article 5, Revenue Bonds; Article added by Stats 1963 ch 760 §10.]**

**§ 22850. Authority to issue as evidence of debt; Special obligations; Recitals on bonds**

In addition to any other powers of the district to finance improvements and to provide an independent method of financing from that contained in any other sections of the California Airport District Act, subject to the provisions of this article a district may borrow money to provide funds to pay all costs of any public improvement authorized by this part and may issue revenue bonds to evidence the indebtedness created

by such borrowing.

Such revenue bonds shall constitute special obligations and evidence a special indebtedness of the district which shall be a charge upon and payable as to the principal thereof, interest thereon, and any premiums upon the redemption of any thereof, solely from such revenues and funds as are specified therein and in the proceeding for their issuance. They shall not constitute general obligations of the district, and they shall neither constitute obligations nor evidence any indebtedness of any other public agency of which the district may be a part or of the State.

All such bonds shall recite upon their face the substance of the preceding portions of this section and shall also recite upon their face that they are issued under this article.

**Added Stats 1963 ch 760 §10.**

**§ 22851. Issuance under Revenue Bond Law of 1941**

Revenue bonds under this article shall be authorized, issued and sold under the provisions of the Revenue Bond Law of 1941 (Chapter 6 (commencing with Section 54300), Part 1, Division 2, Title 5, Government Code).

**Added Stats 1963 ch 760 §10.**

**Chapter 6 Taxation**

**[Division 9, Aviation--Part 2, Airport Districts--Chapter 6, Taxation; added by Stats 1953 ch 151 §1.]**

**§ 22901. "Board of supervisors"**

As used in this chapter, "board of supervisors" means the board of supervisors of the principal county.

**Added Stats 1953 ch 151 §1.**

**§ 22902. Estimate of money required for district purposes; Transmission to supervisors and county auditor**

If the revenues of the district are inadequate to pay the interest or principal of the bonded indebtedness of the district as it becomes due, or to pay any other expenses of or claims against the district, the board of directors shall transmit to the board of supervisors and the county auditor a written estimate of the minimum amount of money required for the payment of the principal and interest of the bonded indebtedness as it becomes due, and of the minimum amount of money required by the district for any other purpose.



**Added Stats 1953 ch 151 §1.**

**§ 22903. Transmission of money estimates**

The board shall transmit the estimates to the board of supervisors and the county auditor at least 15 days before the first day of the month in which the board of supervisors is required to levy taxes for county purposes.

**Added Stats 1953 ch 151 §1.**

**§ 22904. Annual tax levy; Name of tax**

Annually, after receiving the estimates, the board of supervisors shall levy a tax sufficient for the payment of the principal and interest on the bonded indebtedness, designated as the "... airport bond tax," and a tax sufficient for the payment of all other expenses of, and claims against, the district, designated as the "... airport district tax."

The bond tax shall be levied annually until the bonded indebtedness is fully paid. The district tax shall be levied annually until all other expenses of and claims against the district are fully paid.

**Added Stats 1953 ch 151 §1.**

**§ 22905. Bond tax; Amount**

The bond tax shall be sufficient to pay the interest on the bonds for the year and the portion of the principal becoming due during the year. The bond tax shall also be sufficient to raise annually for the first half of the term of the bonds a sum sufficient to pay the interest for that period, and, during the balance of the term, sufficient to pay the annual interest and to pay annually a proportion of the principal equal to the amount produced by dividing the total amount of outstanding bonds by the number of years the bonds then have to run.

**Added Stats 1953 ch 151 §1.**

**§ 22906. Disposition of proceeds; Payments; Bonds and coupons**

The proceeds of the bond tax shall be paid into the treasury of the principal county to the credit of the district interest and sinking fund and shall be used only for the payment of the principal and interest on the bonds. The treasurer of the principal county shall pay the principal and interest on the bonds upon the warrant of the auditor of the principal county out of this fund. The county auditor shall cancel and retain the bonds and coupons when he draws his warrants on the treasurer in favor of the owners.

**Added Stats 1953 ch 151 §1.**

**§ 22907. District tax; Rate**

The rate of the district tax levied in any one year shall not exceed twenty cents (\$0.20) on each one hundred dollars (\$100) of assessed valuation of the real and personal property in the district, exclusive of the bond tax.

**Added Stats 1953 ch 151 §1.**

**§ 22908. Lien of taxes**

The bond and district taxes shall be levied on all the taxable property in the district. They shall be levied by the board of supervisors and collected by the tax collector of the principal county at the time and in the manner and form as county taxes are levied and collected. The proceeds of the taxes shall be paid to the district. The taxes become delinquent at the same time as county taxes and bear the same penalties for delinquency. The taxes are a lien on all taxable property in the district, have the same force and effect as liens for county taxes, and their collection shall be enforced by the same means as liens for county taxes.

**Added Stats 1953 ch 151 §1.**

**§ 22909. Imposition of special tax**

A district may impose a special tax pursuant to Article 3.5 (commencing with Section 50075) of Chapter 1 of Part 1 of Division 1 of Title 5 of the Government Code. The special taxes shall be applied uniformly to all taxpayers or all real property within the district, except that unimproved property may be taxed at a lower rate than improved property.

**Added Stats 1991 ch 70 §11 (SB 158).**

**Chapter 7 Effect of Alterations of District Boundaries**

[Division 9, Aviation--Part 2, Airport Districts--Chapter 7, Effect of Alterations of District Boundaries; Chapter, consisting of §§22951-22954, was added by Stats 1953 ch 151 §1 and repealed by Stats 1965 ch 2043 §335.]

**§ 22951-22954. Sections repealed**

**Added by Stats 1953 ch 151 §1 and repealed by Stats 1965 ch 2043 §335.**

**Chapter 8 Dissolution**

[Division 9, Aviation--Part 2, Airport Districts--Chapter 8, Dissolution; Chapter, consisting of §§22975-22979, was added by Stats 1953 ch 151 §1 and repealed by Stats 1965 ch 2043 §336.]

**§ 22975-22979. Sections repealed**

**Added by Stats 1953 ch 151 §1 and repealed by Stats 1965 ch 2043 §336.**

# TRUCKEE TAHOE AIRPORT DISTRICT

## POLICY INSTRUCTION

### PI NUMBER 202

Formerly 130.0

Effective: May 24, 1994  
Revised: August 22, 1996  
Approved: August 25, 2011

**SUBJECT: CODE OF ETHICS**

**PURPOSE:** To reinforce the commitment of providing excellence in legislative leadership that results in the provision of the highest quality of services to the constituents and users.

### **POLICY:**

In order to assist in the government of the behavior between and among members of the Board of Directors, the following rules shall be observed:

1. The dignity, style, values and opinions of each Director shall be respected.
2. Responsiveness and attentive listening in communication is encouraged.
3. The needs of the District's constituents and aviation community should be the priority of the Board of Directors.
4. The primary responsibility of the Board of Directors is the formulation and evaluation of Policy. Routine matters concerning the procedures or operational aspects of the District are to be delegated to the professional staff members of the District.
5. Directors should conduct themselves in a professional manner, emphasizing the positive, avoiding double talk, hidden agendas, gossip, backbiting, and other negative forms of interaction.
6. Decisions should be based on objective criteria or data, not on subjective opinions or feelings. Directors should commit themselves to focusing on issues and not personalities. The presentation of the opinions of others should be encouraged. Cliques and voting blocks based on personalities rather than issues should be avoided.
7. Differing viewpoints are healthy in the decision-making process. Individuals have the right to disagree with ideas and opinions, but without being disagreeable. Once the Board of Directors takes action, Directors should commit to supporting said action and not create barriers to the implementation of said action.
8. Directors should practice the following procedures:
  - a. In seeking clarification on informational items, individual Directors may directly approach the General Manager to obtain information needed to supplement, upgrade,

- or enhance their knowledge to improve their legislative decision-making.
- b. In handling complaints from residents, property owners and users of the District, said complaints should be referred directly to the General Manager and should not be handled by the individual Director.
  - c. In handling items related to safety, concerns for safety or hazards, said items should be reported to the General Manager or to the District office. Emergency situations should be dealt with immediately by seeking appropriate assistance.
9. When approached by District personnel concerning specific district policy, Directors should direct such inquiries to the appropriate staff supervisor. The chain of command should be followed.
10. The work of the District is a team effort. All individuals should work together in the collaborative process, assisting each other in conducting the affairs of the District. Each individual Director should be cognizant of his individual role, and the extent of his responsibility/authority.
11. When responding to constituent and users requests and concerns, Directors should be courteous, responding to individuals in a positive manner and routing their questions through appropriate channels and to responsible management personnel. Later follow-up with management is desirable and should be encouraged.
12. Directors should develop a working relationship with the General Manager wherein current issues, concerns and District projects can be discussed comfortably and openly.
13. Directors should function as a part of the Whole.
14. Directors are responsible for establishing the goals and objectives of the District, and monitoring the progress in attaining the goals and objectives, while pursuing the mission.
15. The Board shall bi-annually, or sooner as required, review and critique themselves with respect to the Code of Ethics, California Airport Act, Brown Act, and any other regulations or laws that apply including those of FAA and all policies of the district."

**Louis M. Reinkens, President**

# **TRUCKEE TAHOE AIRPORT DISTRICT POLICY INSTRUCTION**

**PI Number 203**

Formerly 130.1

Effective: May 24, 1994

Approved: August 25, 2011

**SUBJECT: BOARD OF DIRECTORS – BASIS OF AUTHORITY**

**PURPOSE:** To define the authority of the Board of Directors

**POLICY:**

1. The Board of Directors is the unit of authority within the District. Apart from his/her normal function as a part of this unit, Directors have no individual authority. As individuals, Directors may not commit the District to any policy, act, or expenditure, without prior authority of approval of the Board.
2. Directors do not represent any fractional segment of the community, but are, rather, a part of the body which represents and act for the community as a whole.

**William C. Chilcott, President**

# TRUCKEE TAHOE AIRPORT DISTRICT POLICY INSTRUCTION

## PI NUMBER 204

Formerly 130.2

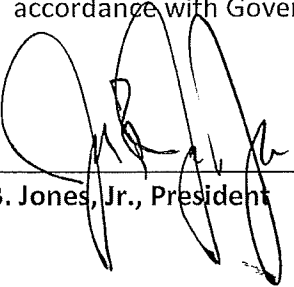
Effective: July 26, 1996  
Revised: December 5, 1996  
September 28, 2000  
September 28, 2006  
December 17, 2009  
Approved: August 25, 2011  
Revised: July 22, 2015

**SUBJECT:** CONFLICT OF INTEREST CODE

**PURPOSE:** To comply with the Political Reform Act

### **POLICY:**

1. The Truckee Tahoe Airport District Board of Directors has established a Conflict of Interest Code, as attached, to comply with the Political Reform Act. The Political Reform Act requires every local government agency to review its conflict of interest code biennially to determine if it is accurate and up-to-date or, alternatively, that the code must be amended. Once the determination has been made, a notice must be submitted to the code reviewing body no later than October 01 of even-numbered years.
2. The Truckee Tahoe Airport District Conflict of Interest Code, Policy Instruction 202, is hereby amended as set forth in Appendices attached hereto and incorporated herein by reference.
3. This amendment shall be effective when it has been approved by the code reviewing body in accordance with Government Code Section 87303.



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John B. Jones, Jr., President

## CONFLICT OF INTEREST CODE FOR THE TRUCKEE TAHOE AIRPORT DISTRICT

The Political Reform Act (Government Code Section 81000, et seq.) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission has adopted a regulation (2 Cal. Code of Regs. Section 18730) that contains the terms of a standard conflict of interest code, which may be incorporated by reference in an agency's code. After public notice and hearing, the standard code may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation, and the attached Appendices designating positions and establishing disclosure requirements, shall constitute the conflict of interest code of the **Truckee Tahoe Airport District (District)**.

Individuals holding designated positions shall file their statements with **District**, which will make the statements available for public inspection and reproduction. (Gov. Code Section 81008.) Statements for all designated positions shall be retained by the **District**.



CONFLICT OF INTEREST CODE FOR THE  
TRUCKEE TAHOE AIRPORT DISTRICT

Appendix A-Designated Positions

<u>Designated Positions</u>	<u>Disclosure Categories</u>
Director of Aviation & Community Services	1, 2
Director of Operations & Maintenance	1, 2
General Counsel	1, 2
District Engineer	1, 2
Consultants/New Positions*	

\*Consultants/new positions shall be included in the list of designated positions and shall disclose pursuant to the disclosure requirements in this code subject to the following limitation:

The President of the District's Board of Directors may determine in writing that a particular consultant or new position, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to comply fully with the disclosure requirements in this section. Such written determination shall include a description of the consultant's or new position's duties and, based upon that description, a statement of the extent of disclosure requirements. The President's determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code.

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The following positions are not covered by the code because the positions manage public investments. Individuals holding such positions must file under Government Code Section 87200 and are listed for informational purposes only.

- Members of the Board of Directors
- Alternate Members of the Board of Directors
- General Manager
- Controller
- Director, Finance and Administration
- Consultants (Those involved in the investment of public funds)

An individual holding one of the above listed positions may contact the Fair Political Practices Commission for assistance or written advice regarding their filing obligations if they believe their position has been categorized incorrectly. The Fair Political Practices Commission makes the final determination whether a position is covered by Section 87200

# CONFLICT OF INTEREST CODE FOR THE TRUCKEE TAHOE AIRPORT DISTRICT

## Appendix B-Disclosure Categories

### Category One

Interests in real property within 10 miles of the airport.

### Category Two

Investments and business positions in business entities, and income, including loans, gifts, and travel payments, from sources, that:

- a) engage in land development, construction, or the acquisition or sale of real property;
- b) are contractors or subcontractors engaged in the performance of work or the provision of services of the type utilized by the District, including, but not limited to:
  - runway design
  - security management
  - environmental impact reports;
- c) provide, manufacture, or sell supplies, materials, machinery, or equipment of the type utilized by the District, including, but not limited to:
  - snow removal equipment
  - specialty lighting for runways
  - specialty vehicles for fuel operations;
- d) rent hangar space, or are on the waiting list to rent hangar space, from the agency.

# **TRUCKEE TAHOE AIRPORT DISTRICT POLICY INSTRUCTION**

## **PI NUMBER 205**

Formerly 130.3

Effective: January 24, 1995

Approved: August 25, 2011

**SUBJECT: PROPOSED STATE AND FEDERAL LEGISLATION, TTAD POSITION**

**PURPOSE:** To establish a policy regarding TTAD position on "common" legislative issues, so that staff may respond to these issues in a timely manner.

### **POLICY:**

1. TTAD opposes legislation which shifts property tax revenue away from Special Districts.
2. TTAD opposes legislation which imposes any new fuel tax that does not specifically exclude aviation fuels, or which does not specifically state that taxes collected on aviation fuels goes to aviation purposes.
3. TTAD supports legislation which continues the Airport Improvement Program, funded from the Aviation Trust Fund.
4. TTAD opposes legislation which reduces the funding levels to general aviation or reliever airports.
5. TTAD opposes legislation which would divert funds from the Aviation Trust Fund for purposes other than aviation.
6. TTAD supports legislation which would enhance general aviation.
7. TTAD opposes legislation which would negatively impact general aviation.
8. TTAD opposes legislated mandates at the City, County, State and Federal level, which are not associated or accompanied with the funds to implement such mandates.

Copies of correspondence which are sent on behalf of TTAD shall be provided to members of the Board of Directors.

**William C. Chilcott, President Pro-Tem**

# **TRUCKEE TAHOE AIRPORT DISTRICT POLICY INSTRUCTION**

## **PI NUMBER 206**

Formerly 131.1

Effective:	May 24, 1994
Revised:	February 16, 2005
Approved:	August 25, 2011
Revised:	September 26, 2013

**SUBJECT: BOARD MEETING AGENDA AND AGENDA MANAGEMENT**

**PURPOSE:** To guide agenda setting and meeting flow

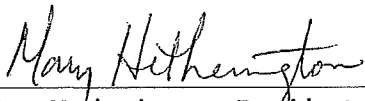
### **POLICY:**

The General Manager, in cooperation with the Board President, shall prepare an agenda for each regular and special meeting of the Board of Directors. The President shall control the flow of the meeting.

1. Director requests for agenda items:
  - a. Any Director may call the General Manager or President and request any item to be placed on the agenda, no later than 12:00 noon, ten (10) business days prior to the meeting date.
  - b. Any item requiring background research may be postponed at the discretion of the President or the General Manager.
2. Public requests for agenda items. Any member of the public may request that a matter directly related to District business be placed on the agenda of a regularly scheduled meeting of the Board of Directors, subject to the following conditions:
  - a. The request must be in writing and be submitted to the General Manager or the Board President, together with supporting documents and information, if any, at least ten (10) business days prior to the date of the meeting;
  - b. The President and General Manager shall determine whether the public request is or is not a "matter directly related to District business". Any item requiring background research may be postponed at the discretion of the President or the General Manager and any Board Member.
  - c. No matter which is legally a proper subject for consideration by the Board in closed session will be accepted under this policy;
  - d. The Board of Directors may place limitations on the total time to be devoted to a public request issue at any meeting, and may limit the time allowed for any one person to speak on the issue at the meeting;
  - e. The person requesting the Agenda Item shall immediately be notified of any postponement.

3. This policy does not prevent the Board from taking testimony at regular and special meetings of the Board on matters which are not on the agenda which a member of the public may wish to bring before the Board. However, the Board shall not discuss or take action on such matters at that meeting.
4. Posting of the agenda.
  - a. At least seventy-two (72) hours prior to the time of all regular meetings, an agenda, which includes, but is not limited to all matters on which there may be discussion and/or action by the Board, shall be posted conspicuously for public review within the District offices and on the world wide web at [www.truckeetahoeairport.com](http://www.truckeetahoeairport.com). Additionally, members of the public may, for a fee of \$12.00 per year register for having the agenda mailed, or register for free email.
  - b. The agenda for a special meeting shall be posted at least twenty-four (24) hours before the meeting in the same location.
5. Meeting Protocols.
  - a. Public Comment. Members of the public are invited to comment on any item relevant to District business that is not on the agenda for that meeting. Comments may be up to five (5) minutes.
  - b. Agenda item process.
    - i. The President may introduce the item with a short comment.
    - ii. The President may invite staff and/or the petitioner for the item to make any requested or necessary presentation.
    - iii. The Directors shall have the opportunity to question staff/petitioner and discuss the item.
    - iv. The public shall be invited to testify or comment on the item. Comments should be limited to five (5) minutes per member of the public unless otherwise adjusted by consensus of the Board.
    - v. Normally, the Directors will deliberate on the input and, when necessary, render a decision.
    - vi. Prior to entering closed session, the public will be invited to comment on closed session items with no more than five (5) minutes per speaker.
  - c. General rules.
    - i. Directors, staff, and the public are requested to perform appropriate research on agenda items to focus and streamline comments. Directors and the public are welcome to question staff on items before the meeting for mutual clarification.
    - ii. All meeting participants should make points concisely, avoiding repetition that does not add value. The President shall monitor speakers in this regard.
    - iii. Members of the public and staff shall not be permitted to enter into Board discussions and deliberations, unless by consensus of the Directors.

- iv. Sidebar conversations between members of the public and the Directors or staff are discouraged. All speakers shall be recognized by the President before speaking, consistent with the procedures outlined above.
- v. Derogatory racial, sexual, ethnic or similar slurs and inflammatory language that could lead to violence shall not be tolerated.

  
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Mary Hetherington, President

# TRUCKEE TAHOE AIRPORT DISTRICT

## POLICY INSTRUCTION

**PI NUMBER 207**

Formerly 131.2

Revised: July 25, 1995  
September 1, 1995  
August 25, 2011  
July 22, 2015

**SUBJECT: BOARD MEETING DATE, TIME AND LOCATION**

**PURPOSE:** To establish District policy regarding Board meeting date, time and location

**POLICY:**

1. Compliance With Brown Act In all instances, there shall be compliance with the provisions of the Ralph M. Brown Act (Government Code sections 54950 and following).
2. Regular meetings of the Truckee Tahoe Airport District Board of Directors shall be held on the fourth Wednesday of each calendar month at 4:30 p.m. in the District Conference Room A in the main terminal building, 10356 Truckee Airport Road, Truckee, California. The date of a particular month's meeting may be changed by a majority vote of the Board. The date, time and place of regular Board meeting shall be reconsidered annually at the discretion of the Board. It should be noted that the Board of Directors typically combine the Nov. and Dec. Regular Meeting. The Nov./Dec. Meeting date is typically formalized by the August Board Meeting of the same calendar year.
3. Special meetings (non-emergency) of the Board of Directors may be called by the Board President.
  - a. All Directors, the General Manager, District Counsel and administrative staff shall be notified of the special board meeting and the purpose or purposes for which it is called. Said notification shall be in writing and available to them at least twenty-four (24) hours prior to the meeting.
  - b. Newspapers of general circulation or other media in the District, and any organizations, businesses, or individuals who have requested notice of special meetings in accordance with the Ralph M. Brown Act shall be notified by a mailing unless the special meeting is called less than three (3) days in advance, in which case notice, including business to be transacted and the place of the meeting, will be given by telephone during business hours as soon after the meeting is scheduled as practical. Written notice of the business to be transacted and the time and place of the meeting shall also be received by each member of the Board, and newspapers of general circulation, radio or television stations that have requested notice at least 24 hours before the time of the meeting. Notice by members of the Board may be dispensed with as to any member in writing by filing such waiver with the Clerk or Secretary of the Board prior to the meeting or by appearing at the meeting at the commencement of the meeting. The Notice of the meeting shall also

be posted on the District's website and in a public place freely accessible to the public at least 24 hours prior to the meeting.

- c. An agenda shall be prepared as specified for Board meetings in Policy Instruction 131.1 and may serve as notice of the special meeting to those specified above.
  - d. Only those items of business listed in the agenda for the special meeting shall be considered by the Board at any special meeting.
4. Special Meetings (emergency). In the event of an emergency situation involving matters upon which prompt action is necessary due to the disruption or threatened disruption of public facilities, the Board of Directors may hold an emergency special meeting without complying with the twenty-four (24) hour notice required above. An emergency situation means a crippling disaster which severely impairs public health, safety or both, as determined by the General Manager, Board President, or Vice-President in the President's absence.
- a. Newspapers of general circulation or other media in the District and any organizations, businesses or individuals who have requested notice of special meetings in accordance with the Ralph M. Brown Act shall be notified at least one (1) hour prior to the emergency special meeting. In the event that telephone services are not functioning, the notice requirements of one hour is waved, but the General Manager, or his designee, shall notify such newspapers, or other media of the fact of the holding of the emergency special meeting, and of any action taken by the Board, as soon after the meeting as possible.
  - b. No closed session may be held during an emergency special meeting, and all other rules governing special meetings shall be observed with the exception of the twenty-four (24) hour notice. The minutes of the emergency special meeting, a list of persons the General Manager or designee notified or attempted to notify, a copy of the roll call vote(s), and any actions taken at such meeting shall be posted for a minimum of ten (10) days in the District office as soon after the meeting as possible.



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John Jones, President



# **TRUCKEE TAHOE AIRPORT DISTRICT**

## **POLICY INSTRUCTION**

### **PI NUMBER 208**

Formerly 131.3

Effective: May 24, 1994  
Rescinded: April 22, 1999  
Reinstated: January 27, 2005  
Approved: August 25, 2011

**SUBJECT: RECORDING, RETENTION, AND DISSEMINATION OF AUDIO AND VIDEO MEETING RECORDS**

**PURPOSE:** To establish a policy on how Board of Director meetings will be recorded, establish time period for the retention of recordings and dissemination of copies

**POLICY:**

1. The TTAD Board of Directors' open and public, regular and special meetings may be recorded by the District for the purpose of accurately summarizing the actions of the Board for the permanent record (minutes).
2. These recordings of an open and public meeting shall be subject to inspection pursuant to the California Public Records Act, and shall be provided without charge, on a device made available by the District. The District will provide, "at cost", a copy of the recording when properly requested in writing. The District shall make reasonable efforts to disseminate recordings via digital media.
3. The District's recordings may be erased or destroyed, once the minutes are approved by the Board but in no event prior to the expiration of three hundred sixty five (365) days after the recording. In the event that a copy of a recording is provided to anyone as a public record, the District shall retain the original of the recording so provided, as well as each original from the meeting from which the copied tape was made, for as long as the District deems necessary.
4. Any person attending an open and public meeting shall have the right to record the proceedings with an audio or video recorder, or a still or motion picture camera, in the absence of a reasonable finding by the Board of Directors that the recording cannot continue due to noise, illumination, or obstruction of view that constitutes, or would constitute, a persistent disruption of the proceedings.

**Michael Golden, President**

# TRUCKEE TAHOE AIRPORT DISTRICT POLICY INSTRUCTION

**PI NUMBER 209**

(Replaces PI 113)  
Formerly 132.1

Revised: February 22, 1994  
November 18, 2004  
August 25, 2011  
October 26, 2016  
Approved: January 27, 2016

**SUBJECT:** ASSIGNMENT OF BOARD PRESIDENT AND VICE-PRESIDENT

**PURPOSE:** To establish a procedure for the annual assignment of the Truckee Tahoe Airport District Board President and Vice-President

**POLICY:** The Board shall select the President and Vice-President for the upcoming calendar year as the last item of business at the November/December Regular Board Meeting. Those positions shall be available to any Board Member that will be serving the following calendar year. In the event there may be new Board Members the following calendar year, the Board may, at their discretion, defer the selection to the first item of business at the first meeting after any new Board Members have assumed their office. In the event that selection is deferred, the current Board shall appoint a President and Vice-President *pro tem* to serve pending the selection of those officers for the following calendar year.

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Lisa Wallace, Board President

# TRUCKEE TAHOE AIRPORT DISTRICT

## POLICY INSTRUCTION

### PI NUMBER 210

Formerly 132.2

Effective: February 22, 1994

Revised: May 16, 2002

June 22, 2006

August 25, 2011

January 22, 2014

**SUBJECT:** Board of Directors Remuneration and Expenditure Reimbursement

**PURPOSE:** The purpose of this policy is to prescribe the manner in which District directors may be reimbursed for expenditures related to District business, and how Directors may be compensated for their service. The District shall adhere to government Code Sections 53232 through 53232.4 when dealing with issues of Director remuneration and reimbursement. This policy applies to all Board members, and its provisions regarding expense reimbursement are intended to result in no personal gain or loss.

### IMPLEMENTATION:

Whenever a member of the Board of Directors of the District desires to be reimbursed for out-of-pocket expenses related to District business, they shall submit their request to the Director of Finance and Administration on a reimbursement form approved by the General Manager. Included on the reimbursement form will be an explanation of the District related purpose for the expenditure(s), and receipts evidencing each expense shall be attached. The Director of Finance and Administration or the General Manager will review and approve reimbursement requests.

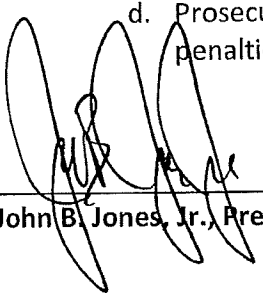
### POLICY: Director Compensation

1. Each member of the Board of Directors shall receive compensation in the amount of one hundred dollars (\$100.00) for each attendance at a Regular or Special Meeting of the Board held within the District. In the event a meeting is recessed overnight and continued into a second day, each of the members of the Board of Directors shall receive compensation as if in attendance at two meetings.
2. No member of the Board of Directors shall receive payment for more than four (4) meeting attendances (maximum of \$400) in any one calendar month, as governed by the Airport Act.

### Director Reimbursement

3. In addition to meetings of the Board of Directors, Board members may consider attendance at the following occurrences to be official duties, and may be reimbursed for actual and necessary expenses incurred as detailed in item 4.
  - a. A meeting of an advisory body; or

- d. If the Director is not able to utilize the travel or lodging rates offered by the provider due to a lack of availability, the Director's lodging costs shall not exceed the maximum group rate published by the conference or activity sponsor. If the published group rate is unavailable, Directors shall be reimbursed for comparable lodging at government rates, not to exceed the rates established by the IRS in Publication 463 or any successor publications.
- 5. The District shall provide expense reimbursement forms to Directors who incur reimbursable expenses on behalf of the District to document that their expenses adhere to this policy.
  - a. Receipts are required to be submitted in conjunction with all items listed on the expense report form. Expenses without receipts will not be reimbursed.
  - b. Expense reports shall be submitted within a reasonable time, but not more than thirty days after incurring the expense.
- 6. Directors attending functions listed above, or other prior approved events, shall submit reports to the Board of Directors on the meeting(s) as detailed in Policy Instruction 211.
- 7. It is against the law to falsify expense reports. Penalties for misuse of public resources or violating this policy may include, but are not limited to, the following:
  - a. The loss of reimbursement privileges;
  - b. Restitution to the District;
  - c. Civil penalties for misuse of public resources pursuant to Government Code Section 8314; and
  - d. Prosecution for misuse of public resources, pursuant to Section 424 of the Penal Code, penalties for which include two, three or four years in prison.



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John B. Jones, Jr., President

A. enroll in comparable medical insurance thru Calpers and have the District contribute the same percentage of premiums the District pays for full time employees of the district (currently 93%), or

B. obtain their own health insurance coverage and be reimbursed in an amount not to exceed the amount of the premiums the district pays for the full time employees of the District, which is currently 93% of those premiums. In order to receive reimbursement, proof of coverage and premiums shall be supplied to the District.

2. If the District's participation rate in monthly premiums changes from the current 93%, the new rate will also be applied in determining the maximum amount payable for each director.
3. The board members acknowledge that there may be differences in the amount of premiums paid on behalf of each director, but that these differences do not constitute unequal compensation for purposes of attending board meetings and conducting board business.
4. If premiums are determined to be taxable compensation to the directors, the appropriate tax disclosures will be made at the end of each calendar year.

John Jones  
President, Board of Directors



Truckee Tahoe Airport. Connected.

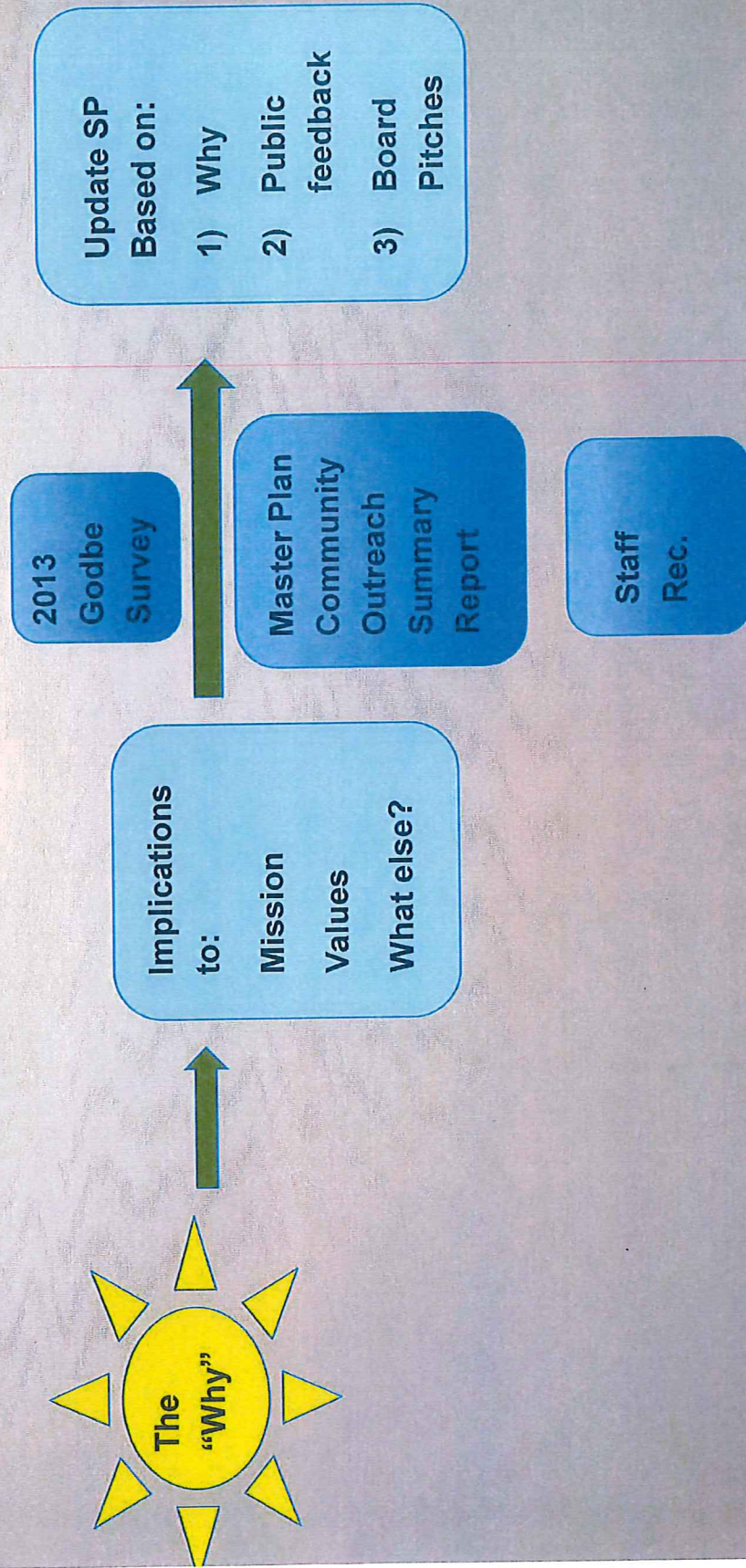


# **Draft Strategic Plan**

Truckee Tahoe Airport District  
Updated: 1.26.14



# 2014 Retreat Strategic Plan Update Process





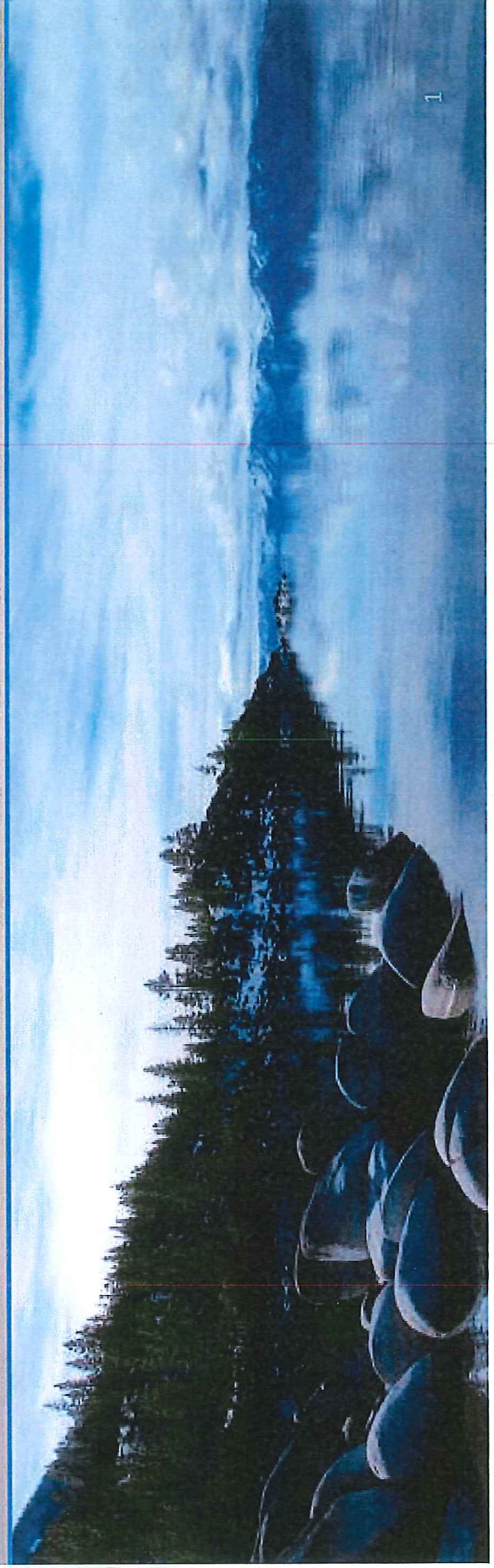
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## **Mission Statement**

The Truckee Tahoe Airport is a community airport that provides high-quality aviation facilities and services to meet local needs. We strive for low impact on our neighbors while enhancing the benefit to the community-at-large.





The Truckee Tahoe Airport District will achieve its mission by being  
***“CONNECTED WITH OUR STAKEHOLDERS BY MORE THAN A RUNWAY.”***

## **Core Values**

**C**ommunity-oriented in our focus; always striving to be a good neighbor

**O**utreach to aviators and community to understand and balance needs and priorities

**N**ew ways of evaluating opportunities and challenges by creating innovative solutions

**N**urture and guide employee growth and well being

**E**nvironmental stewardship to minimize negative impacts

**C**onscious of safety and security in our operations

**T**ransparent environment based on integrity, trust and respect

**E**xcellence in service with fair, responsive and courteous treatment of all

**D**istrict financial responsibility to utilize public funds fairly and equitably, maintain affordability for local pilots, scrutinize costs, and evaluate rates and charges



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## Strategy Area 1: Site and Facilities





## 1.1

# District Facilities and Infrastructure Investment

### Strategic Directive:

Maintain and improve (where appropriate) facilities and infrastructure in a cost effective manner to address future needs as well as potential threats, challenges and opportunities. Ensure sustainable delivery of reliable, high-quality service now and in the future.

### Objective 1

Annually evaluate the condition of major facilities, considering the usage each facility receives. Carefully consider safety and what improvements can be made to support District's Mission.

### Objective 2

Seek and utilize State and Federal funding to facilitate appropriate airport improvements. Improvements will be based on capital project programming and District needs rather than solely on FAA or other public funding availability.

### Objective 3

Constituent airport users and community members shall create the demand for new facility and airfield improvements within the capacities and mission of the District.





## 1.1

# District Facilities and Infrastructure Investment (Continued)

### Objective 4

Develop standardized capital facility plans (CFP) for facilities using a common format. Coordinate CFP and capital projects to optimize investments and staff resources. Staff will routinely inspect and evaluate facilities to support capital and maintenance planning.

### Objective 5

The District will consider and anticipate community and stakeholder concerns, workforce and technology trends, and current trends in general aviation as part of the planning and improvement programming process.

### Objective 6

The District will utilize and deploy the latest technology in GIS and infrastructure mapping and tracking where financially feasible. These tools will be used to plan and track District asset and property.





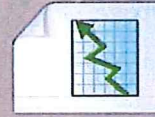
## 1.1

# District Facilities and Infrastructure Investment (Continued)

### Objective 7

Meet operational needs and reliability goals by implementing effective maintenance practices. This will be accomplished by:

1. Defining and documenting operational needs and reliability goals for each major facility and function of the Airport District.
2. Expanding and refining the use of cost-effective quality control and testing methods to determine the need for maintenance or replacement.
3. Implementing preventive, predictive, and corrective maintenance programs that are efficient and are based on sound engineering principles and meet industry standards.
4. Ensuring maintenance management information is timely, accurate, and accessible.





## 1.1

# District Facilities and Infrastructure Investment (Continued)

### Objective 8

Implement Capital Facility Plans and set priorities in the operating, staffing, and capital budget process to reflect the needs identified in those plans. Reflect a balance of costs and risks in the operating, maintenance, and capital budgets that account for short term needs as well as long-term cost sustainability. Complete capital projects on schedule and within budget, complying with grant assurances where applicable.





## 1.2

# Pavement Management

### Strategic Directive:

Pavement is the District's most significant capital investment. Armed with current and reliable information on pavement condition and operational needs, the District will update and implement a Pavement Management Program driven by:

- Conducting sufficient maintenance to avoid the need for premature reconstruction or rehabilitation.
- Using FAA funds, as much as possible, to stay on capital improvement program timing.
- Backing off maintenance timing for areas likely to be reconstructed soon.
- Spending based on need rather than FAA funding availability.

### Objective 1

Keep all pavement in appropriate condition for the specific use of each pavement section. This will be accomplished by minimizing the long term cost of rehabilitation and reconstruction through pavement maintenance. The District will strive to enhance safety without risk of damage to aircraft; meeting FAA standards and recommendations to the extent that is practical.

### Objective 2

The District will work hard to stay on the schedule provided in the plan. However, consideration will be given to recommendations from the District Engineer, FAA Standards, and best practices in establishing pavement programming for any given year.

### Objective 3

Periodically review and update the Pavement Management Program, including projections of longer term lifecycle costs and prioritization schedule of pavement. While updates will be completed each year, complete and comprehensive revisions and update should be completed every 5 years.

### Objective 4

Fund a minimum yearly budget allocation for pavement maintenance, independent of AIP funding



## 1.3

# Safe Operations

### Strategic Directive:

Promote education and safe aircraft operations for all users of the Truckee Tahoe Airport. This will be considered a serious responsibility, especially because of unique mountain flying conditions and the high frequency of operations by transient aircraft whose pilots may be less familiar with Sierra terrain, wildlife, aircraft fleet mix, density altitude, and weather issues.

### Objective 1

Education and technology shall be areas of dual focus. The District is open to exploring and considering the latest technology from the FAA and aircraft instrumentation vendors to broaden the set of technologies which can assist pilots with safe takeoffs and landings at the airport. We will educate pilots on these technologies, as well as local flying conditions.

### Objective 2

While safety improvements are encouraged and welcomed, the District will be sensitive to the effects of new aviation enhancement technologies and their impact on the community. The District will carefully consider potential positive and negative effects these new technologies have on communities and neighborhoods surrounding the airport before enhancements and new technologies are deployed.

### Objective 3

Promote education and safety through continued outreach and website improvements, specifically for pilots making their first trip to Truckee. Provide quarterly airport safety education series for local pilots and TRK users, and extend our education to pilots at the primary "feeder" airports (Airport Mountain Flying Road Show).

Dens Alt: N/A

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## Site & Facilities: Key points from 2013 Godbe Survey

- Community support for managed growth
- Large, multi-use hangar to be used for deicing and community events.
- Investment in facilities for emergency services



## Site & Facilities: Key points from Master Plan Public Outreach Process

### What people like about TTAD:

- Open space programs (around airport, other acquisitions)
- Terminal/Facility (playground, new building, Red Truck)
- Operations, Access, Size, and Location

### Priorities:

- Improve airport facilities
- Build more Hangars (deicing, executive, box, multi-use)
- Enhance support for community and education (shared use hangar, on-site facilities, land leasing, aviation education programs/flying club for youth and adults)
- Expand/enhance restaurant with longer hours, more options
- Enhance runways
- Improve emergency services
- Lease land for private development opportunities



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## Strategy Area 2: Standards of Service





## 2.1

### Service Standards, Staffing and Service Delivery

#### Strategic Directive:

Provide high-quality aviation services while balancing community needs, sound business practices, safety, and fiscal responsibility. We will endeavor to make services available, dependable, useful, responsive, flexible, and sustainable.



#### Objective 1

Review and consider the scope of services provided to pilots, tenants and passengers annually, in conjunction with the budget process. The District will consider services offered, by whom, hours of operation, services to be added or deleted, implications for staffing and community impact.

#### Objective 2

Establish standards for service delivery that balance cost effectiveness and responsiveness. Benchmark with other airports to research and implement service delivery "best practices."

#### Objective 3

Encourage and support cross-training of employees as a cost saving measure and consider multifaceted functions of all District positions in hiring. Acknowledge employee performance efficiencies and encourage staff-instituted cost saving measures.



## 2.2

### Pilot, Tenant, and Passenger Services

#### Strategic Directive:

The District will partner with airport users to provide a safe and efficient community airport that balances user and community needs. The District will focus on keeping flying affordable while considering the public funding of the airport.

#### Objective 1

District management and employees will provide realistic expectations regarding service levels and response times to customers and the community. District employees will strive for the highest level of customer service within the “focus boundaries” and mission of the Airport District.

#### Objective 2

The District will periodically review services provided at similar airports. This information will be used for comparison purposes and to gain a better understanding of aviation market conditions and customer expectations.

#### Objective 3

The District recognizes the need to engage users and solicit feedback. User assessments and review will be considered essential to design and deliver effective and efficient services.



## 2.3

### Partner Services - Specialized Aviation Service Organizations (SASOs)

#### Strategic Directive:

Partner with aviation service providers to provide balanced and necessary products and services to airport users. District will provide opportunities for SASOs to provide appropriate and necessary aviation services not provided by the Airport District.

#### Objective 1

Board of Directors, staff, and airport users will work together to define appropriate and necessary aviation services.

#### Objective 2

Establish and maintain *Minimum Standards* to provide guidance to SASO operators on appropriate service levels and expectations. Work with SASOs to establish standards for providing maintenance, pilot services, training, and other coverage necessary to operate a safe and efficient airfield through contractual agreements.



## Standards of Service: Key points from 2013 Godbe Survey

- Expand non-aviation services
- Emergency services very important
- Large, multi use hangar with deicing



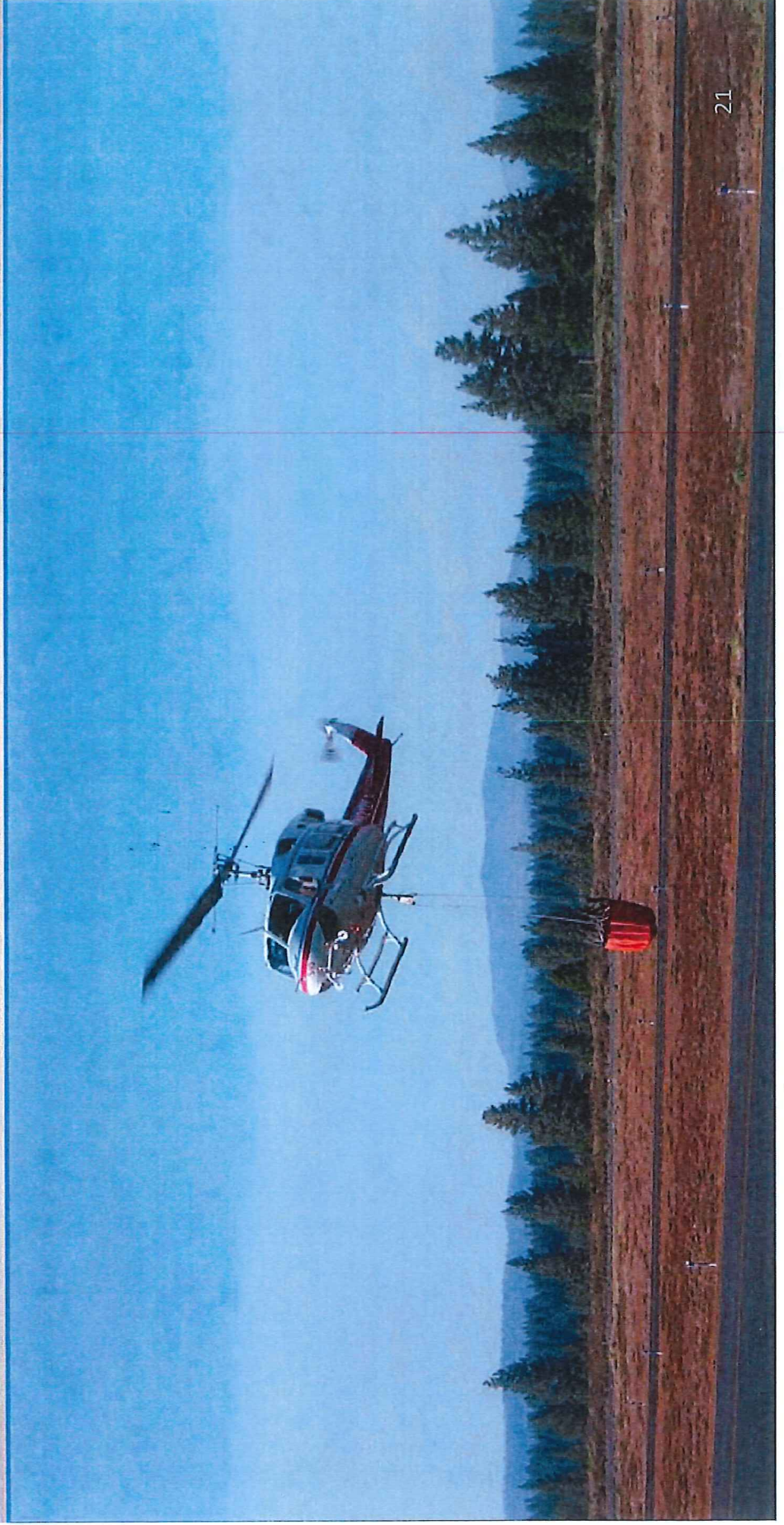
## Standards of Service: Key points from Master Plan Public Outreach Process

- Restaurant (longer hours, weekends, more options)
- Hangars (new, improve current, de-icing, shared use)
- Runways (expand, improve, shift)
- Provide for non-profit/community based entities (transportation hub, museum, library, farming)
- Improved on ground radio coverage with Oakland Center
- Visual vertical guidance on runway 29
- Enhanced UNICOM and traffic advisory services
- Mountain ridge weather reporting station
- Investing in a high level repeater for AWOS



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## Strategy Area 3: Community Benefits





## 3.1

# Open Space Preservation

### Strategic Directive:

Enhance the Airport District's benefit to community residents and taxpayers by participating in opportunities to acquire and maintain open space lands which have some nexus with the airport, as they become available and as funding allows.

### Objective 1

If not required for maintenance of District assets, a portion of tax revenue will be budgeted each year for possible open space acquisition participation. Budgeted but unused open space funds will be accrued.

### Objective 2

The District will select open space lands which have a direct benefit:

- To airport operations safety,
- By preventing or reducing noise and annoyance from aircraft using the airport for those living in proximity to our approach and departure flight paths.

While other community benefits may exist from potential open space opportunities, those listed above will be our primary decision criteria.

### Objective 3

The District will budget annually for land maintenance commitments for property owned by the District and use best management practices to preserve and maintain open space assets. Typically the District does not participate in management or maintenance costs for property not directly owned by the District.



## 3.2

# Forest Management

### Strategic Directive:

District owned forest lands will be managed with a goal of establishing a variety of age-classes and replicating a more natural variety of stand densities. Restoration and enhancement are the primary tools to mitigate the impact of past activity. The District will work toward restoration of the forest ecosystem to a level of health, and stand density so that prescribed burning and other less-intrusive forest management tools will preclude the need to use heavy equipment for future maintenance, to the extent that it is financially feasible.

### Objective 1

For District-owned forest lands, the primary objective is to improve forest health and reduce the risk of catastrophic fires while preserving and/or enhancing wildlife habitat, protecting cultural resources and maintaining water quality. The District forest management plans and practices will honor the terms of any conservation easements agreed to, and will be in compliance with relevant governmental regulations (primarily California Forest Practices Act / Cal-Fire, Lahontan Regional Water Quality Control Board and the governing Air Quality Management District).

### Objective 2

Use forest resources whenever possible to mitigate costs through competitive utilization on the open market when it supports the mission of good stewardship.

### Objective 3

The District's Forest Management strategy will be to identify areas which require special treatment to mitigate previous water quality impacts, and areas which are sensitive archeological sites.



## 3.3

# Annoyance Mitigation

## Strategic Directive:

Work proactively to minimize annoyance from aircraft and airport operations including considering non-traditional solutions and the latest technology in aircraft annoyance mitigation. We will also mitigate annoyance through property acquisition and conservation easements. Safety will be a primary goal in consideration of any mitigation efforts.

## Objective 1

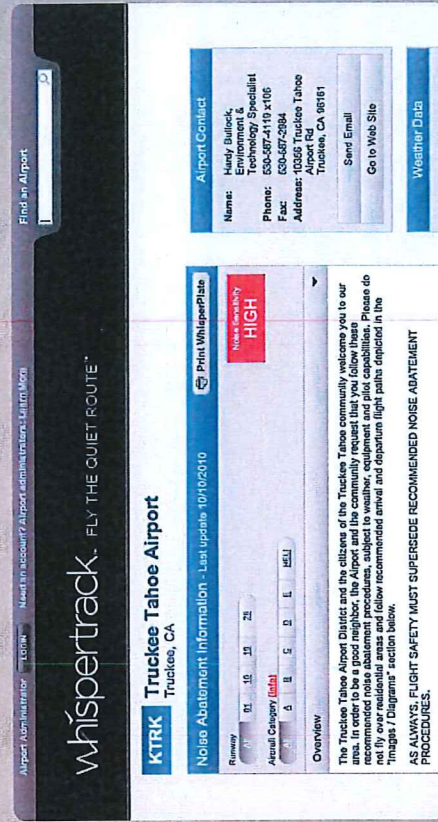
Work closely with the airport users, pilot community, and the residents of the District to improve on Fly Quiet program. Use specified programs and non-traditional approaches to encourage observance of annoyance mitigation programs.

## Objective 2

The District will research and implement, where feasible and practical, the latest technology in aircraft noise and annoyance mitigation.

## Objective 3

The District will work with pilots and community to implement effective and useful education and safety programs.





## 3.4

# Community Enhancement

### Strategic Directive:

Through partnerships with community organizations and airport user groups, the District will enhance the community by providing unique and appropriate benefits and value to constituents.



#### Objective 1

The District will sponsor and/or participate in community and neighborhood outreach activities. When possible the District will partner with other local agencies on events and/or outreach efforts.

#### Objective 2

New and innovative methods will be identified to attract community members to the Airport that may not previously had aviation experiences or interaction with the Airport District.

#### Objective 3

Property acquisitions will consider community enhancement benefits and value to District constituents as opportunities are reviewed.

#### Objective 4

District wide benefits and community enhancements will be identified and pursued. The District will look for opportunities to provide aviation resources, sponsorships, and community enhancement to all areas of the District, not just areas in close proximity to the airport.

#### Objective 5

The District will conduct periodic professional surveys (typically every 3 years) in an effort to understand and comprehend desires of airport users and District constituents and to measure District performance in relation to Mission and Core Values.



## 3.5

# Flight Tracking

### Strategic Directive:

Utilize the Flight Tracking system to communicate with District residents, visitors and airport users about real time and historical flight path data. The District will strive for a shared operational view of the airport to foster cooperation and understanding.



### Objective 1

Provide online interface for pilots and community members to review and understand aviation operations over the District.

### Objective 2

Develop policies, as needed, related to the appropriate level of reporting, response, retention and release of flight tracking data.

### Objective 3

Use the flight tracking system to utilize and collect real time flight operations data to assist with education, outreach, safety, and decision analysis where practical.



## Community Benefits: Key points from 2013 Godbe Survey

- Open Space
- Emergency Services
- Regulating noise/low-flying aircraft



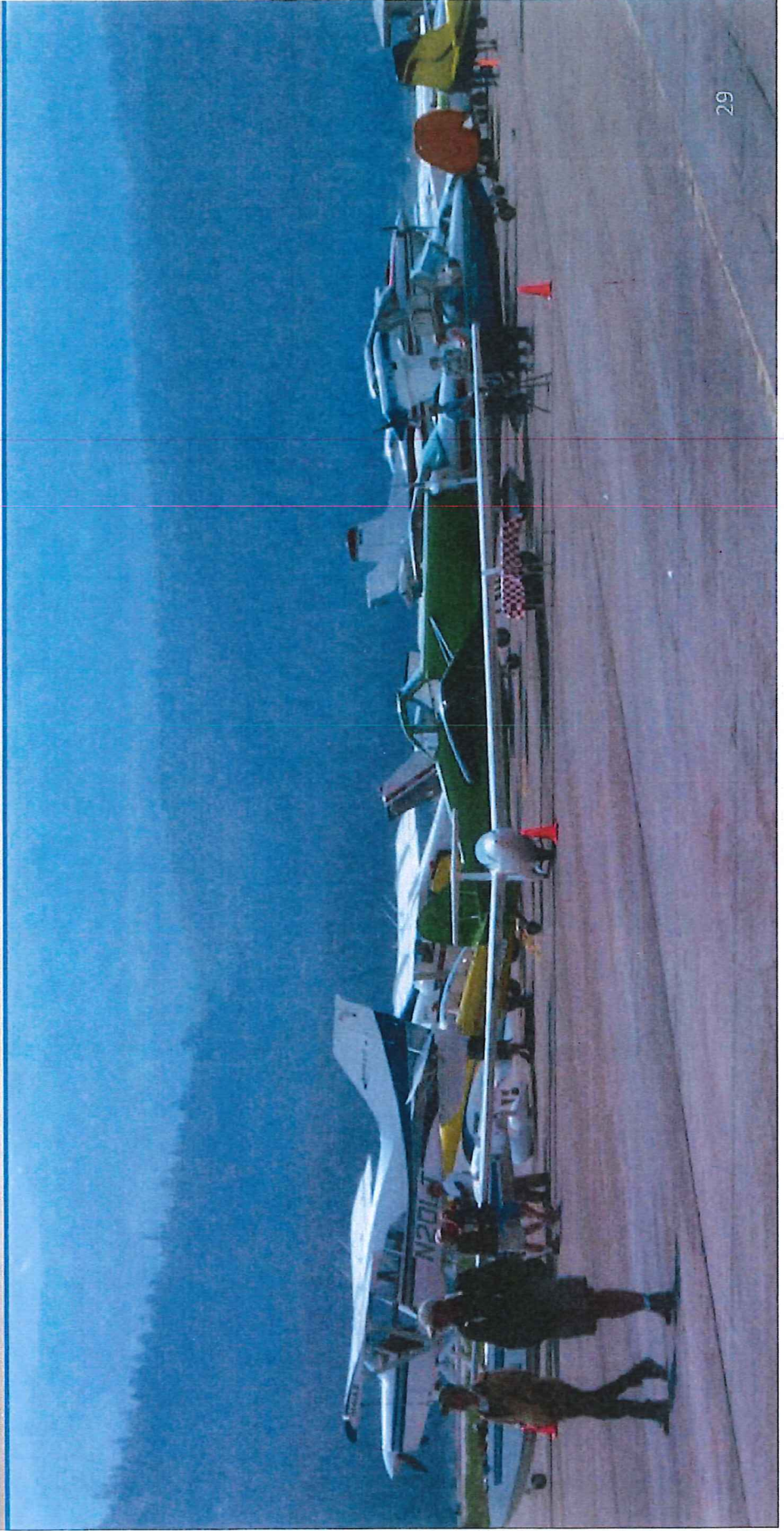
## Community Benefits: Key points from Master Plan Process

- Community programs (on/off airport)
- Community facilities at airport
- Educational programs (scholarship, STEM)
- Recreation and trails
- Conservation and open space
- Annoyance mitigation programs
- Focus on Airport facilities as priority over community programs
- Expand Fly Quiet and annoyance mitigation programs



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## Strategy Area 4: Communication and Community Outreach





**“CONNECTED , by more than a runway.”**

### **Overall Communication and Outreach Strategy:**

- Accurately and effectively communicate with our customers and constituents.
- Provide convenient access to information regarding the District.
- Be innovative in methods for conveying information.
- Establish [www.TruckeeTahoeAirport.com](http://www.TruckeeTahoeAirport.com) as repository for all info related to the District.



## 4.1

### Local Airport Users

**Local Airport User Defined:** Hangar tenants, SASOs, tie-downs, local non-tenants

#### **Strategic Directive:**

Build trust and confidence between District Board, Staff, and airport users.



#### **Objective 1**

Enhance collaboration and engage users on airport issues, guiding principles, and values.

- We respect your knowledge and expertise.
- We value your input
- We encourage and welcome your participation.
- We want to work with you.

#### **Objective 2**

Inform users on airport issues to improve understanding of issues and decisions. We provide information that is:

- Accessible, valuable and comprehensive (process, background, analysis, decision, impact)

#### **Objective 3**

Solicit input on user wants and needs, airport issues, and District guiding principles and values.

- We provide continuous opportunity for input.
- We need your input in order to make informed and reasoned decisions.
- We welcome new ideas.



## 4.2

# Transient Airport Users

**Transient User Defined:** Non-home based general aviation pilots and passengers, charter/Fractional Operators and their Pilots and Customers

## Strategic Directive:

Seek cooperation from transient users in order to achieve adherence to Fly Quiet procedures.



## Objective 1

Provide easily accessible information to transient users on Fly Quiet procedures, airport issues, services, and rates.

- We have information to help you Fly Quiet and we expect you to be informed.
- We provide accessible information on our expectations, services, rates, etc.
- We want you to respect our community and mountain environment.
- We are serious about our expectations and are committed to our Fly Quiet programs.

## Objective 2

Develop relationships with transient users and their local service providers in order to increase adherence to Fly Quiet procedures.

- We want your cooperation.
- We will meet with you anytime/anywhere.
- We value your expertise.
- We want you to help us maintain accessibility.
- We want you to support the community that supports our airport.



## 4.3

### Impacted Residents

**Impacted Resident Defined:** Residents, typically non-pilots, which are affected by and interested in airport operations.

#### Strategic Directive:

Build trust and confidence between District Board and Staff and impacted residents.



#### Objective 1

Engage impacted residents by developing relationships, and encouraging participation, communication, and involvement.

- We respect and value your diverse knowledge, experience, and skills.
- We welcome and encourage contact/interaction with the community.
- We want to hear your ideas, recommendations, and solutions.
- We want to work with you.

#### Objective 2

Inform impacted residents in order to improve understanding of airport issues, District guiding principles and values, and noise mitigation programs.

- We provide information that is:
  - Accessible
  - Factual
  - Comprehensive (process, background, analysis, decision, impact)
- We are proactive in communicating noteworthy events and aviation related issues.



## 4.3

### Impacted Residents (Continued)

#### Objective 3

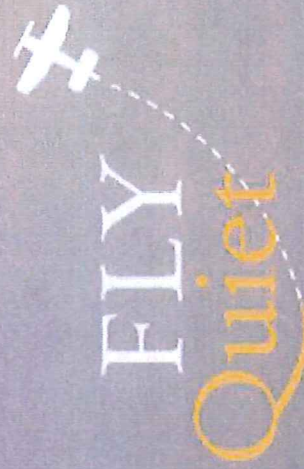
Enhance understanding of noise levels and over-flight frequency.

- We recognize and accept your concerns.
- We will realistically and factually discuss limitations and opportunities for noise mitigation programs.
- We are innovative in developing noise mitigation strategies.

#### Objective 4

Solicit input on impacted residents' wants and needs, airport issues, and District guiding principles and values.

- We provide continuous opportunity for input.
- We need your input in order to make informed and reasoned decisions.
- We welcome new ideas.





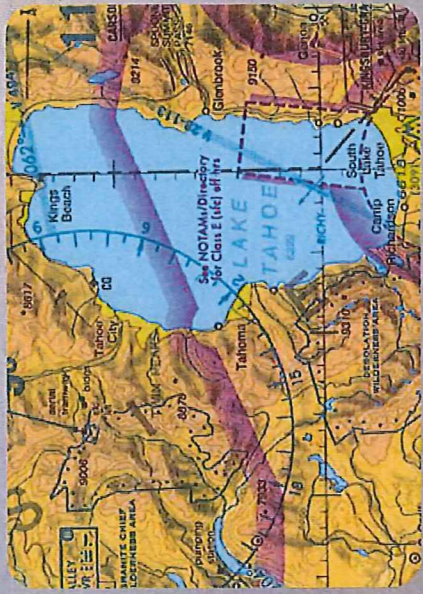
## 4.4

### Non-Impacted Residents

Non Impacted Defined: Unaffected /uninterested residents.

#### Strategic Directive:

Engage with non-impacted residents in order to advise them on District activities and encourage use of District services, facilities, and resources.



#### Objective 1

Inform non-impacted residents of District activities, services, facilities, and resources.

- We want you to know more about your community airport.
- We offer amenities and resources in addition to aviation services.

#### Objective 2

Solicit input on impacted residents' wants and needs, airport issues, and District guiding principles and values.

- We provide continuous opportunity for input.
- We need your input in order to make informed and reasoned decisions.
- We welcome new ideas.
- We want you to visit us or contact us.



## 4.5

# Internal Stakeholder Groups

**Internal Stakeholders Defined:** District Staff, ACAT & Board Members; The TTAD Team

## Strategic Directive:

To achieve the District's Mission, while promoting a common understanding and involvement between all Team Members in TTAD's overall direction, guiding principles and policy direction.



### Objective 1

Enhance communication and effective working relationships between all levels.

- We want to work as a team.
- We respect your knowledge and expertise.
- We welcome participation from all team members.

### Objective 2

Inform Internal Stakeholders of District direction, guiding principles and current events.

- We value internal transparency.
- We strive to professionally represent the District in our respective roles.
- We proactively provide information that is
  - Accessible
  - Factual
  - Comprehensive

### Objective 3

Involve all levels of staff in idea generation and problem solving to build employee engagement and customer focus.

- We need your input in order to make informed and reasoned decisions.
- We strive for continuous improvement as an organization.



## 4.6

### Airport Community Advisory Team (ACAT)

#### Strategic Directive:

ACATs flexible mission is to make recommendations to the TTAD Board of Directors for the purpose of reducing the impact of the airport operations on neighbors and enhancing benefits to airport users and the community-at-large.



**Objective 1**  
Engage and inform stakeholders.

**Objective 2**  
Track and evaluate applicable technology. Make innovative and appropriate recommendations to the Board of Directors.

**Objective 3**  
Investigate, develop, and where appropriate, implement annoyance mitigation and community enhancement benefits and programs.

**Objective 4**  
In collaboration with Board of Directors and Airport Staff, represent the District at industry and community forums.



4

## Community Outreach (Godbe/MP)

### Godbe

- 24% of respondents had no opinion on airport. Indicates need for more outreach.
- Respondents were not aware of airport board meetings and other events

### Master Plan

- Fly Quiet program
- Night Curfew
- Strong support for community benefit programs



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## Strategy Area 5: District Finances





## 5.1

### Financial Stability

#### Strategic Directive:

The District will make the preservation of the integrity of the financial system a primary goal. It will work to maintain a strong financial position to meet short-term and long-term needs.



#### Objective

Manage the District's finances to support the District Mission while maintaining reasonable rates and fees for service. This will be accomplished through:

- Identification and evaluation of new revenue sources
- Active pursuit of grant funding opportunities
- Consistent monitoring and evaluation of existing revenue sources
- Evaluation of user fees to ensure they are fair and equitable and that the rate structure takes into consideration the capital and operating costs of providing goods and services
- Consideration of the impacts to the District's financial position and the rate structure of all financial decisions
- Annual evaluation and updating of the District's investment policy
- Development and maintenance of accurate, timely, and meaningful financial and operational data
- Annual audit of financial statements by an independent auditor
- Maintenance and evaluation of internal financial controls
- Establishment of a consistent long-term financial plan with contingencies for impacts from State, County and other outside variables



## 5.2

### Use of Public Funds

#### Strategic Directive:

Make the best use of every dollar spent. Carefully manage, in an open and transparent approach, the public tax funding received by the District.

#### Objective 1

Manage the use of the District's property tax revenues through the use of budgeting parameters. In conjunction with the annual budget process, the Board of Directors shall set target parameters for the allocation of property tax revenues. The parameters will be stated as maximum percentages, but will be applied with the understanding that they are "over-arching" in nature and significant transactions in any one year may cause an area or program to exceed its suggested parameter in a specific year. The areas identified and the corresponding percentages in place as of 2010 are shown in the table below.

Area or Program	Maximum % of Property Tax Revenues
Operations – Recognizing that the District is charged to operate the airport, and that the fees received from users may not cover all operating costs, a portion of property tax revenues will be allocated to fund operations.	20%
TTAD Portion of Grants – Most grant projects require matching funds from the grant recipient; a portion of property tax revenues are allocated to cover that requirement to ensure the District is able to take advantage of appropriate grant funding opportunities.	10%
Annoyance Reduction and Community Outreach Projects – The District recognizes that the Airport has an effect on the surrounding community; funds are allocated to ensure the impact on our neighbors is kept to a minimum and our relationship with the community is first-rate.	25%
Other Capital Projects – Many capital projects are not grant eligible; funds are allocated to allow the District to make the required capital investment to accomplish its mission.	15%
Land Purchase and Management – Preservation of open space within the Airport's sphere of influence (in accordance with Strategic Directive: 3.1) and management of that property.	30%



## 5.2

### Use of Public Funds (Continued)

#### Objective 2

The District will apply the following hierarchy of spending priorities when making financial decisions:

- Protect the operational capabilities of the District
- Institute and maintain programs to reduce noise and annoyance
- Pre-fund future expense commitments when those commitments are certain, and it is financially feasible to do so
- Direct community investment will take priority over expenditures that would have an indirect community benefit.

#### Spending Priorities





## District Finances: Master Plan Input

### **Spending priorities include:**

- Community benefits/programs
- Open space
- Education programs (scholarships, STEM, aviation club, vocational, Sierra College)
- Improve airport facilities
- Reduce costs
- Annoyance mitigation programs

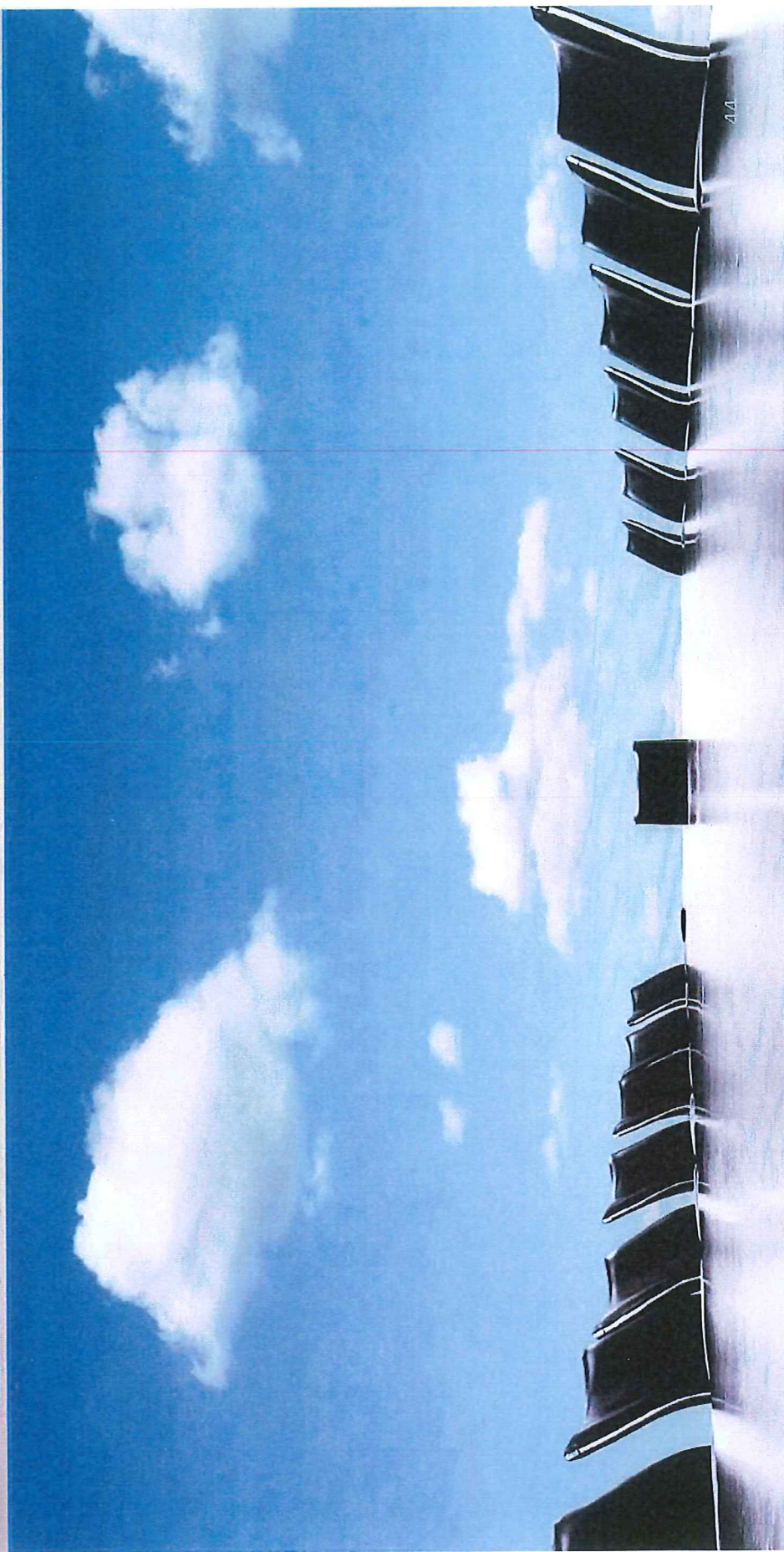
### **Generate new revenue by:**

- Building more hangars
- Leasing land to private entities
- Hosting events



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## Strategy Area 6: Board Governance





## 6.1

### Public Governance

#### Strategic Directive:

We are committed to exploring, developing and promoting the principles, standards, and practices which underlie good public governance. We will honor the public trust by governing openly, managing our Airport efficiently, and working collaboratively with our constituents, airport users, and associate public agencies to create and maintain value. We will stay focused on being an airport and providing quality aviation services while balancing community needs.

#### Objective 1

Emphasize transparency in governing and processes and assure compliance with Brown Act requirements.

#### Objective 2

Identify and implement effective ways to continually engage our users and constituents. Endeavor to provide high-quality public governance to ensure District aviation needs are served efficiently, effectively, and fairly. This will be accomplished by providing clear processes and structures for all aspects of District operations, staffing, and decision-making.

#### Objective 3

Incorporate technological advances to increase efficiencies and enhance communication.

#### Objective 4

Improve participation in local and regional coordination and planning efforts.

#### Objective 5

Enhance efforts to communicate effectively with District residents and airport users through website, newsletters, workshops, sub committees, ACAT and other methods.



## 6.2

### Board/Staff Relations

#### Strategic Directive:

The Board of Directors and Airport Staff shall strive to achieve an amicable and productive relationship with both parties committed to working for the good of the organization. Board and Staff will work together to present a clear vision and sense of purpose for the District.

#### Objective 1

The Board of Directors' purpose shall be District governance while the Airport Staff's purpose shall be operations and management. While these functions are separate and different they must work in partnership with each other. The primary role of each shall be as follows:

- **Board of Directors:** The Board shall provide purpose, leadership and overall strategy. The Board of Directors is charged with assuring the public that the organization is achieving its mission, providing public benefit, value, and responsible fiscal management of public funding. With the goal to develop and nurture staff, the Board of Directors is committed to a productive partnership, founded on communication, which will provide a smooth path to clear and solidly grounded decisions that everyone can support. The Board recognizes that day to day management has to be done by the General Manager and Staff, and no Board member is likely to have the time, or the day-to-day knowledge or ability to out perform airport staff.
- **Airport Staff:** Led by the General Manager, staff's core role is the day to day operations and management of the airport, its facilities, and programs. As staff is closest to the needs and opinions of the airport users, tenants, and pilot community they are charged with the safe, efficient, and timely delivery of goods and services. Staff recognizes that the Board of Directors are elected officials and represent the will of the residents of the District and provides the right mix and expertise to provide "hands off" guidance. Staff further recognizes at times they (staff) may be too close to the organization to provide the objectivity required to perform a governance role.



## 6.2

### Board/Staff Relations (Continued)

#### Objective 2

Maintain the Board meeting cycle: At the beginning of a project or issue, set expectations for how much and what type of information is needed and expected.

#### Objective 3

If micromanagement becomes an issue, the GM approaches the Board Member involved.

#### Objective 4

On Board-related topics, Board members expect to be listened to seriously, even if it's a non-traditional approach.



## 6.2

### Board/Staff Relations (Continued)

#### Division of Responsibilities

Board of Director Responsibilities	Staff Responsibilities	Joint Responsibilities
<ul style="list-style-type: none"> <li>➤ Setting long-term goals</li> <li>➤ Setting and determining yearly goals and objectives</li> <li>➤ Ensuring the Mission of the District is adhered to</li> <li>➤ Finalizing budgets and allocating funds</li> <li>➤ Approving any changes or additions outside the budget</li> <li>➤ Taking responsibility for the final financial records</li> <li>➤ Review evaluations of programs, services, and products</li> <li>➤ Employing the General Manager, setting his/her compensation package and evaluating his/her performance</li> <li>➤ Evaluate the Board's performance</li> <li>➤ Taking ultimate responsibility for all legal matters</li> <li>➤ Taking ultimate responsibility for compliance with regulatory requirements</li> <li>➤ Appointing auditors and approving the audit of the financial records</li> <li>➤ Create and define scope of committees</li> </ul>	<ul style="list-style-type: none"> <li>➤ Monitoring and managing daily operations</li> <li>➤ Provide information to the Board, including recommendations for action</li> <li>➤ Supporting the Board's planning function</li> <li>➤ Determining and responding to District needs</li> <li>➤ Operating programs and reporting on their successes and shortcomings</li> <li>➤ Manage and support Board committees</li> <li>➤ Evaluating employee performance</li> <li>➤ Organizing the District's events and outreach programs</li> <li>➤ Managing staff and volunteer committees</li> <li>➤ Implementing Board decisions</li> </ul>	<ul style="list-style-type: none"> <li>➤ Discussing ideas and forming long-term goals</li> <li>➤ Planning organizational strategies</li> <li>➤ Designing programs to achieve the District's mission</li> <li>➤ Ensuring safety and risk management programs are implemented</li> <li>➤ Ensuring that achievements are recognized and documented</li> <li>➤ Producing effective results through sub committees</li> <li>➤ Promoting the District</li> <li>➤ Maintaining and building the organization's public profile</li> </ul>





# OPEN & PUBLIC IV:

*A Guide to the Ralph M. Brown Act*

— 2ND EDITION, REVISED JULY 2010 —



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# CHAPTER 1:

## IT IS THE PEOPLE'S BUSINESS



THE RIGHT OF ACCESS

BROAD COVERAGE

NARROW EXEMPTIONS

PUBLIC PARTICIPATION  
IN MEETINGS

CONTROVERSY

BEYOND THE LAW—GOOD  
BUSINESS PRACTICES

ACHIEVING BALANCE

HISTORICAL NOTE



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# OPEN & PUBLIC IV

A GUIDE TO THE RALPH M. BROWN ACT



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PUBLIC PARTICIPATION

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OPEN & PUBLIC IV:  
A GUIDE TO THE RALPH M. BROWN ACT, 2ND EDITION

Revised July 2010



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League of California Cities

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## FOREWORD

The goal of this publication is to explain the requirements of the Ralph M. Brown Act, California's open meeting law, in lay language so that it can be readily understood by local government officials and employees, the public and the news media. We offer practical advice—especially in areas where the Brown Act is unclear or has been the subject of controversy—to assist local agencies in complying with the requirements of the law.

A number of organizations representing diverse views and constituencies have contributed to this publication in an effort to make it reflect as broad a consensus as possible among those who daily interpret and implement the Brown Act. The League thanks the following organizations for their contributions:

Association of California Healthcare Districts  
Association of California Water Agencies  
California Association of Sanitation Agencies (CASA)  
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City Clerks Association of California  
California Municipal Utilities Association  
California Redevelopment Association  
California School Boards Association  
California Special Districts Association  
California State Association of Counties  
Community College League of California  
California First Amendment Project  
California Newspaper Publishers Association  
Common Cause  
League of Women Voters of California

This publication is current as of June 2010. Updates to the publication responding to changes in the Brown Act or new court interpretations are available at [www.cacities.org/opengovernment](http://www.cacities.org/opengovernment).

This publication is not intended to provide legal advice. A public agency's legal counsel is responsible for advising its governing body and staff and should always be consulted when legal issues arise.

### ***To improve the readability of this publication:***

- Most text will look like this;
- Practice tips are in the margins;
- **Hypothetical examples are printed in blue; and**
- Frequently asked questions, along with our answers, are in shaded text.

Additional copies of this publication may be purchased by visiting CityBooks online at [www.cacities.org/store](http://www.cacities.org/store).



# CHAPTER 1:

## IT IS THE PEOPLE'S BUSINESS



### ■ THE RIGHT OF ACCESS

Two key parts of the Brown Act have not changed since its adoption in 1953. One is the Brown Act's initial section, declaring the Legislature's intent:

*"In enacting this chapter, the Legislature finds and declares that the public commissions, boards, and councils and the other public agencies in this State exist to aid in the conduct of the people's business. It is the intent of the law that their actions be taken openly and that their deliberations be conducted openly."*

*"The people of this State do not yield their sovereignty to the agencies which serve them. The people, in delegating authority, do not give their public servants the right to decide what is good for the people to know and what is not good for them to know. The people insist on remaining informed so that they may retain control over the instruments they have created."<sup>1</sup>*

The people reconfirmed that intent 50 years later in the November 2004 election by adopting Proposition 59, amending the California Constitution to include a public right of access to government information:

*"The people have the right of access to information concerning the conduct of the people's business, and, therefore, the meetings of public bodies and the writings of public officials and agencies shall be open to public scrutiny."<sup>2</sup>*

The Brown Act's other unchanged provision is a single sentence:

*"All meetings of the legislative body of a local agency shall be open and public, and all persons shall be permitted to attend any meeting of the legislative body of a local agency, except as otherwise provided in this chapter."<sup>3</sup>*

That one sentence is by far the most important of the entire Brown Act. If the opening is the soul, that sentence is the heart of the Brown Act.

#### **Practice Tip:**

The key to the Brown Act is a single sentence. In summary, all meetings shall be **open and public** except when the Brown Act authorizes otherwise.

## ■ BROAD COVERAGE

The Brown Act covers members of virtually every type of local government body, elected or appointed, decision-making or advisory. Some types of private organizations are covered, as are newly-elected members of a legislative body, even before they take office.

Similarly, meetings subject to the Brown Act are not limited to face-to-face gatherings. They also include any communication medium or device through which a majority of a legislative body discusses, deliberates or takes action on an item of business outside of a noticed meeting. They include meetings held from remote locations by teleconference.

New communication technologies present new Brown Act challenges. For example, common e-mail practices of forwarding or replying to messages can easily lead to a serial meeting prohibited by the Brown Act, as can participation by members of a legislative body in an Internet chatroom or blog dialogue. Communicating during meetings using electronic technology (such as laptop computers, personal digital assistants, or cellular telephones) may create the perception that private communications are influencing the outcome of decisions; some state legislatures have banned the practice. On the other hand, widespread cablecasting and web streaming of meetings has greatly expanded public access to the decision-making process.

## ■ NARROW EXEMPTIONS

The express purpose of the Brown Act is to assure that local government agencies conduct the public's business openly and publicly. Courts and the California Attorney General usually broadly construe the Brown Act in favor of greater public access and narrowly construe exemptions to its general rules.<sup>4</sup>

Generally, public officials should think of themselves as living in glass houses, and that they may only draw the curtains when it is in the public interest to preserve confidentiality. Closed sessions may be held only as specifically authorized by the provisions of the Brown Act itself.

The Brown Act, however, is limited to meetings among a majority of the members of multi-member government bodies when the subject relates to local agency business. It does not apply to independent conduct of individual decision-makers. It does not apply to social, ceremonial, educational, and other gatherings as long as a majority of the members of a body don't discuss issues related to their local agency's business. Meetings of temporary advisory committees—as distinguished from standing committees—made up solely of less than a quorum of a legislative body are not subject to the Brown Act.

The law does not apply to local agency staff or employees, but they may facilitate a violation by acting as a conduit for discussion, deliberation, or action by the legislative body.<sup>5</sup>

The law, on the one hand, recognizes the need of individual local officials to meet and discuss matters with their constituents. On the other hand, it requires—with certain specific exceptions to protect the community and preserve individual rights—that the decision-making process be public. Sometimes the boundary between the two is not easy to draw.

### ***Practice Tip:***

Think of the government's house as being made of glass. The curtains may be drawn only to further the public's interest.





## ■ PUBLIC PARTICIPATION IN MEETINGS

In addition to requiring the public's business to be conducted in open, noticed meetings, the Brown Act also extends to the public the right to participate in meetings. Individuals, lobbyists, and members of the news media possess the right to attend, record, broadcast, and participate in public meetings. The public's participation is further enhanced by the Brown Act's requirement that a meaningful agenda be posted in advance of meetings, by limiting discussion and action to matters listed on the agenda, and by requiring that meeting materials be made available.

Legislative bodies may, however, adopt reasonable regulations on public testimony and the conduct of public meetings, including measures to address disruptive conduct and irrelevant speech.

## ■ CONTROVERSY

Not surprisingly, the Brown Act has been a source of confusion and controversy since its inception. News media and government watchdogs often argue the law is toothless, pointing out that there has never been a single criminal conviction for a violation. They often suspect that closed sessions are being misused.

Public officials complain that the Brown Act makes it difficult to respond to constituents and requires public discussions of items better discussed privately—such as why a particular person should not be appointed to a board or commission. Many elected officials find the Brown Act inconsistent with their private business experiences. Closed meetings can be more efficient; they eliminate grandstanding and promote candor. The techniques that serve well in business—the working lunch, the sharing of information through a series of phone calls or emails, the backroom conversations and compromises—are often not possible under the Brown Act.

As a matter of public policy, California (along with many other states) has concluded that there is more to be gained than lost by conducting public business in the open. Government behind closed doors may well be efficient and business-like, but it may be perceived as unresponsive and untrustworthy.

## ■ BEYOND THE LAW—GOOD BUSINESS PRACTICES

Violations of the Brown Act can lead to invalidation of an agency's action, payment of a challenger's attorney's fees, public embarrassment, even criminal prosecution. But the Brown Act is a floor, not a ceiling for conduct of public officials. This guide is focused not only on the Brown Act as a minimum standard, but also on meeting practices or activities that, legal or not, are likely to create controversy. Problems may crop up, for example, when agenda descriptions are too brief or vague, when an informal get-together takes on the appearance of a meeting, when an agency conducts too much of its business in closed session or discusses matters in closed session that are beyond the authorized scope, or when controversial issues arise that are not on the agenda.

The Brown Act allows a legislative body to adopt practices and requirements for greater access to meetings for itself and its subordinate committees and bodies that are more stringent than the law itself requires.<sup>6</sup> Rather than simply restate the basic requirements of the Brown Act, local open meeting policies should strive to anticipate and prevent problems in areas where the Brown Act doesn't provide full guidance. As with the adoption of any other significant policy, public comment should be solicited.



### **Practice Tip:**

Transparency is a foundational value for ethical government practices. The Brown Act is a floor, not a ceiling, for conduct.

A local policy could build on these basic Brown Act goals:

- A legislative body's need to get its business done smoothly;
- The public's right to participate meaningfully in meetings, and to review documents used in decision-making at a relevant point in time;
- A local agency's right to confidentially address certain negotiations, personnel matters, claims and litigation; and
- The right of the press to fully understand and communicate public agency decision-making.

An explicit and comprehensive public meeting and information policy, especially if reviewed periodically, can be an important element in maintaining or improving public relations. Such a policy exceeds the absolute requirements of the law—but if the law were enough this guide would be unnecessary. A narrow legalistic approach will not avoid or resolve potential controversies. An agency should consider going beyond the law, and look at its unique circumstances and determine if there is a better way to prevent potential problems and promote public trust. At the very least, local agencies need to think about how their agendas are structured in order to make Brown Act compliance easier. They need to plan carefully to make sure public participation fits smoothly into the process.

## ■ ACHIEVING BALANCE

The Brown Act should be neither an excuse for hiding the ball nor a mechanism for hindering efficient and orderly meetings. The Brown Act represents a balance among the interests of constituencies whose interests do not always coincide. It calls for openness in local government, yet should allow government to function responsively and productively.

There must be both adequate notice of what discussion and action is to occur during a meeting as well as a normal degree of spontaneity in the dialogue between elected officials and their constituents.

The ability of an elected official to confer with constituents or colleagues must be balanced against the important public policy prohibiting decision-making outside of public meetings.

In the end, implementation of the Brown Act must ensure full participation of the public and preserve the integrity of the decision-making process, yet not stifle government officials and impede the effective and natural operation of government.

## ■ HISTORICAL NOTE

In late 1951, *San Francisco Chronicle* reporter Mike Harris spent six weeks looking into the way local agencies conducted meetings. State law had long required that business be done in public, but Harris discovered secret meetings or caucuses were common. He wrote a 10-part series on “Your Secret Government” that ran in May and June 1952.

Out of the series came a decision to push for a new state open meeting law. Harris and Richard (Bud) Carpenter, legal counsel for the League of California Cities, drafted such a bill and Assembly Member Ralph M. Brown agreed to carry it. The Legislature passed the bill and Gov. Earl Warren signed it into law in 1953.

The Ralph M. Brown Act, known as the “Brown Act”, has evolved under a series of amendments and court decisions, and has been the model for other open meeting laws—such as the Bagley-Keene Act, enacted in 1967 to cover state agencies.

### **Practice Tip:**

The Brown Act should be viewed as a tool to facilitate the business of local government agencies. Local policies that go beyond the minimum requirements of law may help instill public confidence and avoid problems.





Assembly Member Brown is best known for the open meeting law that carries his name. He was elected to the Legislature in 1942 and served 19 years, including the last three years as Speaker. He then became an appellate court justice.

---

**Endnotes**

- 1 California Government Code section 54950
- 2 California Constitution, Art. 1, section 3 (b)(1)
- 3 California Government Code section 54953 (a)
- 4 This principle of broad construction when it furthers public access and narrow construction if a provision limits public access is also stated in the amendment to the state's Constitution adopted by Proposition 59 in 2004. California Constitution, Art. 1, section 3(b)(2)
- 5 California Government Code section 54952.2 (c); *Wolfe v. City of Fremont* (2006) 144 Cal.App.4th 533
- 6 California Government Code section 54953.7

Updates to this publication responding to changes in the Brown Act or new court interpretations are available at [www.cacities.org/opengovernment](http://www.cacities.org/opengovernment). A current version of the Brown Act may be found at [www.leginfo.ca.gov](http://www.leginfo.ca.gov).

# CHAPTER 2:

## LEGISLATIVE BODIES



WHAT IS A "LEGISLATIVE BODY"  
OF A LOCAL AGENCY?

WHAT IS NOT A "LEGISLATIVE BODY"  
FOR PURPOSES OF THE BROWN ACT?



# CHAPTER 2:

## LEGISLATIVE BODIES



The Brown Act applies to the legislative bodies of local agencies. It defines “legislative body” broadly to include just about every type of decision-making body of a local agency.<sup>1</sup>

### ■ WHAT IS A “LEGISLATIVE BODY” OF A LOCAL AGENCY?

A “legislative body” includes:

- **The “governing body”** of a local agency or any other local body created by state or federal statute.”<sup>2</sup> This includes city councils, boards of supervisors, school boards and boards of trustees of special districts. A “local agency” is any city, county, school district, municipal corporation, redevelopment agency, district, political subdivision, or other public agency.<sup>3</sup> A housing authority is a local agency under the Brown Act even though it is created by and is an agent of the state.<sup>4</sup> The California Attorney General has opined that air pollution control districts and regional open space districts are also covered.<sup>5</sup> Entities created pursuant to joint powers agreements are local agencies within the meaning of the Brown Act.<sup>6</sup>
- **Newly-elected members** of a legislative body who have not yet assumed office must conform to the requirements of the Brown Act as if already in office.<sup>7</sup> Thus, meetings between incumbents and newly-elected members of a legislative body, such as a meeting between two outgoing members and a member-elect of a five-member body, could violate the Brown Act.

### **Practice Tip:**

The prudent presumption is that an advisory committee or task force is subject to the Brown Act. Even if one clearly is not, it may want to comply with the Brown Act. Public meetings may reduce the possibility of misunderstandings and controversy.

- Q.** On the morning following the election to a five-member legislative body of a local agency, two successful candidates, neither an incumbent, meet with an incumbent member of the legislative body for a celebratory breakfast. Does this violate the Brown Act?
- A.** *It might, and absolutely would if the conversation turns to agency business. Even though the candidates-elect have not officially been sworn in, the Brown Act applies. If purely a social event, there is no violation but it would be preferable if others were invited to attend to avoid the appearance of impropriety.*

- **Appointed bodies**—whether permanent or temporary, decision-making or advisory—including planning commissions, civil service commissions and other subsidiary committees, boards, and bodies. Volunteer groups, executive search committees, task forces, and “blue ribbon committees” created by formal action of the governing body are legislative bodies. When the members of two or more legislative bodies are appointed to serve on an entirely separate advisory group, the resulting body may be subject to the Brown Act. In one reported case, a city council created a committee of two members of the city council and two members of the city planning commission to review qualifications of prospective planning commissioners and make recommendations to the council. The court held that their joint mission made them a legislative body subject to the Brown Act. Had the two committees remained separate and met only to exchange information, they would have been exempt from the Brown Act.<sup>8</sup>
- **Standing committees** of a legislative body, irrespective of their composition, which have either: (1) a continuing subject matter jurisdiction, or (2) a meeting schedule fixed by charter, ordinance, resolution, or formal action of a legislative body.<sup>9</sup> Even if comprised of less than a quorum of the governing body, a standing committee is subject to the Brown Act. For example, if a governing body creates long-term committees on budget and finance or on public safety, those are standing committees subject to the Brown Act. Further, function over form controls. For example, a statement by the legislative body that “the advisory committee shall not exercise continuing subject matter jurisdiction” or the fact that the committee does not have a fixed meeting schedule is not determinative.<sup>10</sup> “Formal action” by a legislative body includes authorization given to the agency’s executive officer to appoint an advisory committee pursuant to agency-adopted policy.<sup>11</sup>
- The governing body of any **private organization** either: (1) created by the legislative body in order to exercise authority that may lawfully be delegated by such body to a private corporation, limited liability company or other entity or (2) that receives agency funding and whose governing board includes a member of the legislative body of the local agency appointed by the legislative body as a full voting member of the private entity’s governing board.<sup>12</sup> These include some nonprofit corporations created by local agencies.<sup>13</sup> If a local agency contracts with a private firm for a service (for example, payroll, janitorial, or food services), the private firm is not covered by the Brown Act.<sup>14</sup> When a member of a legislative body sits on a board of a private organization as a private person and is not appointed by the legislative body, the board will not be subject to the Brown Act. Similarly, when the legislative body appoints someone other than one of its own members to such boards, the Brown Act does not apply. Nor does it apply when a private organization merely receives agency funding.<sup>15</sup>

### Practice Tip:

It can be difficult to determine whether a subcommittee of a body falls into the category of a standing committee or an exempt temporary committee. Suppose a committee is created to explore the renewal of a franchise or a topic of similarly limited scope and duration. Is it an exempt temporary committee or a non-exempt standing committee? The answer may depend on factors such as how meeting schedules are determined, the scope of the committee’s charge, or whether the committee exists long enough to have “continuing jurisdiction.”

**Q:** The local chamber of commerce is funded in part by the city. The mayor sits on the chamber’s board of directors. Is the chamber board a legislative body subject to the Brown Act?

**A:** *Maybe. If the chamber’s governing documents require the mayor to be on the board and the city council appoints the mayor to that position, the board is a legislative body. If, however, the chamber board independently appoints the mayor to its board, or the mayor attends chamber board meetings in a purely advisory capacity, it is not.*

**Q:** If a community college district board creates an auxiliary organization to operate a campus bookstore or cafeteria, is the board of the organization a legislative body?

**A:** *Yes. But, if the district instead contracts with a private firm to operate the bookstore or cafeteria, the Brown Act would not apply to the private firm.*



- **Certain kinds of hospital operators.** A lessee of a hospital (or portion of a hospital) first leased under Health and Safety Code subsection 32121(p) after Jan. 1, 1994, which exercises “material authority” delegated to it by a local agency, whether or not such lessee is organized and operated by the agency or by a delegated authority.<sup>16</sup>

#### ■ **WHAT IS NOT A “LEGISLATIVE BODY” FOR PURPOSES OF THE BROWN ACT?**

- A temporary advisory committee **composed solely of less than a quorum** of the legislative body that serves a limited or single purpose, that is not perpetual, and that will be dissolved once its specific task is completed is not subject to the Brown Act.<sup>17</sup> Temporary committees are sometimes called *ad hoc* committees, a term not used in the Brown Act. Examples include an advisory committee composed of less than a quorum created to interview candidates for a vacant position or to meet with representatives of other entities to exchange information on a matter of concern to the agency, such as traffic congestion.<sup>18</sup>
- Groups advisory to a single decision-maker or appointed by staff are not covered. The Brown Act applies only to committees created by formal action of the legislative body and not to committees created by others. A committee advising a superintendent of schools would not be covered by the Brown Act. However, the same committee, if created by formal action of the school board, would be covered.<sup>19</sup>

**Q.** A member of the legislative body of a local agency informally establishes an advisory committee of five residents to advise her on issues as they arise. Does the Brown Act apply to this committee?

**A.** *No, because the committee has not been established by formal action of the legislative body.*

**Q.** During a meeting of the city council, the council directs the city manager to form an advisory committee of residents to develop recommendations for a new ordinance. The city manager forms the committee and appoints its members; the committee is instructed to direct its recommendations to the city manager. Does the Brown Act apply to this committee?

**A.** *Possibly, because the direction from the city council might be regarded as a formal action of the body notwithstanding that the city manager controls the committee.*

- Individual decision makers who are not elected or appointed members of a legislative body are not covered by the Brown Act. For example, a disciplinary hearing presided over by a department head or a meeting of agency department heads are not subject to the Brown Act since such assemblies are not those of a legislative body.<sup>20</sup>
- County central committees of political parties are also not Brown Act bodies.<sup>21</sup>

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## Endnotes

- 1 *Taxpayers for Livable Communities v. City of Malibu* (2005) 126 Cal.App.4th 1123
- 2 California Government Code section 54952(a)
- 3 California Government Code section 54951. *But see*: Education Code section 35147, which exempts certain school councils and school site advisory committees from the Brown Act and imposes upon them a separate set of rules.
- 4 *Torres v. Board of Commissioners* (1979) 89 Cal.App.3d 545
- 5 71 Ops.Cal.Atty.Gen. 96 (1988); 73 Ops.Cal.Atty.Gen. 1 (1990)
- 6 *McKee v. Los Angeles Interagency Metropolitan Police Apprehension Crime Task Force* (2005) 134 Cal.App.4th 354
- 7 California Government Code section 54952.1
- 8 *Joiner v. City of Sebastopol* (1981) 125 Cal.App.3d 799
- 9 California Government Code section 54952(b)
- 10 79 Ops. Cal.Atty.Gen. 69 (1996)
- 11 *Frazer v. Dixon Unified School District* (1993) 18 Cal.App.4th 781
- 12 California Government Code section 54952(c)(1)(B). The same rule applies to a full voting member appointed prior to February 9, 1996 who, after that date, is made a non-voting board member by the legislative body. California Government Code section 54952(c)(2)
- 13 California Government Code section 54952(c)(1)(A); *International Longshoremen's and Warehousemen's Union v. Los Angeles Export Terminal* (1999) 69 Cal.App.4th 287; *Epstein v. Hollywood Entertainment Dist. II Business Improvement District* (2001) 87 Cal.App.4th 862; *see also*: 81 Ops.Cal.Atty.Gen. 281 (1998); 85 Ops.Cal.Atty.Gen. 55
- 14 *International Longshoremen's and Warehousemen's Union v. Los Angeles Export Terminal* (1999) 69 Cal.App.4th 287, 300 fn. 5
- 15 "The Brown Act," California Attorney General (2003), p. 7
- 16 California Government Code section 54952(d)
- 17 California Government Code section 54952(b); *see also*: *Freedom Newspapers, Inc. v. Orange County Employees Retirement System Board of Directors* (1993) 6 Cal.4th 821
- 18 *Taxpayers for Livable Communities v. City of Malibu* (2005) 126 Cal.App.4th 1123
- 19 56 Ops.Cal.Atty.Gen. 14 (1973)
- 20 *Wilson v. San Francisco Municipal Railway* (1973) 29 Cal.App.3d 870
- 21 59 Ops.Cal.Atty.Gen. 162 (1976)

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# CHAPTER 3:

## MEETINGS



BROWN ACT MEETINGS

SIX EXCEPTIONS TO THE MEETING  
DEFINITION

COLLECTIVE BRIEFINGS

RETREATS OR WORKSHOPS OF  
LEGISLATIVE BODIES

SERIAL MEETINGS

INFORMAL GATHERINGS

TECHNOLOGICAL CONFERENCING

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# CHAPTER 3:

## MEETINGS



The Brown Act only applies to meetings of local legislative bodies. The Brown Act defines a meeting as: "... any congregation of a majority of the members of a legislative body at the same time and place to hear, discuss, or deliberate upon any item that is within the subject matter jurisdiction of the legislative body or the local agency to which it pertains."<sup>1</sup> Under the Brown Act, the term "meeting" is not limited to gatherings at which action is taken but includes deliberative gatherings as well.

### ■ BROWN ACT MEETINGS

Brown Act gatherings include a legislative body's regular meetings, special meetings, emergency meetings and adjourned meetings.

- "Regular meetings" are meetings occurring at the dates, times, and location set by resolution, ordinance, or other formal action by the legislative body and are subject to 72-hour posting requirements.<sup>2</sup>
- "Special meetings" are meetings called by the presiding officer or majority of the legislative body to discuss only discrete items on the agenda under the Brown Act's notice requirements for special meetings.<sup>3</sup>
- "Emergency meetings" are a limited class of meetings held when prompt action is needed due to actual or threatened disruption of public facilities and are held on little notice.<sup>4</sup>
- "Adjourned meetings" are regular or special meetings that have been adjourned or re-adjourned to a time and place specified in the order of adjournment, with no agenda required for regular meetings adjourned for less than five calendar days as long as no additional business is transacted.<sup>5</sup>

### ■ SIX EXCEPTIONS TO THE MEETING DEFINITION

The Brown Act creates six exceptions to the meeting definition: <sup>6</sup>

#### *Individual Contacts*

The first exception involves individual contacts between a member of the legislative body and any other person. The Brown Act does not limit a legislative body member acting on his or her own. This exception recognizes the right to confer with constituents, advocates, consultants, news reporters, local agency staff or a colleague.

Individual contacts, however, cannot be used to do in stages what would be prohibited in one step. For example, a series of individual contacts that leads to discussion, deliberation or action among a majority of the members of a legislative body is prohibited. Such serial meetings are discussed below.

### ***Conferences***

The second exception allows a legislative body majority to attend a conference or similar gathering open to the public that addresses issues of general interest to the public or to public agencies of the type represented by the legislative body.

Among other things, this exception permits legislative body members to attend annual association conferences of city, county, school, community college, and other local agency officials, so long as those meetings are open to the public. However, a majority of members cannot discuss among themselves, other than as part of the scheduled program, business of a specific nature that is within their local agency's subject matter jurisdiction.



### ***Community Meetings***

The third exception allows a legislative body majority to attend an open and publicized meeting held by another organization to address a topic of local community concern. Again, a majority cannot discuss among themselves, other than as part of the scheduled program, business of a specific nature that is within their local agency's subject matter jurisdiction. Under this exception, a legislative body majority may attend a local service club meeting or a local candidates' night if the meetings are open to the public.

*"I see we have four distinguished members of the city council at our meeting tonight," said the chair of the Environmental Action Coalition.*

*"I wonder if they have anything to say about the controversy over enacting a slow growth ordinance?"*

*The Brown Act permits a majority of a legislative body to attend and speak at an open and publicized meeting conducted by another organization. The Brown Act may nevertheless be violated if a majority discusses, deliberates, or takes action on an item during the meeting of the other organization. There is a fine line between what is permitted and what is not; hence, members should exercise caution when participating in these types of events.*

- Q.** The local chamber of commerce sponsors an open and public candidate debate during an election campaign. Three of the five agency members are up for re-election and all three participate. All of the candidates are asked their views of a controversial project scheduled for a meeting to occur just after the election. May the three incumbents answer the question?
- A.** Yes, because the Brown Act does not constrain the incumbents from expressing their views regarding important matters facing the local agency as part of the political process the same as any other candidates.





### ***Other Legislative Bodies***

The fourth exception allows a majority of a legislative body to attend an open and publicized meeting of: (1) another body of the local agency and (2) a legislative body of another local agency.<sup>7</sup> Again, the majority cannot discuss among themselves, other than as part of the scheduled meeting, business of a specific nature that is within their local agency's subject matter jurisdiction. This exception allows, for example, a city council or a majority of a board of supervisors to attend a controversial meeting of the planning commission.

Nothing in the Brown Act prevents the majority of a legislative body from sitting together at such a meeting. They may choose not to, however, to preclude any possibility of improperly discussing local agency business and to avoid the appearance of a Brown Act violation. Further, aside from the Brown Act, there may be other reasons, such as due process considerations, why the members should avoid giving public testimony or trying to influence the outcome of proceedings before a subordinate body.

- Q.** The entire legislative body intends to testify against a bill before the Senate Local Government Committee in Sacramento. Must this activity be noticed as a meeting of the body?
- A.** *No, because the members are attending and participating in an open meeting of another governmental body which the public may attend.*
- Q.** The members then proceed upstairs to the office of their local Assembly member to discuss issues of local interest. Must this session be noticed as a meeting and be open to the public?
- A.** *Yes, because the entire body may not meet behind closed doors except for proper closed sessions. The same answer applies to a private lunch or dinner with the Assembly member.*

### ***Standing Committees***

The fifth exception authorizes the attendance of a majority at an open and noticed meeting of a standing committee of the legislative body, provided that the legislative body members who are not members of the standing committee attend only as observers (meaning that they cannot speak or otherwise participate in the meeting).<sup>8</sup>

- Q.** The legislative body establishes a standing committee of two of its five members, which meets monthly. A third member of the legislative body wants to attend these meetings and participate. May she?
- A.** *She may attend, but only as an observer; she may not participate.*

### ***Social or Ceremonial Events***

The sixth and final exception permits a majority of a legislative body to attend a purely social or ceremonial occasion. Once again, a majority cannot discuss business among themselves of a specific nature that is within the subject matter jurisdiction of the local agency.

Nothing in the Brown Act prevents a majority of members from attending the same football game, party, wedding, funeral, reception, or farewell. The test is not whether a majority of a legislative body attends the function, but whether business of a specific nature within the subject matter jurisdiction of the local agency is discussed. So long as no local agency business is discussed, there is no violation of the Brown Act.

## ■ COLLECTIVE BRIEFINGS

None of these six exceptions permits a majority of a legislative body to meet together with staff in advance of a meeting for a collective briefing. Any such briefings that involve a majority of the body in the same place and time must be open to the public and satisfy Brown Act meeting notice and agenda requirements.

## ■ RETREATS OR WORKSHOPS OF LEGISLATIVE BODIES

There is consensus among local agency attorneys that gatherings by a majority of legislative body members at the legislative body's retreats, study sessions, or workshops are covered under the Brown Act. This is the case whether the retreat, study session, or workshop focuses on long-range agency planning, discussion of critical local issues, or on team building and group dynamics.<sup>9</sup>

- Q.** The legislative body wants to hold a team-building session to improve relations among its members. May such a session be conducted behind closed doors?
- A.** *No, this is not a proper subject for a closed session, and there is no other basis to exclude the public. Council relations are a matter of public business.*

## ■ SERIAL MEETINGS

One of the most frequently asked questions about the Brown Act involves serial meetings. At any one time, such meetings involve only a portion of a legislative body, but eventually involve a majority.

The problem with serial meetings is the process, which deprives the public of an opportunity for meaningful participation in legislative body decision-making. The Brown Act provides that "[a] majority of the members of a legislative body shall not, outside a meeting...use a series of communications of any kind, directly or through intermediaries, to discuss, deliberate, or take action on any item of business that is within the subject matter jurisdiction of the legislative body."<sup>10</sup>

The serial meeting may occur by either a "daisy-chain" or a "hub-and-spoke" sequence. In the daisy-chain scenario, Member A contacts Member B, Member B contacts Member C, Member C contacts Member D and so on, until a quorum has discussed, deliberated or taken action on an item within the legislative body's subject matter jurisdiction. The hub-and-spoke process involves, for example, a staff member (the hub) communicating with members of a legislative body (the spokes) one-by-one for a decision on a proposed action,<sup>11</sup> or a chief executive officer briefing a majority of redevelopment agency members prior to a formal meeting and, in the process, information about the members' respective views is revealed. Each of these scenarios violates the Brown Act.

A legislative body member has the right, if not the duty, to meet with constituents to address their concerns. That member also has the right to confer with a colleague or appropriate staff about local agency business. An employee or official of a local agency may engage in separate conversations or communications outside of an open and noticed meeting "with members of a legislative body in order to answer questions or provide information regarding a matter that is within the subject matter jurisdiction of the local agency if that person does not communicate to members of the legislative body the comments or position of any other member or members of the legislative body."<sup>12</sup>

The Brown Act has been violated however, if several one-on-one meetings or conferences leads to a discussion, deliberation or action by a majority. In one case, a violation occurred when a quorum of a city council directed staff by letter on an eminent domain action.<sup>13</sup>





A unilateral written communication to the legislative body, such as an informational or advisory memorandum, does not violate the Brown Act.<sup>14</sup> Such a memo, however, may be a public record.<sup>15</sup>

The phone call was from a lobbyist. "Say, I need your vote for that project in the south area. How about it?"

"Well, I don't know," replied Board Member Aletto. "That's kind of a sticky proposition. You sure you need my vote?"

"Well, I've got Bradley and Cohen lined up and another vote leaning. With you I'd be over the top."

Moments later, the phone rings again. "Hey, I've been hearing some rumbles on that south area project," said the newspaper reporter. "I'm counting noses. How are you voting on it?"

*Neither the lobbyist nor the reporter has violated the Brown Act, but they are facilitating a violation. The board member may have violated the Brown Act by hearing about the positions of other board members and indeed coaxing the lobbyist to reveal the other board members' positions by asking "You sure you need my vote?" The prudent course is to avoid such leading conversations and to caution lobbyists, staff and news media against revealing such positions of others.*

The mayor sat down across from the city manager. "From now on," he declared, "I want you to provide individual briefings on upcoming agenda items. Some of this material is very technical, and the council members don't want to sound like idiots asking about it in public. Besides that, briefings will speed up the meeting."

*Agency employees or officials may have separate conversations or communications outside of an open and noticed meeting "with members of a legislative body in order to answer questions or provide information regarding a matter that is within the subject matter jurisdiction of the local agency if that person does not communicate to members of the legislative body the comments or position of any other member or members of the legislative body."<sup>16</sup> Members should always be vigilant when discussing local agency business with anyone to avoid conversations that could lead to a discussion, deliberation or action taken among the majority of the legislative body.*

"Thanks for the information," said Council Member Kim. "These zoning changes can be tricky, and now I think I'm better equipped to make the right decision."

"Glad to be of assistance," replied the planning director. "Any idea what the other council members think of the problem?"

*The planning director should not ask, and the member should not answer. A one-on-one meeting that involves communicating the comments or position of other members violates the Brown Act.*

### **Practice Tip:**

When briefing legislative body members, staff must exercise care not to disclose other members' views and positions.

- Q.** The agency's Web site includes a chat room where agency employees and officials participate anonymously and often discuss issues of local agency business. Members of the legislative body participate regularly. Does this scenario present a potential for violation of the Brown Act?
- A.** Yes, because it is a technological device that may serve to allow for a majority of members to discuss, deliberate or take action on matters of agency business.
- Q.** A member of a legislative body contacts two other members on a five-member body relative to scheduling a special meeting. Is this an illegal serial meeting?
- A.** No, the Brown Act expressly allows this kind of communication, though the members should avoid discussing the merits of what is to be taken up at the meeting.

Particular care should be exercised when staff briefings of legislative body members occur by email because of the ease of using the “reply to all” button that may inadvertently result in a Brown Act violation.

## ■ INFORMAL GATHERINGS

Often members are tempted to mix business with pleasure—for example, by holding a post meeting gathering. Informal gatherings at which local agency business is discussed or transacted violate the law if they are not conducted in conformance with the Brown Act.<sup>17</sup> A luncheon gathering in a crowded dining room violates the Brown Act if the public does not have an adequate opportunity to hear or participate in the deliberations of members.

Thursday at 11:30 a.m., as they did every week, the board of directors of the Dry Gulch Irrigation District trooped into Pop’s Donut Shoppe for an hour of talk and fellowship. They sat at the corner window, fronting on Main and Broadway, to show they had nothing to hide. Whenever he could, the managing editor of the weekly newspaper down the street hurried over to join the board.

*A gathering like this would not violate the Brown Act if board members scrupulously avoided talking about irrigation district issues. But it is the kind of situation that should be avoided. The public is unlikely to believe the board members could meet regularly without discussing public business. A newspaper executive’s presence in no way lessens the potential for a violation of the Brown Act.*

- Q.** The agency has won a major victory in the Supreme Court on an issue of importance. The presiding officer decides to hold an impromptu press conference in order to make a statement to the print and broadcast media. All the other members show up in order to make statements of their own and be seen by the media. Is this gathering illegal?
- A.** *Technically there is no exception for this sort of gathering, but as long as members do not state their intentions as to future action to be taken and the press conference is open to the public, it seems harmless.*

## ■ TECHNOLOGICAL CONFERENCING

In an effort to keep up with information age technologies, the Brown Act now specifically allows a legislative body to use any type of teleconferencing to meet, receive public comment and testimony, deliberate, or conduct a closed session.<sup>18</sup> While the Brown Act contains specific requirements for conducting a teleconference, the decision to use teleconferencing is entirely discretionary within the body.

“Teleconference” is defined as “a meeting of a legislative body, the members of which are in different locations, connected by electronic means, through either audio or video, or both.”<sup>19</sup> In addition to the specific requirements relating to teleconferencing, the meeting must comply with all provisions of the Brown Act otherwise applicable. The Brown Act contains the following specific requirements:<sup>20</sup>

- Teleconferencing may be used for all purposes during any meeting;
- At least a quorum of the legislative body must participate from locations within the local agency’s jurisdiction;
- Additional teleconference locations may be made available for the public;





### **Practice Tip:**

Legal counsel for the local agency should be consulted before teleconferencing a meeting.

- Each teleconference location must be specifically identified in the notice and agenda of the meeting, including a full address and room number, as may be applicable;
- Agendas must be posted at each teleconference location, even if a hotel room or a residence;
- Each teleconference location must be accessible to the public and have technology, such as a speakerphone, to enable the public to participate;
- The agenda must provide the opportunity for the public to address the legislative body directly at each teleconference location; and
- All votes must be by roll call.

**Q.** A member on vacation wants to participate in a meeting of the legislative body and vote by cellular phone from her car while driving from Washington, D.C. to New York. May she?

**A.** *She may not participate or vote because she is not in a noticed and posted teleconference location.*

The use of teleconferencing to conduct a legislative body meeting presents a variety of new issues beyond the scope of this guide to discuss in detail. Therefore, before teleconferencing a meeting, legal counsel for the local agency should be consulted.

## ■ LOCATION OF MEETINGS

The Brown Act generally requires all regular and special meetings of a legislative body, including retreats and workshops, to be held within the boundaries of the territory over which the local agency exercises jurisdiction.<sup>21</sup>

An open and publicized meeting of a legislative body may be held outside of agency boundaries if the purpose of the meeting is one of the following:

- Comply with state or federal law or a court order, or for a judicial conference or administrative proceeding in which the local agency is a party;
- Inspect real or personal property, which cannot be conveniently brought into the local agency's territory, provided the meeting is limited to items relating to that real or personal property;

**Q.** The agency is considering approving a major retail mall. The developer has built other similar malls, and invites the entire legislative body to visit a mall outside the jurisdiction. May the entire body go?

**A.** *Yes, the Brown Act permits meetings outside the boundaries of the agency for specified reasons and inspection of property is one such reason. The field trip must be treated as a meeting and the public must be able to attend.*

- Participate in multiagency meetings or discussions, however, such meetings must be held within the boundaries of one of the participating agencies, and all involved agencies must give proper notice;
- Meet in the closest meeting facility if the local agency has no meeting facility within its boundaries or at its principal office if that office is located outside the territory over which the agency has jurisdiction;

- Meet with elected or appointed federal or California officials when a local meeting would be impractical, solely to discuss a legislative or regulatory issue affecting the local agency and over which the federal or state officials have jurisdiction;
- Meet in or nearby a facility owned by the agency, provided that the topic of the meeting is limited to items directly related to the facility; or
- Visit the office of its legal counsel for a closed session on pending litigation, when to do so would reduce legal fees or costs.<sup>22</sup>

In addition, the governing board of a school or community college district may hold meetings outside of its boundaries to attend a conference on nonadversarial collective bargaining techniques, interview candidates for school district superintendent, or interview a potential employee from another district.<sup>23</sup> A school board may also interview members of the public residing in another district if the board is considering employing that district's superintendent.

Similarly, meetings of a joint powers authority can occur within the territory of at least one of its member agencies, and a joint powers authority with members throughout the state may meet anywhere in the state.<sup>24</sup>

Finally, if a fire, flood, earthquake, or other emergency makes the usual meeting place unsafe, the presiding officer can designate another meeting place for the duration of the emergency. News media that have requested notice of meetings must be notified of the designation by the most rapid means of communication available.<sup>25</sup>



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**Endnotes:**

- 1 California Government Code section 54952.2(a)
- 2 California Government Code section 54954(a)
- 3 California Government Code section 54956
- 4 California Government Code section 54956.5
- 5 California Government Code section 54955
- 6 California Government Code section 54952.2(c)
- 7 California Government Code section 54952.2(c)(4)
- 8 California Government Code section 54952.2(c)(6)
- 9 “The Brown Act,” California Attorney General (2003), p. 10
- 10 California Government Code section 54952.2(b)(1)
- 11 *Stockton Newspaper Inc. v. Redevelopment Agency* (1985) 171 Cal.App.3d 95
- 12 California Government Code section 54952.2(b)(2)
- 13 *Common Cause v. Stirling* (1983) 147 Cal.App.3d 518
- 14 *Roberts v. City of Palmdale* (1993) 5 Cal.4th 363
- 15 California Government Code section 54957.5(a)
- 16 California Government Code section 54952.2(b)(2)
- 17 California Government Code section 54952.2; 43 Ops.Cal.Atty.Gen. 36 (1964)
- 18 California Government Code section 54953(b)(1)
- 19 California Government Code section 54953(b)(4)
- 20 California Government Code section 54953
- 21 California Government Code section 54954(b)
- 22 California Government Code section 54954(b)(1)-(7)
- 23 California Government Code section 54954(c)
- 24 California Government Code section 54954(d)
- 25 California Government Code section 54954(e)

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# CHAPTER 4:

## AGENDAS, NOTICES, AND PUBLIC PARTICIPATION



AGENDAS FOR REGULAR MEETINGS

MAILED AGENDA UPON WRITTEN REQUEST

NOTICE REQUIREMENTS FOR SPECIAL MEETINGS

NOTICES AND AGENDAS FOR ADJOURNED AND  
CONTINUED MEETINGS AND HEARINGS

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MEETINGS

EDUCATIONAL AGENCY MEETINGS

NOTICE REQUIREMENTS FOR TAX OR  
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NON-AGENDA ITEMS

RESPONDING TO THE PUBLIC

THE RIGHT TO ATTEND MEETINGS

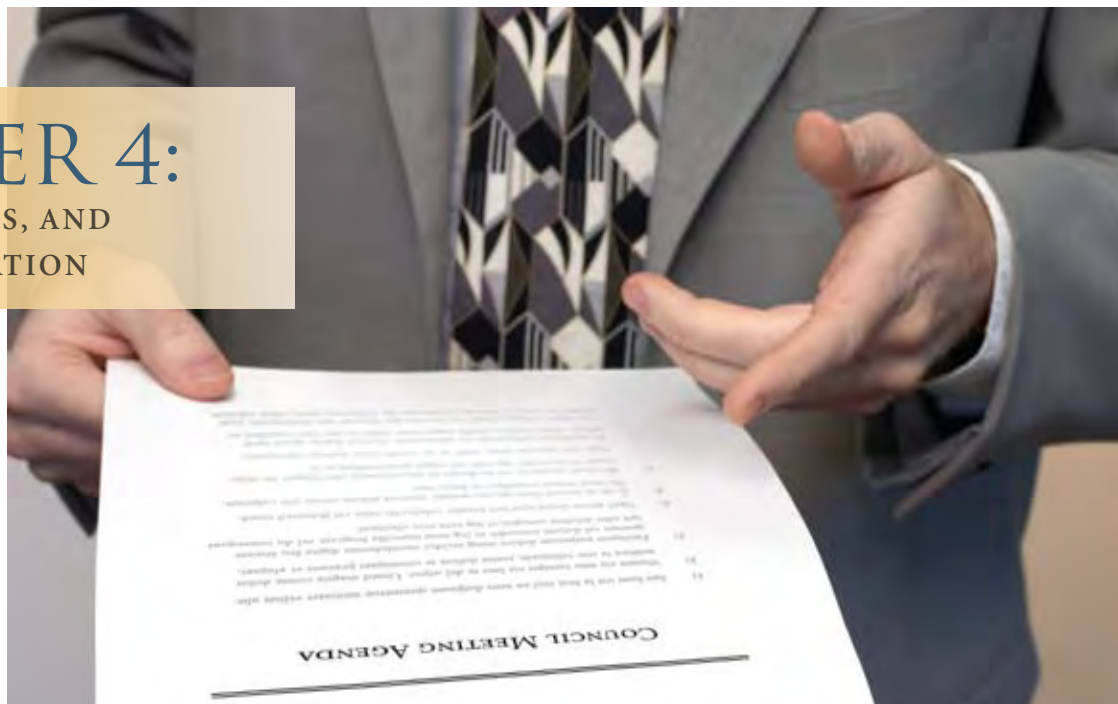
RECORDS AND RECORDINGS

THE PUBLIC'S PLACE ON THE AGENDA



# CHAPTER 4:

## AGENDAS, NOTICES, AND PUBLIC PARTICIPATION



Effective notice is essential for an open and public meeting. Whether a meeting is open or how the public may participate in that meeting is academic if nobody knows about the meeting.

### ■ AGENDAS FOR REGULAR MEETINGS

Every regular meeting of a legislative body of a local agency—including advisory committees, commissions, or boards, as well as standing committees of legislative bodies—must be preceded by a posted agenda that advises the public of the meeting and the matters to be transacted or discussed.

The agenda must be posted at least 72 hours before the regular meeting in a location “freely accessible to members of the public.”<sup>1</sup> The courts have not definitively interpreted the “freely accessible” requirement. The California Attorney General has interpreted this provision to require posting in locations accessible to the public 24 hours a day during the 72-hour period, but any of the 72 hours may fall on a weekend.<sup>2</sup> Posting may also be made on a touch screen electronic kiosk accessible without charge to the public 24 hours a day during the 72-hour period.<sup>3</sup> However, only posting an agenda on an agency’s Web site is inadequate since there is no universal access to the internet. The agenda must state the meeting time and place and must contain “a brief general description of each item of business to be transacted or discussed at the meeting, including items to be discussed in closed session.”<sup>4</sup>

#### **Practice Tip:**

Putting together a meeting agenda requires careful thought.

**Q.** The agenda for a regular meeting contains the following items of business:

- “Consideration of a report regarding traffic on Eighth Street”
- “Consideration of contract with ABC Consulting”

Are these descriptions adequate?

**A.** *If the first is, it is barely adequate. A better description would provide the reader with some idea of what the report is about and what is being recommended. The second is not adequate. A better description might read “consideration of a contract with ABC Consulting in the amount of \$50,000 for traffic engineering services regarding traffic on Eighth Street.”*

**Q.** The agenda includes an item entitled “City Manager’s Report,” during which time the city manager provides a brief report on notable topics of interest, none of which are listed on the agenda.

Is this permissible?

**A.** *Yes, so long as it does not result in extended discussion or action by the body.*

A brief general description may not be sufficient for closed session agenda items. The Brown Act provides safe harbor language for the various types of permissible closed sessions. Substantial compliance with the safe harbor language is recommended to protect legislative bodies and elected officials from legal challenges.

### ■ MAILED AGENDA UPON WRITTEN REQUEST

The legislative body, or its designee, must mail a copy of the agenda or, if requested, the entire agenda packet, to any person who has filed a written request for such materials. These copies shall be mailed at the time the agenda is posted. If requested, these materials must be made available in appropriate alternative formats to persons with disabilities.

A request for notice is valid for one calendar year and renewal requests must be filed Jan. 1 of each year. The legislative body may establish a fee to recover the cost of providing the service. Failure of the requesting person to receive the agenda does not constitute grounds for invalidation of actions taken at the meeting.<sup>5</sup>



### ■ NOTICE REQUIREMENTS FOR SPECIAL MEETINGS

There is no express agenda requirement for special meetings, but the notice of the special meeting effectively serves as the agenda and limits the business that may be transacted or discussed. Written notice must be sent to each member of the legislative body (unless waived in writing by that member) and to each local newspaper of general circulation, and radio or television station that has requested such notice in writing. This notice must be delivered by personal delivery or any other means that ensures receipt, at least 24 hours before the time of the meeting.

The notice must state the time and place of the meeting, as well as all business to be transacted or discussed. It is recommended that the business to be transacted or discussed be described in the same manner that an item for a regular meeting would be described on the agenda—with a brief general description. As noted above, closed session items should be described in accordance with the Brown Act’s safe harbor provisions to protect legislative bodies and elected officials from challenges of noncompliance with notice requirements. The special meeting notice must also be posted at least 24 hours prior to the special meeting in a site freely accessible to the public. The body cannot consider business not in the notice.<sup>6</sup>

### ■ NOTICES AND AGENDAS FOR ADJOURNED AND CONTINUED MEETINGS AND HEARINGS

A regular or special meeting can be adjourned and re-adjourned to a time and place specified in the order of adjournment.<sup>7</sup> If no time is stated, the meeting is continued to the hour for regular meetings. Whoever is present (even if they are less than a quorum) may so adjourn a meeting; if no member of the legislative body is present, the clerk or secretary may adjourn the meeting. If a meeting is adjourned for less than five calendar days, no new agenda need be posted so long as a new item of business is not introduced.<sup>8</sup> A copy of the order of adjournment must be posted within 24 hours after the adjournment, at or near the door of the place where the meeting was held.



A hearing can be continued to a subsequent meeting. The process is the same as for continuing adjourned meetings, except that if the hearing is continued to a time less than 24 hours away, a copy of the order or notice of continuance must be posted immediately following the meeting.<sup>9</sup>

### ■ NOTICE REQUIREMENTS FOR EMERGENCY MEETINGS

The special meeting notice provisions apply to emergency meetings, except for the 24-hour notice.<sup>10</sup> News media that have requested written notice of special meetings must be notified by telephone at least one hour in advance of an emergency meeting, and all telephone numbers provided in that written request must be tried. If telephones are not working, the notice requirements are deemed waived. However, the news media must be notified as soon as possible of the meeting and any action taken.

News media may make a practice of having written requests on file for notification of special or emergency meetings. Absent such a request, a local agency has no legal obligation to notify news media of special or emergency meetings—although notification may be advisable in any event to avoid controversy.

### ■ EDUCATIONAL AGENCY MEETINGS

The Education Code contains some special agenda and special meeting provisions,<sup>11</sup> however, they are generally consistent with the Brown Act. An item is probably void if not posted.<sup>12</sup> A school district board must also adopt regulations to make sure the public can place matters affecting district's business on meeting agendas and to address the board on those items.<sup>13</sup>

### ■ NOTICE REQUIREMENTS FOR TAX OR ASSESSMENT MEETINGS AND HEARINGS

The Brown Act prescribes specific procedures for adoption by a city, county, special district, or joint powers authority of any new or increased general tax or assessment.<sup>14</sup> At least one public meeting must be held to allow public testimony on the tax or assessment. In addition, there must also be at least 45 days notice of a public hearing at which public testimony may be given before the legislative body proposes to act on the tax or assessment. The agency may recover the reasonable costs of the public meetings, hearings, and notice.<sup>15</sup>

The Brown Act exempts certain fees, standby or availability charges, recurring assessments, and new or increased assessments that are subject to the notice and hearing requirements of the Constitution.<sup>16</sup> As a practical matter, the Constitution's notice requirements have preempted this section of the Brown Act.

### ■ NON-AGENDA ITEMS

The Brown Act generally prohibits any action or discussion of items not on the posted agenda. However, there are three specific situations in which a legislative body can act on an item not on the agenda:<sup>17</sup>

- When a majority decides there is an "emergency situation" (as defined for emergency meetings);
- When two-thirds of the members present (or all members if less than two-thirds are present) determine there is a need for immediate action and the need to take action "came to the attention of the local agency subsequent to the agenda being posted." This exception requires a degree of urgency. Further, an item cannot be considered under this provision if the legislative body or the staff knew about the need to take immediate action before the agenda was posted. A new need does not arise because staff forgot to put an item on the agenda or because an applicant missed a deadline; or
- When an item appeared on the agenda of, and was continued from, a meeting held not more than five days earlier.

#### **Practice Tip:**

Subject to very limited exceptions, the Brown Act prohibits any action or discussion of an item not on the posted agenda.



The exceptions are narrow, as indicated by this list. The first two require a specific determination by the legislative body. That determination can be challenged in court and, if unsubstantiated, can lead to invalidation of an action.

“I’d like a two-thirds vote of the board, so we can go ahead and authorize commencement of phase two of the East Area Project,” said Chair Lopez.

“It’s not on the agenda. But we learned two days ago that we finished phase one ahead of schedule—believe it or not—and I’d like to keep it that way. Do I hear a motion?”

*The desire to stay ahead of schedule generally would not satisfy “a need for immediate action.” Too casual an action could invite a court challenge by a disgruntled resident. The prudent course is to place an item on the agenda for the next meeting and not risk invalidation.*



“We learned this morning of an opportunity for a state grant,” said the chief engineer at the regular board meeting, “but our application has to be submitted in two days. We’d like the board to give us the go ahead tonight, even though it’s not on the agenda.”

*A legitimate immediate need can be acted upon even though not on the posted agenda by following a two-step process:*

- First, make two determinations: (a) that there is an immediate need to take action and (b) that the need arose after the posting of the agenda. The matter is then placed on the agenda.
- Second, discuss and act on the added agenda item.

## ■ RESPONDING TO THE PUBLIC

The public can talk about anything within the jurisdiction of the legislative body, but the legislative body generally cannot act on or discuss an item not on the agenda. What happens when a member of the public raises a subject not on the agenda?

While the Brown Act does not allow discussion or action on items not on the agenda, it does allow members of the legislative body, or its staff, to “briefly respond” to comments or questions from members of the public, provide a reference to staff or other resources for factual information, or direct staff to place the issue on a future agenda. In addition, even without a comment from the public, a legislative body member or a staff member may ask for information, request a report back, request to place a matter on the agenda for a subsequent meeting (subject to the body’s rules or procedures), ask a question for clarification, make a brief announcement, or briefly report on his or her own activities.<sup>18</sup> However, caution should be used to avoid any discussion or action on such items.

**Council Member A:** I would like staff to respond to Resident Joe’s complaints during public comment about the repaving project on Elm Street—are there problems with this project?

**City Manager:** The public works director has prepared a 45-minute power point presentation for you on the status of this project and will give it right now.

**Council Member B:** Take all the time you need; we need to get to the bottom of this. Our residents are unhappy.



*It is clear from this dialogue that the Elm Street project was not on the council's agenda, but was raised during the public comment period for items not on the agenda. Council Member A properly asked staff to respond; the city manager should have given at most a brief response. If a lengthy report from the public works director was warranted, the city manager should have stated that it would be placed on the agenda for the next meeting. Otherwise, both the long report and the likely discussion afterward will improperly embroil the council in a matter that is not listed on the agenda.*

## ■ THE RIGHT TO ATTEND AND OBSERVE MEETINGS

A number of other Brown Act provisions protect the public's right to attend, observe, and participate in meetings.

Members of the public cannot be required to register their names, provide other information, complete a questionnaire, or otherwise "fulfill any condition precedent" to attending a meeting. Any attendance list, questionnaire, or similar document posted at or near the entrance to the meeting room or circulated at a meeting must clearly state that its completion is voluntary and that all persons may attend whether or not they fill it out.<sup>19</sup>

No meeting can be held in a facility that prohibits attendance based on race, religion color, national origin, ethnic group identification, age, sex, sexual orientation, or disability, or that is inaccessible to the disabled. Nor can a meeting be held where the public must make a payment or purchase in order to be present.<sup>20</sup> This does not mean however that the public is entitled to free entry to a conference attended by a majority of the legislative body.<sup>21</sup>

While a legislative body may use teleconferencing in connection with a meeting, the public must be given notice of and access to the teleconference location. Members of the public must be able to address the legislative body from the teleconference location.<sup>22</sup>

Action by secret ballot, whether preliminary or final, is flatly prohibited.<sup>23</sup>

**Q:** The agenda calls for election of the legislative body's officers. Members of the legislative body want to cast unsigned written ballots that would be tallied by the clerk, who would announce the results. Is this voting process permissible?

**A:** *No. The possibility that a public vote might cause hurt feelings among members of the legislative body or might be awkward—or even counterproductive—does not justify a secret ballot.*

There can be no semi-closed meetings, in which some members of the public are permitted to attend as spectators while others are not; meetings are either open or closed.<sup>24</sup>

The legislative body may remove persons from a meeting who willfully interrupt proceedings. If order still cannot be restored, the meeting room may be cleared. Members of the news media who have not participated in the disturbance must be allowed to continue to attend the meeting. The legislative body may establish a procedure to re-admit an individual or individuals not responsible for the disturbance.<sup>25</sup>



## ■ RECORDS AND RECORDINGS

The public has the right to review agendas and other writings distributed by any person to a majority of the legislative body in connection with a matter subject to discussion or consideration at a meeting. Except for privileged documents, those materials are public records and must be made available upon request without delay.<sup>26</sup> A fee or deposit as permitted by the California Public Records Act may be charged for a copy of a public record.<sup>27</sup>

**Q:** In connection with an upcoming hearing on a discretionary use permit, counsel for the legislative body transmits a memorandum to all members of the body outlining the litigation risks in granting or denying the permit. Must this memorandum be included in the packet of agenda materials available to the public?

**A:** *No. The memorandum is a privileged attorney-client communication.*

**Q:** In connection with an agenda item calling for the legislative body to approve a contract, staff submits to all members of the body a financial analysis explaining why the terms of the contract favor the local agency. Must this memorandum be included in the packet of agenda materials available to the public?

**A:** *Yes. The memorandum has been distributed to the majority of the legislative body, relates to the subject matter of a meeting, and is not a privileged communication.*

A legislative body may discuss or act on some matters without considering written materials. But if writings are distributed to a majority of a legislative body in connection with an agenda item, they must also be available to the public. A writing distributed to a majority of the legislative body less than 72 hours before the meeting must be made available for inspection at the time of distribution at a public office or location designated for that purpose; and the agendas for all meetings of the legislative body must include the address of this office or location.<sup>28</sup> A writing distributed during a meeting must be made public:

- At the meeting if prepared by the local agency or a member of its legislative body; or
- After the meeting if prepared by some other person.<sup>29</sup>

Any tape or film record of an open and public meeting made for whatever purpose by or at the direction of the local agency is subject to the Public Records Act; however, it may be erased or destroyed 30 days after the taping or recording. Any inspection of a video or tape recording is to be provided without charge on a video or tape player made available by the local agency.<sup>30</sup> The agency may impose its ordinary charge for copies.<sup>31</sup>

In addition, the public is specifically allowed to use audio or video tape recorders or still or motion picture cameras at a meeting to record the proceedings, absent a reasonable finding by the legislative body that noise, illumination, or obstruction of view caused by recorders or cameras would persistently disrupt the proceedings.<sup>32</sup>

Similarly, a legislative body cannot prohibit or restrict the public broadcast of its open and public meetings without making a reasonable finding that the noise, illumination, or obstruction of view would persistently disrupt the proceedings.<sup>33</sup>



## ■ THE PUBLIC'S PLACE ON THE AGENDA

Every agenda for a regular meeting must allow members of the public to speak on any item of interest, so long as the item is within the subject matter jurisdiction of the legislative body. Further, the public must be allowed to speak on a specific item of business before or during the legislative body's consideration of it.<sup>34</sup>

**Q.** Must the legislative body allow members of the public to show videos or make a power point presentation during the public comment part of the agenda, as long as the subject matter is relevant to the agency and is within the established time limit?

**A.** *Probably, although the agency is under no obligation to provide equipment.*

### **Practice Tip:**

Public speakers cannot be compelled to give their name or address as a condition of speaking. The clerk or presiding officer may request speakers to complete a speaker card or identify themselves for the record, but must respect a speaker's desire for anonymity.

Moreover, the legislative body cannot prohibit public criticism of policies, procedures, programs, or services of the agency or the acts or omissions of the legislative body itself. But, the Brown Act provides no immunity for defamatory statements.<sup>35</sup>

**Q.** May the presiding officer prohibit a member of the audience from publicly criticizing an agency employee by name during public comments?

**A.** *No, as long as the criticism pertains to job performance.*

**Q.** During the public comment period of a regular meeting of the legislative body, a resident urges the public to support and vote for a candidate vying for election to the body. May the presiding officer gavel the speaker out of order for engaging in political campaign speech?

**A.** *There is no case law on this subject. Some would argue that campaign issues are outside the subject matter jurisdiction of the body within the meaning of Section 54954.3(a). Others take the view that the speech must be allowed under paragraph (c) of that section because it is relevant to the governing of the agency and an implicit criticism of the incumbents.*

The legislative body may adopt reasonable regulations, including time limits, on public comments. Such regulations should be enforced fairly and without regard to speakers' viewpoints. The legislative body has discretion to modify its regulations regarding time limits on public comment if necessary. For example, the time limit could be shortened to accommodate a lengthy agenda or lengthened to allow additional time for discussion on a complicated matter.<sup>36</sup>

The public does not need to be given an opportunity to speak on an item that has already been considered by a committee made up exclusively of members of the legislative body at a public meeting, if all interested members of the public had the opportunity to speak on the item before or during its consideration, and if the item has not been substantially changed.<sup>37</sup>

Notices and agendas for special meetings must also give members of the public the opportunity to speak before or during consideration of an item on the agenda but need not allow members of the public an opportunity to speak on other matters within the jurisdiction of the legislative body.<sup>38</sup>

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## Endnotes

- 1 California Government Code section 54954.2(a)(1)
- 2 78 Ops.Cal.Atty.Gen. 327 (1995)
- 3 88 Ops.Cal.Atty.Gen. 218 (2005)
- 4 California Government Code section 54954.2(a)(1)
- 5 California Government Code section 54954.1
- 6 California Government Code section 54956
- 7 California Government Code section 54955
- 8 California Government Code section 54954.2(b)(3)
- 9 California Government Code section 54955.1
- 10 California Government Code section 54956.5
- 11 Education Code sections 35144, 35145 and 72129
- 12 *Carlson v. Paradise Unified School District* (1971) 18 Cal.App.3d 196
- 13 California Education Code section 35145.5
- 14 California Government Code section 54954.6
- 15 California Government Code section 54954.6(g)
- 16 See: Cal.Const.Art.XIIIC, XIIID and California Government Code section 54954.6(h)
- 17 California Government Code section 54954.2(b)
- 18 California Government Code section 54954.2(a)(2)
- 19 California Government Code section 54953.3
- 20 California Government Code section 54961(a); California Government Code section 11135(a)
- 21 California Government Code section 54952.2(c)(2)
- 22 California Government Code section 54953(b)
- 23 California Government Code section 54953(c)
- 24 46 Ops.Cal.Atty.Gen. 34 (1965)
- 25 California Government Code section 54957.9
- 26 California Government Code section 54957.5
- 27 California Government Code section 54957.5(d)
- 28 California Government Code section 54957.5(b)
- 29 California Government Code section 54957.5(c)
- 30 California Government Code section 54953.5(b)
- 31 California Government Code section 54957.5(d)
- 32 California Government Code section 54953.5(a)
- 33 California Government Code section 54953.6
- 34 California Government Code section 54954.3(a)
- 35 California Government Code section 54954.3(c)
- 36 California Government Code section 54954.3(b); *Chaffee v. San Francisco Public Library Com.* (2005) 134 Cal. App.4th 109; 75 Ops.Cal.Atty.Gen. 89 (1992)
- 37 California Government Code section 54954.3(a)
- 38 California Government Code section 54954.3(a)

Updates to this publication responding to changes in the Brown Act or new court interpretations are available at [www.cacities.org/opengovernment](http://www.cacities.org/opengovernment). A current version of the Brown Act may be found at [www.leginfo.ca.gov](http://www.leginfo.ca.gov).





# CHAPTER 5:

## CLOSED SESSIONS



AGENDAS AND REPORTS

LITIGATION

REAL ESTATE NEGOTIATIONS

PUBLIC EMPLOYMENT

LABOR NEGOTIATIONS

LABOR NEGOTIATIONS—SCHOOL AND  
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OTHER EDUCATION CODE EXCEPTIONS

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THE CONFIDENTIALITY OF CLOSED SESSION  
DISCUSSIONS



# CHAPTER 5:

## CLOSED SESSIONS



The Brown Act begins with a strong statement in favor of open meetings; private discussions among a majority of a legislative body are prohibited, unless expressly authorized under the Brown Act. It is not enough that a subject is sensitive, embarrassing, or controversial. Without specific authority in the Brown Act for a closed session, a matter must be discussed in public. As an example, a board of police commissioners cannot generally meet in closed session, even though some matters are sensitive and the commission considers their disclosure contrary to the public interest.<sup>1</sup>

### **Practice Tip:**

Meetings are either open or closed. There is no “in between.”

Meetings of a legislative body are either fully open or fully closed; there is nothing in between. Closed sessions may involve only the members of the legislative body and only agency counsel, management and support staff, and consultants necessary for consideration of the matter that is the subject of closed session. Individuals who do not have an official role in advising the legislative body on closed session subject matters must be excluded from closed session discussions.<sup>2</sup>

**Q.** May the lawyer for someone suing the agency attend a closed session in order to explain to the legislative body why it should accept a settlement offer?

**A.** *No, attendance in closed sessions is reserved exclusively for the agency’s advisors.*

In general, the most common purpose of a closed session is to avoid revealing confidential information that may, in specified circumstances, prejudice the legal or negotiating position of the agency or compromise the privacy interests of employees. Closed sessions should be conducted keeping those narrow purposes in mind.

In this chapter, the grounds for convening a closed session are called “exceptions” because they are exceptions to the general rule that meetings must be conducted openly. In some circumstances, none of the closed session exceptions apply to an issue or information the legislative body wishes to discuss privately. In these cases, it is not proper to convene a closed session, even to protect confidential information. For example, the Brown Act does not authorize closed sessions for general contract negotiations.

## ■ AGENDAS AND REPORTS

Closed session items must be briefly described on the posted agenda and the description must state the specific statutory exemption. An item that appears on the open meeting portion of the agenda may not be taken into closed session until it has been properly agendized as a closed session or unless it is properly added as a closed session item by a two-thirds vote of the body after making the appropriate urgency findings.

The Brown Act supplies a series of fill-in-the-blank sample, agenda descriptions for various types of authorized closed sessions, which provide a “safe harbor” from legal attacks. These sample agenda descriptions cover license and permit determinations, real property negotiations, existing or anticipated litigation, liability claims, threats to security, public employee appointments, evaluations and discipline, labor negotiations, multi-jurisdictional drug cases, hospital boards of directors, and medical quality assurance committees.<sup>3</sup>

If the legislative body intends to convene in closed session, it must include the section of the Brown Act authorizing the closed session in advance on the agenda and it must make a public announcement prior to the closed session discussion. In most cases, the announcement may simply be a reference to the agenda item.<sup>4</sup>

Following a closed session the legislative body must provide an oral or written report on certain actions taken and the vote of every elected member present. The timing and content of the report varies according to the reason for the closed session.<sup>5</sup> The announcements may be made at the site of the closed session, so long as the public is allowed to be present to hear them.

If there is a standing or written request for documentation, any copies of contracts, settlement agreements, or other documents finally approved or adopted in closed session must be provided to the requestor(s) after the closed session, if final approval of such documents does not rest with any other party to the contract or settlement. If substantive amendments to a contract or settlement agreement approved by all parties requires retyping, such documents may be held until retyping is completed during normal business hours, but the substance of the changes must be summarized for any person inquiring about them.<sup>6</sup>

The Brown Act does not require minutes, including minutes of closed session. A confidential “minute book” may be kept to record actions taken at closed sessions.<sup>7</sup> If one is kept, it must be made available to members of the legislative body, provided that the member asking to review minutes of a particular meeting was not disqualified from attending the meeting due to a conflict of interest.<sup>8</sup> A court may order the disclosure of minute books for the court’s review if a lawsuit makes sufficient claims of an open meeting violation.

### ***Practice Tip:***

Some problems over closed sessions arise because secrecy itself breeds distrust. The Brown Act does not require closed sessions and legislative bodies may do well to resist the tendency to call a closed session simply because it may be permitted. A better practice is to go into closed session only when necessary.

### ***Practice Tip:***

Pay close attention to closed session agenda descriptions. Using the wrong label can lead to invalidation of an action taken in closed session.



## ■ LITIGATION

There is an attorney/client relationship, and legal counsel may use it for privileged written and verbal communications—outside of meetings—to members of the legislative body. But protection of the attorney/client privilege cannot by itself be the reason for a closed session.<sup>9</sup>

The Brown Act expressly authorizes closed sessions to discuss what is considered litigation. The rules that apply to holding a litigation closed session involve complex, technical definitions and procedures. The essential thing to know is that a closed session can be held by the body to confer with, or receive advice from, its legal counsel when open discussion would prejudice the position of the local agency in litigation in which the agency is a party.<sup>10</sup> The litigation exception under the Brown Act is narrowly construed and does not permit activities beyond a legislative body's conferring with its own legal counsel. For example, it is not permissible to hold a closed session in which settlement negotiations take place between a legislative body and an adverse party or to hold a closed session for the purpose of participation in a mediation.<sup>11</sup>

The California Attorney General believes that if the agency's attorney is not a participant, a litigation closed session cannot be held.<sup>12</sup> In any event, local agency officials should always consult the agency's attorney before placing this type of closed session on the agenda, in order to be certain that it is being done properly.

Litigation that may be discussed in closed session includes the following three types of matters:

### *Existing litigation*

- Q.** May the legislative body agree to settle a lawsuit in a properly-noticed closed session, without placing the settlement agreement on an open session agenda for public approval?
- A.** *Yes, but the settlement agreement is a public document and must be disclosed on request. Furthermore, a settlement agreement cannot commit the agency to matters that are required to have public hearings.*

In general, the most common purpose of a closed session is to avoid revealing confidential information that may, in specified circumstances, prejudice the legal or negotiating position of the agency or compromise the privacy interests of employees. Closed sessions should be conducted keeping those narrow purposes in mind.

Grounds for convening a closed session in this chapter are called "exceptions" because they are exceptions to the general rule that meetings must be conducted openly. In some circumstances, none of the closed session exceptions apply to an issue or information the legislative body wishes to discuss privately. It is improper in these cases, to convene a closed session, even to protect confidential information. For example, the Brown Act does not authorize closed sessions for general contract negotiations.

Existing litigation includes any adjudicatory proceedings before a court, administrative body exercising its adjudicatory authority, hearing officer, or arbitrator. The clearest situation in which a closed session is authorized is when the local agency meets with its legal counsel to discuss a pending matter that has been filed in a court or with an administrative agency and names the local agency as a party. The legislative body may meet under these circumstances to receive updates on the case from attorneys, participate in developing strategy as the case develops, or to consider alternatives for resolution of the case. Generally, an agreement to settle litigation may be approved in closed session. However, an agreement to settle litigation that requires actions that are subject to public hearings cannot be approved in closed session.<sup>13</sup>

### ***Threatened litigation against the local agency***

Closed sessions are authorized for legal counsel to inform the legislative body of specific facts and circumstances that suggest that the local agency has significant exposure to litigation. The Brown Act lists six separate categories of such facts and circumstances.<sup>14</sup> The legislative body may also meet under this exception to determine whether a closed session is authorized based on information provided by legal counsel or staff.

### ***Initiation of litigation by the local agency***

A closed session may be held under the pending litigation exception when the legislative body seeks legal advice on whether to protect the agency's rights and interests by initiating litigation.

In certain cases, the circumstances and facts justifying the closed session must be publicly noticed on the agenda or announced at an open meeting. Before holding a closed session under the pending litigation exception, the legislative body must publicly state which of the three basic situations apply. It may do so simply by making a reference to the posted agenda.

Certain actions must be reported in open session at the same meeting following the closed session. Other actions, as where final approval rests with another party or the court, may be announced when they become final and upon inquiry of any person. Each agency attorney should be aware of and should make other disclosures that may be required in specific instances.



## **■ REAL ESTATE NEGOTIATIONS**

A legislative body may meet in closed session with its negotiator to discuss the purchase, sale, exchange, or lease of real property by or for the local agency. A "lease" includes a lease renewal or renegotiation. The purpose is to grant authority to the legislative body's negotiator on price and terms of payment.<sup>15</sup> Caution should be exercised to limit discussion to price and terms of payment without straying to other related issues such as site design, architecture, or other aspects of the project for which the transaction is contemplated.<sup>16</sup>

**Q.** May other terms of a real estate transaction, aside from price and terms of payment, be addressed in closed session?

**A.** *No. However, there are differing opinions over the scope of the phrase "price and terms of payment" in connection with real estate closed sessions. Many agency attorneys believe that any term that directly affects the economic value of the transaction falls within the ambit of "price and terms of payment." Others take a narrower, more literal view of the phrase.*

The agency's negotiator may be a member of the legislative body itself. Prior to the closed session, or on the agenda, the legislative body must identify its negotiator, the real property that the negotiations may concern and the names of the persons with whom its negotiator may negotiate.<sup>17</sup>

After real estate negotiations are concluded, the approval and substance of the agreement must be reported. If its own approval makes the agreement final, the body must report in open session at the public meeting during which the closed session is held. If final approval rests with another party, the local agency must report the approval as soon as informed of it. Once final, the substance of the agreement must be disclosed to anyone who inquires.





“Our population is exploding, and we have to think about new school sites,” said Board Member Jefferson.

“Not only that,” interjected Board Member Tanaka, “we need to get rid of a couple of our older facilities.”

“Well, obviously the place to do that is in a closed session,” said Board Member O’Reilly. “Otherwise we’re going to set off land speculation. And if we even mention closing a school, parents are going to be in an uproar.”

*A closed session to discuss potential sites is not authorized by the Brown Act. The exception is limited to meeting with its negotiator over specific sites—which must be identified at an open and public meeting.*

## ■ PUBLIC EMPLOYMENT

The Brown Act authorizes a closed session “to consider the appointment, employment, evaluation of performance, discipline, or dismissal of a public employee or to hear complaints or charges brought against the employee.”<sup>18</sup> The purpose of this exception—commonly referred to as the “personnel exception”—is to avoid undue publicity or embarrassment for an employee or applicant for employment and to allow full and candid discussion by the legislative body; thus, it is restricted to discussing individuals, not general personnel policies.<sup>19</sup> The body must possess the power to appoint, evaluate, or dismiss the employee to hold a closed session under this exception.<sup>20</sup> That authority may be delegated to a subsidiary appointed body.<sup>21</sup>

An employee must be given at least 24 hours notice of any closed session convened to hear specific complaints or charges against him or her. This occurs when the legislative body is reviewing evidence, which could include live testimony, and adjudicating conflicting testimony offered as evidence. The employee has the right to have the specific complaints and charges discussed in a public session rather than closed session.<sup>22</sup> If the employee is not given notice, any disciplinary action is null and void.<sup>23</sup>

### **Practice Tip:**

Discussions of who to appoint to an advisory body and whether or not to censure a fellow member of the legislative body must be held in the open.

- Q.** Must 24 hours notice be given to an employee whose negative performance evaluation is to be considered by the legislative body in closed session?
- A.** *No, the notice is reserved for situations where the body is to hear complaints and charges from witnesses.*

However, an employee is not entitled to notice and a hearing where the purpose of the closed session is to consider a performance evaluation. The Attorney General and the courts have determined that personnel performance evaluations do not constitute complaints and charges, which are more akin to accusations made against a person.<sup>24</sup>

Correct labeling of the closed session on the agenda is critical. A closed session agenda that identified discussion of an employment contract was not sufficient to allow dismissal of an employee.<sup>25</sup> An incorrect agenda description can result in invalidation of an action and much embarrassment.

For purposes of the personnel exception, “employee” specifically includes an officer or an independent contractor who functions as an officer or an employee. Examples of the former include a city manager, district general manager or superintendent. An example of the latter is a legal counsel or engineer hired on contract to act as local agency attorney or chief engineer.

Elected officials, appointees to the governing body or subsidiary bodies, and independent contractors other than those discussed above are not employees for purposes of the personnel exception.<sup>26</sup> Action on individuals who are not “employees” must also be public—including discussing and voting on appointees to committees, or debating the merits of independent contractors, or considering a complaint against a member of the legislative body itself.

The personnel exception specifically prohibits discussion or action on proposed compensation in closed session, except for a disciplinary reduction in pay. Among other things, that means there can be no personnel closed sessions on a salary change (other than a disciplinary reduction) between any unrepresented individual and the legislative body. However, a legislative body may address the compensation of an unrepresented individual, such as a city manager, in a closed session as part of a labor negotiation (discussed later in this chapter), yet another example of the importance of using correct agenda descriptions.

Reclassification of a job must be public, but an employee’s ability to fill that job may be considered in closed session. Any closed session action to appoint, employ, dismiss, accept the resignation of, or otherwise affect the employment status of a public employee must be reported at the public meeting during which the closed session is held. That report must identify the title of the position, but not the names of all persons considered for an employment position.<sup>27</sup> However, a report on a dismissal or non-renewal of an employment contract must be deferred until administrative remedies, if any, are exhausted.<sup>28</sup>

**“I have some important news to announce,” said Mayor Garcia. “We’ve decided to terminate the contract of the city manager, effective immediately. The council has met in closed session and we’ve negotiated six months severance pay.”**

**“Unfortunately, that has some serious budget consequences, so we’ve had to delay phase two of the East Area Project.”**

*This may be an improper use of the personnel closed session if the council agenda described the item as the city manager’s evaluation. In addition, other than labor negotiations, any action on individual compensation must be taken in open session. Caution should be exercised to not discuss in closed session issues, such as budget impacts in this hypothetical, beyond the scope of the posted closed session notice.*

- Q.** The school board is meeting in closed session to evaluate the superintendent and to consider giving her a pay raise. May the superintendent attend the closed session?
- A.** *The superintendent may attend the portion of the closed session devoted to her evaluation, but may not be present during discussion of her pay raise. Discussion of the superintendent’s compensation in closed session is limited to giving direction to the school board’s negotiator. Also, the clerk should be careful to notice the closed session on the agenda as both an evaluation and a labor negotiation.*

### **Practice Tip:**

The personnel exception specifically prohibits discussion or action on proposed compensation in closed session except for a disciplinary reduction in pay.



## ■ LABOR NEGOTIATIONS

The Brown Act allows closed sessions for some aspects of labor negotiations. Different provisions (discussed below) apply to school and community college districts.

A legislative body may meet in closed session to instruct its bargaining representatives, which may be one or more of its members,<sup>29</sup> on employee salaries and fringe benefits for both union and non-union employees. For represented employees, it may also consider working conditions that by law require negotiation. These sessions may take place before or during negotiations with employee representatives. Prior to the closed session, the legislative body must hold an open and public session in which it identifies its designated representatives.

During its discussions with representatives on salaries and fringe benefits, the legislative body may also discuss available funds and funding priorities, but only to instruct its representative. The body may also meet in closed session with a conciliator who has intervened in negotiations.<sup>30</sup>

The approval of an agreement concluding labor negotiations with represented employees must be reported after the agreement is final and has been accepted or ratified by the other party. The report must identify the item approved and the other party or parties to the negotiation.<sup>31</sup> The labor sessions specifically cannot include final action on proposed compensation of one or more unrepresented employees. For purposes of this prohibition, an “employee” includes an officer or an independent contractor who functions as an officer or an employee. Independent contractors who do not serve in the capacity of an officer or employee are not covered by this closed session exception.

## ■ LABOR NEGOTIATIONS—SCHOOL AND COMMUNITY COLLEGE DISTRICTS

Employee relations for school districts and community college districts are governed by the Rodda Act, where different meeting and special notice provisions apply. The entire board, for example, may negotiate in closed sessions.

Four types of meetings are exempted from compliance with the Rodda Act:

- (1) A negotiating session with a recognized or certified employee organization;
- (2) A meeting of a mediator with either side;
- (3) A hearing or meeting held by a fact finder or arbitrator; and
- (4) A session between the board and its bargaining agent, or the board alone, to discuss its position regarding employee working conditions and instruct its agent.<sup>32</sup>

Public participation under the Rodda Act also takes another form.<sup>33</sup> All initial proposals of both sides must be presented at public meetings and are public records. The public must be given reasonable time to inform itself and to express its views before the district may adopt its initial proposal. In addition, new topics of negotiations must be made public within 24 hours. Any votes on such a topic must be followed within 24 hours by public disclosure of the vote of each member.<sup>34</sup> The final vote must be in public.

### **Practice Tip:**

Prior to the closed session, the legislative body must hold an open and public session in which it identifies its designated representatives.



## ■ OTHER EDUCATION CODE EXCEPTIONS

The Education Code governs student disciplinary meetings by boards of school districts and community college districts. District boards may hold a closed session to consider the suspension or discipline of a student, if a public hearing would reveal personal, disciplinary, or academic information about the student contrary to state and federal pupil privacy law. The student's parent or guardian may request an open meeting.<sup>35</sup>

Community college districts may also hold closed sessions to discuss some student disciplinary matters, awarding of honorary degrees, or gifts from donors who prefer to remain anonymous.<sup>36</sup> Kindergarten through 12th grade districts may also meet in closed session to review the contents of the statewide assessment instrument.<sup>37</sup>

## ■ GRAND JURY TESTIMONY

A legislative body, including its members as individuals, may testify in private before a grand jury, either individually or as a group.<sup>38</sup> Attendance by the entire legislative body before a grand jury would not constitute a closed session meeting under the Brown Act, since the body would not be meeting to make decisions or reach a consensus on issues within the body's subject matter jurisdiction.

## ■ LICENSE APPLICANTS WITH CRIMINAL RECORDS

A closed session is permitted when an applicant, who has a criminal record, applies for a license or license renewal and the legislative body wishes to discuss whether the applicant is sufficiently rehabilitated to receive the license. If the body decides to deny the license, the applicant may withdraw the application. If the applicant does not withdraw, the body must deny the license in public, immediately or at its next meeting. No information from the closed session can be revealed without consent of the applicant, unless the applicant takes action to challenge the denial.<sup>39</sup>

## ■ PUBLIC SECURITY

Legislative bodies may meet in closed session to discuss matters posing a threat to the security of public buildings, essential public services, including water, sewer, gas, or electric service, or to the public's right of access to public services or facilities over which the legislative body has jurisdiction. Closed session meetings for these purposes must be held with designated security or law enforcement officials including the Attorney General, district attorney, agency attorney, sheriff or chief of police, or their deputies or agency security consultant or security operations manager.<sup>40</sup> Action taken in closed session with respect to such public security issues is not reportable action.

## ■ MULTIJURISDICTIONAL DRUG LAW ENFORCEMENT AGENCY

A joint powers agency formed to provide drug law enforcement services to multiple jurisdictions may hold closed sessions to discuss case records of an on-going criminal investigation, to hear testimony from persons involved in the investigation, and to discuss courses of action in particular cases.<sup>41</sup>

The exception applies to the legislative body of the joint powers agency and to any body advisory to it. The purpose is to prevent impairment of investigations, to protect witnesses and informants, and to permit discussion of effective courses of action.<sup>42</sup>

### ***Practice Tip:***

Attendance by the entire legislative body before a grand jury would not constitute a closed session meeting under the Brown Act.



## ■ HOSPITAL PEER REVIEW AND TRADE SECRETS

Two specific kinds of closed sessions are allowed for district hospitals and municipal hospitals, under other provisions of law.<sup>43</sup>

1. A meeting to hear reports of hospital medical audit or quality assurance committees, or for related deliberations. However, an applicant or medical staff member whose staff privileges are the direct subject of a hearing may request a public hearing.
2. A meeting to discuss “reports involving trade secrets”—provided no action is taken.

A “trade secret” is defined as information which is not generally known to the public or competitors and which: (1) “derives independent economic value, actual or potential” by virtue of its restricted knowledge; (2) is necessary to initiate a new hospital service or program or facility; and (3) would, if prematurely disclosed, create a substantial probability of depriving the hospital of a substantial economic benefit.

The provision prohibits use of closed sessions to discuss transitions in ownership or management, or the district’s dissolution.<sup>44</sup>

## ■ THE CONFIDENTIALITY OF CLOSED SESSION DISCUSSIONS

It is not uncommon for agency officials to complain that confidential information is being leaked from closed sessions. The Brown Act prohibits the disclosure of confidential information acquired in a closed session by any person present and offers various remedies to address willful breaches of confidentiality.<sup>45</sup>

It is incumbent upon all those attending lawful closed sessions to protect the confidentiality of those discussions. One court has held that members of a legislative body cannot be compelled to divulge the content of closed session discussions through the discovery process.<sup>46</sup> Only the legislative body acting as a body may agree to divulge confidential closed session information; regarding attorney/client privileged communications, the entire body is the holder of the privilege and only the entire body can decide to waive the privilege.<sup>47</sup>

Before adoption of the Brown Act provision specifically prohibiting disclosure of closed session communications, agency attorneys and the Attorney General long believed that officials have a fiduciary duty to protect the confidentiality of closed session discussions. The Attorney General issued an opinion that it is “improper” for officials to disclose information received during a closed session regarding pending litigation,<sup>48</sup> though the Attorney General has also concluded that a local agency may not go so far as to adopt an ordinance criminalizing public disclosure of closed session discussions.<sup>49</sup> In any event, the Brown Act now prescribes remedies for breaches of confidentiality. These include injunctive relief, disciplinary action against an employee, and referral of a member of the legislative body to the grand jury.<sup>50</sup>

The duty of maintaining confidentiality, of course, must give way to the obligation to disclose improper matters or discussions that may come up in closed sessions. In recognition of this public policy, the Brown Act exempts from its prohibition against disclosure of closed session communications disclosure of closed session information to the district attorney or the grand jury due to a perceived violation of law, expressions of opinion concerning the propriety or legality of actions taken in closed session, including disclosure of the nature and extent of the illegal action, and disclosing information that is not confidential.<sup>51</sup>

### **Practice Tip:**

There is a strong interest in protecting the confidentiality of proper and lawful closed sessions.

The interplay between these possible sanctions and an official's first amendment rights is complex and beyond the scope of this guide. Suffice it to say that this is a matter of great sensitivity and controversy.

"I want the press to know that I voted in closed session against filing the eminent domain action," said Council Member Chang.

"Don't settle too soon," reveals Council Member Watson to the property owner, over coffee.

"The city's offer coming your way is not our bottom line."

*The first comment to the press is appropriate—the Brown Act requires that certain final votes taken in closed session be reported publicly.<sup>52</sup> The second comment to the property owner is not—disclosure of confidential information acquired in closed session is expressly prohibited and harmful to the agency.*

---

## Endnotes

- 1 61 Ops.Cal.Atty.Gen. 220 (1978)
- 2 82 Ops.Cal.Atty.Gen. 29 (1999)
- 3 California Government Code section 54954.5
- 4 California Government Code sections 54956.9 and 54957.7
- 5 California Government Code section 54957.1(a)
- 6 California Government Code section 54957.1(b)
- 7 California Government Code section 54957.2
- 8 *Hamilton v. Town of Los Gatos* (1989) 213 Cal.App.3d 1050; 2 Cal.Code Regs. section 18702.1(c)
- 9 *Roberts v. City of Palmdale* (1993) 5 Cal.4th 363
- 10 California Government Code section 54956.9; *Shapiro v. Board of Directors of Center City Development Corp.* (2005) 134 Cal.App.4th 170 (agency must be a party to the litigation).
- 11 *Page v. Miracosta Community College District* (2009) 180 Cal.App.4th 471
- 12 "The Brown Act," California Attorney General (2003), p. 40
- 13 *Trancas Property Owners Association v. City of Malibu* (2006) 138 Cal.App.4th 172
- 14 Government Code section 54956.9(b)
- 15 California Government Code section 54956.8
- 16 *Shapiro v. San Diego City Council* (2002) 96 Cal.App.4th 172; see also \_\_\_ Ops.Cal.Atty.Gen. \_\_\_ (May 21, 2010) (2010 WL 2150433) (concluding it is impermissible for a redevelopment agency to meet in closed session to discuss the terms of a rehabilitation loan to a business that was leasing property from the agency when the terms and conditions of the lease itself were not also a matter of discussion.)
- 17 California Government Code section 54956.8
- 18 California Government Code section 54957(b)
- 19 63 Ops.Cal.Atty.Gen. 215 (1980); but see: *Duvall v. Board of Trustees* (2000) 93 Cal.App.4th 902 (board may discuss personnel evaluation criteria, process and other preliminary matters in closed session).
- 20 *Gillespie v. San Francisco Public Library Commission* (1998) 67 Cal.App.4th 1165; 85 Ops.Cal.Atty.Gen. 77 (2002)
- 21 *Gillespie v. San Francisco Public Library Commission* (1998) 67 Cal.App.4th 1165; 80 Ops.Cal.Atty.Gen. 308 (1997). Interviews of candidates to fill a vacant staff position conducted by a temporary committee appointed by the governing body may be done in closed session.
- 22 *Morrison v. Housing Authority of the City of Los Angeles* (2003) 107 Cal.App.4th 860
- 23 California Government Code section 54957
- 24 78 Ops.Cal.Atty.Gen. 218 (1995); *Bell v. Vista Unified School District* (2000) 82 Cal.App.4th 672; *Furtado v. Sierra Community College* (1998) 68 Cal.App.4th 876; *Fischer v. Los Angeles Unified School District* (1999) 70 Cal.App.4th 87
- 25 *Moreno v. City of King* (2005) 127 Cal.App.4th 17
- 26 California Government Code section 54957
- 27 *Gillespie v. San Francisco Public Library Commission* (1998) 67 Cal.App.4th 1165
- 28 California Government Code section 54957.1(a)(5)

- 29 California Government Code section 54957.6
- 30 57 Ops.Cal.Atty.Gen. 209 (1974)
- 31 California Government Code section 54957.1(a)(6)
- 32 California Government Code section 3549.1
- 33 California Government Code section 3540
- 34 California Government Code section 3547
- 35 California Education Code section 48918, but see *Rim of the World Unified School District v. Superior Court* (2003) 104 Cal.App.4th 1393 (Section 48918 preempted by the Federal Family Educational Right and Privacy Act in regard to expulsion proceedings.)
- 36 California Education Code section 72122
- 37 California Education Code section 60617
- 38 California Government Code section 54953.1
- 39 California Government Code section 54956.7
- 40 California Government Code section 54957
- 41 *McKee v. Los Angeles Interagency Metropolitan Police Apprehension Crime Task Force* (2005) 134 Cal.App.4th 354
- 42 California Government Code section 54957.8
- 43 California Government Code section 54962
- 44 California Health and Safety Code section 32106
- 45 Government Code section 54963
- 46 *Kleitman v. Superior Court* (1999) 74 Cal.App.4th 324, 327; see also: California Government Code section 54963
- 47 *Roberts v. City of Palmdale* (1993) 5 Cal.4th 363
- 48 80 Ops.Cal.Atty.Gen. 231 (1997)
- 49 76 Ops.Cal.Atty.Gen. 289 (1993)
- 50 California Government Code section 54963
- 51 California Government Code section 54963
- 52 California Government Code section 54957.1

Updates to this publication responding to changes in the Brown Act or new court interpretations are available at [www.cacities.org/opengovernment](http://www.cacities.org/opengovernment). A current version of the Brown Act may be found at [www.leginfo.ca.gov](http://www.leginfo.ca.gov).



# CHAPTER 6:

## REMEDIES



INVALIDATION

CIVIL ACTION TO PREVENT  
FUTURE VIOLATIONS

COSTS AND ATTORNEY'S FEES

CRIMINAL COMPLAINTS

VOLUNTARY RESOLUTION

# CHAPTER 6:

## REMEDIES



Certain violations of the Brown Act are designated as misdemeanors, although by far the most commonly used enforcement provisions are those that authorize civil actions to invalidate specified actions taken in violation of the Brown Act and to stop or prevent future violations. Still, despite all the safeguards and remedies to enforce them, it is ultimately impossible for the public to monitor every aspect of public officials' interactions. Compliance ultimately results from regular training and a good measure of self-regulation on the part of public officials. This chapter discusses the remedies available to the public when that self-regulation is ineffective.

### ■ INVALIDATION

Any interested person, including the district attorney, may seek to invalidate certain actions of a legislative body on the ground that they violate the Brown Act.<sup>1</sup> Violations of the Brown Act, however, cannot be invalidated if they involve the following types of actions:

- Those taken in substantial compliance with the law;
- Those involving the sale or issuance of notes, bonds or other indebtedness, or any related contracts or agreements;
- Those creating a contractual obligation, including a contract awarded by competitive bid for other than compensation for professional services, upon which a party has in good faith relied to its detriment;
- Those connected with the collection of any tax; or
- Those in which the complaining party had actual notice at least 72 hours prior to the meeting at which the action is taken.

Before filing a court action seeking invalidation, a person who believes that a violation has occurred must send a written "cure or correct" demand to the legislative body. This demand must clearly describe the challenged action, the nature of the claimed violation, and the "cure" sought. This demand must be sent within 90 days of the alleged violation or 30 days if the action was taken in open session but in violation of Section 54954.2, which requires (subject to specific exceptions) that only properly agendized items are acted on by the governing body during a meeting.<sup>2</sup> The legislative body then has up to 30 days to cure and correct its action. If it does not act, any lawsuit must be filed within the next 15 days.

The purpose of this requirement is to offer the body an opportunity to consider whether a violation has occurred and to weigh its options before litigation is filed. The Brown Act does not specify how to cure or correct a violation; the best method is to rescind the action being complained of and to start over.

Although just about anyone has standing to bring an action for invalidation,<sup>3</sup> the challenger must show prejudice as a result of the alleged violation.<sup>4</sup> An action to invalidate fails to state a cause of action against the agency if the body deliberated but did not take an action.<sup>5</sup>

## ■ CIVIL ACTION TO PREVENT FUTURE VIOLATIONS

The district attorney or any interested person can file a civil action asking the court to:

- Stop or prevent violations or threatened violations of the Brown Act by members of the legislative body of a local agency;
- Determine the applicability of the Brown Act to actions or threatened future action of the legislative body;
- Determine whether any rule or action by the legislative body to penalize or otherwise discourage the expression of one or more of its members is valid under state or federal law; or
- Compel the legislative body to tape record its closed sessions.

It is not necessary for a challenger to prove a past pattern or practice of violations by the local agency in order to obtain injunctive relief. A court may presume when issuing an injunction that a single violation will continue in the future where the public agency refuses to admit to the alleged violation or to renounce or curtail the practice.<sup>6</sup> Note, however, that a court may not compel elected officials to disclose their recollections of what transpired in a closed session.<sup>7</sup>

Upon finding a violation of the Brown Act pertaining to closed sessions, a court may compel the legislative body to tape record its future closed sessions. In a subsequent lawsuit to enforce the Brown Act alleging a violation occurring in closed session, a court may upon motion of the plaintiff review the tapes if there is good cause to think the Brown Act has been violated, and make public the relevant portion of the closed session recording.

## ■ COSTS AND ATTORNEY'S FEES

Someone who successfully invalidates an action taken in violation of the Brown Act or who successfully enforces one of the Brown Act's civil remedies may seek court costs and reasonable attorney's fees. Courts have held that attorney's fees must be awarded to a successful plaintiff unless special circumstances exist that would make a fee award against the public agency unjust.<sup>8</sup> When evaluating how to respond to assertions that the Brown Act has been violated, elected officials and their lawyers should assume that attorneys fees will be awarded against the agency if a violation of the Act is proven.

An attorney fee award may only be directed against the local agency and not the individual members of the legislative body. If the local agency prevails, it may be awarded court costs and attorney's fees if the court finds the lawsuit was clearly frivolous and lacking in merit.<sup>9</sup>

## ■ CRIMINAL COMPLAINTS

A violation of the Brown Act by a member of the legislative body who acts with the improper intent described below is punishable as a misdemeanor.<sup>10</sup>

A criminal violation has two components. The first is that there must be an overt act—a member of a legislative body must attend a meeting at which action is taken in violation of the Brown Act.<sup>11</sup>

"Action taken" is not only an actual vote, but also a collective decision, commitment or promise by a

### **Practice Tip:**

A lawsuit to invalidate must be preceded by a demand to cure and correct the challenged action in order to give the legislative body an opportunity to consider its options.



### **Practice Tip:**

Attorney's fees will likely be awarded if a violation of the Brown Act is proven.



### Practice Tip:

Training and exercising good judgment can help avoid Brown Act conflicts. If an arguably meritorious procedural challenge is raised, it may be more prudent to voluntarily re-notice and reconsider the action subject to the challenge.

majority of the legislative body to make a positive or negative decision.<sup>12</sup> If the meeting involves mere deliberation without the taking of action, there can be no misdemeanor penalty.

A violation occurs for a tentative as well as final decision.<sup>13</sup> In fact, criminal liability is triggered by a member's participation in a meeting in violation of the Brown Act—not whether that member has voted with the majority or minority, or has voted at all.

The second component of a criminal violation is that action is taken with the intent of a member “to deprive the public of information to which the member knows or has reason to know the public is entitled” by the Brown Act.<sup>14</sup>

As with other misdemeanors, the filing of a complaint is up to the district attorney. Although criminal prosecutions of the Brown Act are uncommon, district attorneys in some counties aggressively monitor public agencies' adherence to the requirements of the law.

## ■ VOLUNTARY RESOLUTION

Arguments over Brown Act issues often become emotional on all sides. Newspapers trumpet relatively minor violations, unhappy residents fume over an action, and legislative bodies clam up about information better discussed in public. Hard lines are drawn and rational discussion breaks down. The district attorney or even the grand jury occasionally becomes involved. Publicity surrounding alleged violations of the Brown Act can result in a loss of confidence by constituents in the legislative body. There are times when it may be preferable to consider re-noticing and rehearing, rather than litigating, an item of significant public interest, particularly when there is any doubt about whether the open meeting requirements were satisfied.

At bottom, agencies that regularly train their officials and pay close attention to the requirements of the Brown Act will have little reason to worry about enforcement.

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### Endnotes

- 1 California Government Code section 54960.1. Invalidation is limited to actions that violate the following sections of the Brown Act: section 54953 (the basic open meeting provision); sections 54954.2 and 54954.5 (notice and agenda requirements for regular meetings and closed sessions); 54954.6 (tax hearings); and 54956 (special meetings). Violations of sections not listed above cannot give rise to invalidation actions, but are subject to the other remedies listed in section 5490.1.
- 2 California Government Code section 54960.1 (b) and (c)(1)
- 3 *McKee v. Orange Unified School District* (2003) 110 Cal.App.4th 1310
- 4 *Cohan v. City of Thousand Oaks* (1994) 30 Cal.App.4th 547, 556, 571
- 5 *Boyle v. City of Redondo Beach* (1999) 70 Cal.App.4th 1109, 1117-18
- 6 *California Alliance for Utility Safety and Education (CAUSE) v. City of San Diego* (1997) 56 Cal.App.4th 1024; *Common Cause v. Stirling* (1983) 147 Cal.App.3d 518, 524. *Accord Shapiro v. San Diego City Council* (2002) 96 Cal. App. 4th 904, 916 & fn.6
- 7 *Kleitman v. Superior Court* (1999) 74 Cal.App.4th 324, 334-36
- 8 *Los Angeles Times Communications, LLC v. Los Angeles County Board of Supervisors* (2003) 112 Cal.App.4th 1313, 1324-27 and cases cited therein.
- 9 California Government Code section 54960.5
- 10 California Government Code section 54959. A misdemeanor is punishable by a fine of up to \$1,000 or up to six months in county jail, or both. California Penal Code section 19. Employees of the agency who participate in violations of the Brown Act cannot be punished criminally under section 54959. However, at least one district attorney instituted criminal action against employees based on the theory that they criminally conspired with the members of the legislative body to commit a crime under section 54949.
- 11 California Government Code section 54959
- 12 California Government Code section 54952.6
- 13 61 Ops.Cal.Atty.Gen.283 (1978)
- 14 California Government Code section 54959

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# **Political Reform Act**



# **2017**

Fair Political Practices Commission



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**The Commissioners  
of the  
California Fair Political Practices Commission**

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**Commission Chair Jodi Remke** was appointed by Governor Brown to the Fair Political Practices Commission in April 2014. The Commission is responsible for regulating statewide campaign finance, governmental ethics, and lobbying activity. As Chair, she provides overall policy direction and acts as the presiding officer of the Commission.

Prior to her appointment to the FPPC, Chair Remke was appointed by the California Supreme Court in 2006 to serve as Presiding Judge of the State Bar Court. California was the first state in the country to establish an independent court dedicated to ruling on attorney discipline cases. In that position, she sat on a three-judge panel that hears appeals in attorney disciplinary and regulatory cases. She was responsible for ensuring the prompt disposition of cases by all judges, overseeing the Court's budget, and acting as spokesperson for the Court to the Legislature and the Governor's Office. In 2010, she sponsored an extensive rules revision project to increase the Court's efficiency and improve public protection without sacrificing fundamental fairness. As a result of her efforts and supervision, the average time to resolve a case was reduced by more than 50% at both the trial and appellate levels.

Prior to her appointment as Presiding Judge, she was appointed by the Senate Rules Committee to serve as a trial judge on the State Bar Court from 2000-2006. As Supervising Judge (2004-2006), she participated in the creation and adoption of the Court's performance standards on timeliness and productivity. She also collaborated on development of the Alternative Discipline Program for attorneys with substance abuse or mental health problems with the primary goal to reduce recidivism, thereby decreasing client harm while saving judicial resources.

Prior to her judicial career, Chair Remke served as counsel to the California Senate Judiciary Committee, practiced real estate law with the firm of Miller, Starr and Regalia in Oakland, and was a Vista attorney in Montana representing clients in domestic violence cases and advocating on behalf of children with disabilities in a rural, underserved area. She has also served on the board of directors of Project Open Hand and Girls Inc.

Chair Remke received her Bachelor's degree in Political Science from the University of Illinois, and

her J.D. from McGeorge School of Law. She has been a member of the California State Bar since 1992.

**Commissioner Maria Audero** Commissioner Maria Audero is a partner in the Employment Law practice at Paul Hastings and is co-chair of the Employment Law Department in the Los Angeles Office. Her practice emphasizes state and federal wage-and-hour nationwide class and collective actions, leave laws, discrimination, harassment, and retaliation claims. She has represented clients in a wide variety of industries, including financial services, entertainment, insurance, medical, restaurant and hospitality, education, automotive, aerospace, sports and consumer.

Commissioner Audero is on the Executive Committee of the California Bar Association's Labor and Employment Law Section. She is also a member of the American Bar Association's Family and Medical Leave Act Section. In 2013, the ACLU honored her with its Pro Bono Services Award for her work as its outside employment counsel. In addition, the United Way recognized Ms. Audero's commitment to community involvement by nominating her for its 2013 Outstanding Women Leaders Champion Award. A Republican, Commissioner Audero was appointed by Governor Brown to a four-year term ending January 31, 2019. Commissioner Audero earned her J.D. degree magna cum laude, from Southwestern University School of Law in Los Angeles, where she was also Associate Editor of the Southwestern Law Review.

**Commissioner Eric S. Casher** is currently an associate at Meyers Nave in Oakland, and his legal practice involves the areas of public law, public contracts and various forms of complex litigation. Commissioner Casher is currently a member of the Board of Directors of the California Bar Foundation, and a member of the Board of Directors and General Counsel for the Charles Houston Bar Association. In 2011, Commissioner Casher was recognized by the National Bar Association as one of its top "40 Under 40: Nations Best Advocates." Also in 2011, Commissioner Casher was recognized by the UC Hastings Black Law Student Association as the 2010-2011 Alumni of the Year. In 2010, the Bar Association of San Francisco recognized Commissioner Casher for his work with the Volunteer Legal Service Program's Federal Pro Bono Project, awarding him with the 2010 Volunteer in Public Service Award. In 2009, Commissioner Casher was selected as a grant recipient of the U.S. Speaker and Specialist Program of the U.S. State Department. As a



U.S. Speaker Commissioner Casher toured the countries of Namibia and Zambia conducting lectures and policy discussions on African American political progress and the importance of youth participation in electoral politics. Commissioner Casher later traveled to Sweden as a U.S. Speaker to lecture on youth participation in electoral politics and the importance of constituency group outreach. Commissioner Casher was appointed by California Attorney General Kamala D. Harris and his term expires on January 31, 2017.

**Commissioner Gavin Hachiya Wasserman** is managing partner of Wasserman & Wasserman, LLP, and general counsel for Hachitan Entertainment in Torrance. Commissioner Wasserman is a past president of the Barristers of the Los Angeles County Bar Association and a former member of the Board of Governors of the Japanese American Bar Association. He is a past member of the Los Angeles County Risk Management Advisory Committee, and both the Environmental Quality Commission and the Library Commission of the City of Torrance. Wasserman serves as pro bono general counsel for the Go For Broke National Education Center, which seeks to educate the public about the rights and challenges of American citizenship through the stories of the Japanese American soldiers of World War II. Commissioner Wasserman earned his J.D. from the University of Chicago Law School and his B.A. with honors in political science from the University of California, Berkeley. He served as a judicial extern to the Honorable Terry J. Hatter, Jr., United States District Court for the Central District of California. A Republican, Commissioner Wasserman was appointed by State Controller John Chiang to a four-year term ending January 31, 2017.

**Commissioner Patricia Wynne** is the former Deputy State Treasurer of the California State Treasurer's Office where she oversaw several state financing authorities including the California Health Financing Authority, California Educational Financing Authority, and California School Financing Authority, and chaired the Local Agency Investment Board and the Scholarshare Investment Board. Previously, Wynne served eight years as Special Assistant Attorney General in the California Attorney General's Office, working with California courts, regulatory bodies and public agencies in a variety of policy areas including consumer law and election law. She also worked for many years in senior staff positions in the California

State Senate. Wynne earned a Bachelor of Arts degree from the University of California, Santa Barbara, then earned her Juris Doctorate from the University of San Diego School of Law. Commissioner Wynne was appointed by Secretary of State Debra Bowen to a four-year term ending January 31, 2017.

## **POLITICAL REFORM ACT — 2017**

### ***Introduction***

This 2017 version of the Political Reform Act (the “Act”) is not an official publication of the Government Code. It has been produced for use by the public and staff of the Fair Political Practices Commission. The boldface title before each Government Code Section and the histories following some sections have been added for clarity and are not part of the Act.

Proposition 34, which was passed by the voters on November 7, 2000, added new campaign finance provisions and made some changes to the disclosure and enforcement provisions of the Act. Proposition 34 took effect on January 1, 2001, except that Section 83 of the measure deferred to November 6, 2002, applicability of portions of Chapter 5 (commencing with Section 85100) of Title 9, to candidates for statewide elective office. Uncodified Sections 83-86 of Proposition 34 appear in Appendix I.

Commission regulations implementing the Act are contained in the California Code of Regulations, Title 2, Division 6 (Sections 18110-18997). References to applicable regulations and opinions follow each statute. These references were accurate as of January 1, 2017, but changes may have occurred since then. Thus, the references are provided for convenience only and should not be relied upon. Opinion summaries appear in Appendix II. In addition, Commission opinions and advice letters are available on Westlaw, Lexis-Nexis, and the FPPC’s website. Appendix III contains Government Code Sections 1090 through 1097.5. AB 1090 (Fong), Chapter 650, Statutes of 2013, authorized the Commission to provide advice to public officials and enforce violations relating to Section 1090, which prohibits specified officials from being financially interested in a contract.

If you need more detailed information or have questions about the Political Reform Act, please call the Fair Political Practices Commission at 1-866-275-3772 or email your questions to [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov). Web site: <http://www.fppc.ca.gov>.

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**Chapter 1. General.**  
**§ 81000 - 81016**

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**§ 81000. Title.**

This title shall be known and may be cited as the “Political Reform Act of 1974.”

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18200

**§ 81001. Findings and Declarations.**

The people find and declare as follows:

(a) State and local government should serve the needs and respond to the wishes of all citizens equally, without regard to their wealth;

(b) Public officials, whether elected or appointed, should perform their duties in an impartial manner, free from bias caused by their own financial interests or the financial interests of persons who have supported them;

(c) Costs of conducting election campaigns have increased greatly in recent years, and candidates have been forced to finance their campaigns by seeking large contributions from lobbyists and organizations who thereby gain disproportionate influence over governmental decisions;

(d) The influence of large campaign contributors is increased because existing laws for disclosure of campaign receipts and expenditures have proved to be inadequate;

(e) Lobbyists often make their contributions to incumbents who cannot be effectively challenged because of election laws and abusive practices which give the incumbent an unfair advantage;

(f) The wealthy individuals and organizations which make large campaign contributions frequently extend their influence by employing lobbyists and spending large amounts to influence legislative and administrative actions;

(g) The influence of large campaign contributors in ballot measure elections is increased because the ballot pamphlet mailed to the voters by the state is difficult to read and almost impossible for a layman to understand; and

(h) Previous laws regulating political practices have suffered from inadequate enforcement by state and local authorities.

**§ 81002. Purposes of Title.**

The people enact this title to accomplish the following purposes:

(a) Receipts and expenditures in election campaigns should be fully and truthfully disclosed in order that the voters may be fully informed and improper practices may be inhibited.

(b) The activities of lobbyists should be regulated and their finances disclosed in order that

improper influences will not be directed at public officials.

(c) Assets and income of public officials which may be materially affected by their official actions should be disclosed and in appropriate circumstances the officials should be disqualified from acting in order that conflicts of interest may be avoided.

(d) The state ballot pamphlet should be converted into a useful document so that voters will not be entirely dependent on paid advertising for information regarding state measures.

(e) Laws and practices unfairly favoring incumbents should be abolished in order that elections may be conducted more fairly.

(f) Adequate enforcement mechanisms should be provided to public officials and private citizens in order that this title will be vigorously enforced.

History: Amended by Stats. 1980, Ch. 289.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18313.5  
2 Cal. Code of Regs. Section 18313.6  
2 Cal. Code of Regs. Section 18702  
2 Cal. Code of Regs. Section 18702.1  
2 Cal. Code of Regs. Section 18705  
2 Cal. Code of Regs. Section 18708

### **§ 81003. Construction of Title.**

This title should be liberally construed to accomplish its purposes.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18702  
2 Cal. Code of Regs. Section 18702.1  
2 Cal. Code of Regs. Section 18705  
2 Cal. Code of Regs. Section 18708

### **§ 81004. Reports and Statements; Perjury; Verification.**

(a) All reports and statements filed under this title shall be signed under penalty of perjury and verified by the filer. The verification shall state that the filer has used all reasonable diligence in its preparation, and that to the best of his knowledge it is true and complete.

(b) A report or statement filed by a committee which qualifies under subdivision (a) of Section 82013 shall be signed and verified by the treasurer, and a report or statement filed by any other person shall be signed and verified by the filer. If the filer is an entity other than an individual, the report or statement shall be signed and verified by a responsible officer of the entity or by an attorney or a certified public accountant acting as agent for the entity. Every person who signs and verifies any report or statement required to be filed under this title which contains material matter which he knows to be false is guilty of perjury.

History: Amended by Stats. 1985, Ch. 775.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18316.6  
2 Cal. Code of Regs. Section 18426.1  
2 Cal. Code of Regs. Section 18427  
2 Cal. Code of Regs. Section 18539.2

Opinions: In re Layton (1975) 1 FPPC Ops. 113  
In re Augustine (1975) 1 FPPC Ops. 69

### **§ 81004.5. Reports and Statements; Amendments.**

Any report or statement filed pursuant to this title may be amended by the filer at any time. Amending an incorrect or incomplete report or statement may be considered as evidence of good faith.

History: Added by Stats. 1976, Ch. 1161.

### **§ 81005. Campaign Reports and Statements; Where to File. [Repealed]**

History: Amended by Stats. 1975, Ch. 915, effective September 20, 1975, operative January 7, 1975; amended by Stats. 1976, Ch. 415, effective July 10, 1976; amended by Stats. 1977, Ch. 1193; repealed by Stats. 1980, Ch. 289. (Reenacted as amended and renumbered Section 84215.)

### **§ 81005.1. Lobbying Reports and Statements; Where to File. [Repealed]**

History: Added by Stats. 1977, Ch. 1193; repealed by Stats. 1979, Ch. 592. (Reenacted as amended and renumbered Section 86111.)

### **§ 81005.2. Statements of Economic Interests; Where to File. [Repealed]**

History: Added by Stats. 1977, Ch. 1193; repealed by Stats. 1979, Ch. 674. (Reenacted as amended and renumbered Section 87500.)

### **§ 81006. Filing Fees Prohibition.**

Except as provided in this title, no fee or charge shall be collected by any officer for the filing of any report or statement or for the forms upon which reports or statements are to be prepared.

History: Amended by Stats. 1985, Ch. 1183, effective September 29, 1985.

### **§ 81007. Mailing of Report or Statement.**

When a report or statement or copies thereof required to be filed with any officer under this title have been sent by first-class mail or by any other guaranteed overnight delivery service addressed to the officer, it shall for purposes of any deadline be deemed to have been received by him or her on the date of the deposit in the mail or of receipt by that delivery service. It shall be presumed until the contrary is established that any date stamped by the post office on the envelope or contained on the delivery service receipt containing the report or statement is the date it was deposited in the mail or

received by the delivery service. Mail which is not received by the filing officer shall be presumed not to have been sent unless the filer possesses a post office or delivery service receipt establishing the date of deposit and the name and address of the addressee.

History: Amended by Stats. 1976, Ch. 1106; amended by Stats. 1994, Ch. 638.

#### **§ 81007.5. Faxing of Report or Statement.**

(a) Any report or statement or copies thereof required to be filed with any official under Chapter 4 (commencing with Section 84100) or Chapter 7 (commencing with Section 87100) may be faxed by the applicable deadline, provided that the required originals or paper copies are sent by first-class mail or by any other personal delivery or guaranteed overnight delivery service within 24 hours of the applicable deadline and provided that the total number of pages of each report or statement faxed is no more than 30 pages.

(b) A faxed report or statement shall not be deemed filed if the faxed report or statement is not a true and correct copy of the original or copy of the report or statement personally delivered or sent by first-class mail or guaranteed overnight delivery service pursuant to subdivision (a).

(c) A filing officer who receives a faxed report or statement shall make the report or statement available to the public in the same manner as provided in Section 81008. If the faxed report or statement is requested prior to the receipt of the original or copy of the report or statement by the filing officer, the filing officer shall inform the requester that the faxed report or statement will not be considered a filed report or statement if the requirements of subdivision (b) have not been met by the filer.

History: Added by Stats. 1994, Ch. 638; amended by Stats. 1997, Ch. 394.

#### **§ 81008. Public Records; Inspection; Reproduction; Time; Charges.**

Every report and statement filed pursuant to this title is a public record open for public inspection and reproduction during regular business hours, commencing as soon as practicable, but in any event not later than the second business day following the day on which it was received. No conditions whatsoever shall be imposed upon persons desiring to inspect or reproduce reports and statements filed under this title, nor shall any information or identification be required from these persons. Copies shall be provided at a charge not to exceed ten cents (\$.10) per page. In addition, the filing officer may

charge a retrieval fee not to exceed five dollars (\$5) per request for copies of reports and statements which are five or more years old. A request for more than one report or statement or report and statement at the same time shall be considered a single request.

History: Amended by Stats. 1979, Ch. 531; amended by Stats. 1988, Ch. 1208; amended by Stats. 2004, Ch. 478, effective September 10, 2004; amended by Stats. 2013, Ch. 654.

#### **§ 81009. Preservation of Reports and Statements.**

(a) Statements of organization, registration statements, and original campaign statements of persons holding elective state office, candidates for any such office, committees supporting any such officeholder or candidate, and committees supporting or opposing statewide measures, shall be retained by filing officers indefinitely.

(b) Original campaign statements of mayors, city council members, county supervisors, candidates for any of these offices, and committees supporting any officeholder or candidate shall be retained indefinitely, except that original campaign statements of candidates not elected to these offices and of committees supporting candidates not elected to these offices shall be retained by filing officers for a period of not less than five years.

(c) Original campaign statements of all other persons shall be retained by filing officers for a period of not less than seven years.

(d) Original statements of economic interests of persons holding statewide elective office shall be retained by filing officers indefinitely.

(e) Original reports and statements not specified above in this section shall be retained by filing officers for a period of not less than seven years.

(f) Copies of reports or statements shall be retained by the officer with whom they are filed for a period of not less than four years, provided, however, that a filing officer is not required to retain more than one copy of a report or statement.

(g) After an original report or statement or a copy has been on file for at least two years, the officer with whom it is filed may comply with this section by retaining a copy on microfilm or other space-saving materials available for public inspection instead of the original report or statement or copy. Upon request, the officer shall provide copies of such statements pursuant to Section 81008.

History: Amended by Stats. 1976, Ch. 1106; amended by Stats. 1979, Ch. 531; amended by Stats. 1984, Ch. 390, effective July 11, 1984; amended by Stats. 1985, Ch. 1183, effective September 29, 1985.



**§ 81009.5. Local Ordinances.**

(a) Any local government agency which has enacted, enacts, amends, or repeals an ordinance or other provision of law affecting campaign contributions and expenditures shall file a copy of the action with the Commission.

(b) Notwithstanding Section 81013, no local government agency shall enact any ordinance imposing filing requirements additional to or different from those set forth in Chapter 4 (commencing with Section 84100) for elections held in its jurisdiction unless the additional or different filing requirements apply only to the candidates seeking election in that jurisdiction, their controlled committees or committees formed or existing primarily to support or oppose their candidacies, and to committees formed or existing primarily to support or oppose a candidate or to support or oppose the qualification of, or passage of, a local ballot measure which is being voted on only in that jurisdiction, and to city or county general purpose committees active only in that city or county, respectively.

History: Added by Stats. 1979, Ch. 531; amended by Stats. 1985, Ch. 1456; amended by Stats. 1986, Ch. 542; amended by Stats. 1991, Ch. 674.

References at the time of publication (see page 3):

Opinions: In re Olson (2001) 15 FPPC Ops. 13

**§ 81010. Duties of the Filing Officer.**

With respect to reports and statements filed with him pursuant to this title, the filing officer shall:

(a) Supply the necessary forms and manuals prescribed by the Commission;

(b) Determine whether required documents have been filed and, if so, whether they conform on their face with the requirements of this title;

(c) Notify promptly all persons and known committees who have failed to file a report or statement in the form and at the time required by this title;

(d) Report apparent violations of this title to the appropriate agencies; and

(e) Compile and maintain a current list of all reports and statements filed with this office.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18110  
2 Cal. Code of Regs. Section 18115  
2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18363  
2 Cal. Code of Regs. Section 18732.5

Opinions: In re Rundstrom (1975) 1 FPPC Ops. 188  
In re Layton (1975) 1 FPPC Ops. 113

**§ 81011. Valuation of Goods, Services and Facilities; Fair Market Value. [Repealed]**

History: Repealed by Stats. 1985, Ch. 775.

**§ 81011.5. Information on Statewide Petitions.**

Any provision of law to the contrary notwithstanding, the election precinct of a person signing a statewide petition shall not be required to appear on the petition when it is filed with the county clerk, nor any additional information regarding a signer other than the information required to be written by the signer.

History: Added by Stats. 1977, Ch. 1095; (Identical to former Section 85203, repealed by Stats. 1977, Ch. 1095).

**§ 81012. Amendment or Repeal of Title.**

This title may be amended or repealed by the procedures set forth in this section. If any portion of subdivision (a) is declared invalid, then subdivision (b) shall be the exclusive means of amending or repealing this title.

(a) This title may be amended to further its purposes by statute, passed in each house by rollcall vote entered in the journal, two-thirds of the membership concurring and signed by the Governor, if at least 12 days prior to passage in each house the bill in its final form has been delivered to the Commission for distribution to the news media and to every person who has requested the Commission to send copies of such bills to him or her.

(b) This title may be amended or repealed by a statute that becomes effective only when approved by the electors.

History: Amended by Stats. 1976, Ch. 883, effective September 13, 1976; amended by Stats. 1985, Ch. 1200.

**§ 81013. Imposition of Additional Requirements.**

Nothing in this title prevents the Legislature or any other state or local agency from imposing additional requirements on any person if the requirements do not prevent the person from complying with this title. If any act of the Legislature conflicts with the provisions of this title, this title shall prevail.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18312

Opinions: In re Alperin (1977) 3 FPPC Ops. 77  
In re Miller (1976) 2 FPPC Ops. 91

**§ 81014. Regulations.**

Whenever any reference is made in this title to a federal or state statute and that statute has been or is subsequently repealed or amended, the Commission may promulgate regulations to carry out the intent of this title as nearly as possible.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18312

**§ 81015. Severability.**

If any provision of this title, or the application of any such provision to any person or circumstances, shall be held invalid, the remainder of this title to the extent it can be given effect, or the application of such provision to persons or circumstances other than those as to which it is held invalid, shall not be affected thereby, and to this end the provisions of this title are severable.

**§ 81016. Effective Date.**

Chapter 8 of this title shall go into effect immediately. The Director of Finance shall make sufficient funds available to the Secretary of State out of the emergency fund or any other fund of the state for the immediate implementation of Chapter 8. The remainder of this title shall go into effect on January 7, 1975. Wherever reference is made in this title to the effective date of this title, the date referred to is January 7, 1975.

**Chapter 2. Definitions.****§ 82000 - 82055**

- § 82000. Interpretation of this Title.
- § 82001. Adjusting an Amount for Cost of Living Changes.
- § 82002. Administrative Action.
- § 82003. Agency.
- § 82004. Agency Official.
- § 82005. Business Entity.
- § 82006. Campaign Statement.
- § 82007. Candidate.
- § 82008. City.
- § 82009. Civil Service Employee.
- § 82009.5. Clerk.
- § 82010. Closing Date.
- § 82011. Code Reviewing Body.
- § 82012. Commission.
- § 82013. Committee.
- § 82014. Conflict of Interest Code.
- § 82015. Contribution.
- § 82016. Controlled Committee.
- § 82017. County.
- § 82018. Cumulative Amount.
- § 82019. Designated Employee.
- § 82020. Elected Officer.
- § 82021. Elected State Officer.
- § 82022. Election.
- § 82023. Elective Office.
- § 82024. Elective State Office.
- § 82025. Expenditure.
- § 82025.3. External Manager.
- § 82025.5. Fair Market Value.
- § 82026. Filer.

- § 82027. Filing Officer.
- § 82027.5. General Purpose Committee.
- § 82028. Gift.
- § 82029. Immediate Family.
- § 82030. Income.
- § 82030.5. Income; Earned.
- § 82031. Independent Expenditure.
- § 82031.5. Independent Expenditure. [Repealed]
- § 82032. Influencing Legislative or Administrative Action.
- § 82033. Interest in Real Property.
- § 82034. Investment.
- § 82035. Jurisdiction.
- § 82035.5. LAFCO Proposal.
- § 82036. Late Contribution.
- § 82036.5. Late Independent Expenditure.
- § 82037. Legislative Action.
- § 82038. Legislative Official.
- § 82038.5. Lobbying Firm.
- § 82039. Lobbyist.
- § 82039.5. Lobbyist Employer.
- § 82040. Lobbyist's Account. [Repealed]
- § 82041. Local Government Agency.
- § 82041.5. Mass Mailing.
- § 82042. Mayor.
- § 82043. Measure.
- § 82044. Payment.
- § 82045. Payment to Influence Legislative or Administrative Action.
- § 82046. Period Covered.
- § 82047. Person.
- § 82047.3. Placement Agent.
- § 82047.5. Primarily Formed Committee.
- § 82047.6. Principal Officer.
- § 82047.7. Proponent of a State Ballot Measure.
- § 82048. Public Official.
- § 82048.3. Slate Mailer.
- § 82048.4. Slate Mailer Organization.
- § 82048.5. Special District.
- § 82048.7. Sponsored Committee.
- § 82049. State Agency.
- § 82050. State Candidate.
- § 82051. State Measure.
- § 82052. Statewide Candidate.
- § 82052.5. Statewide Election.
- § 82053. Statewide Elective Office.
- § 82054. Statewide Petition.
- § 82055. Voting Age Population. [Repealed]

**§ 82000. Interpretation of this Title.**

Unless the contrary is stated or clearly appears from the context, the definitions set forth in this chapter shall govern the interpretation of this title.

**§ 82001. Adjusting an Amount for Cost of Living Changes.**

“Adjusting an amount for cost-of-living changes” means adjusting the amount received the previous year by an amount determined at the beginning of each fiscal year by the Director of Finance corresponding to amounts authorized from the salary and price increase items as set forth in the Budget Act and other cost-of-living adjustments on the same basis as those applied routinely to other state agencies.

History: Amended by Stats. 1978, Ch. 199, effective June 6, 1978.

**§ 82002. Administrative Action.**

(a) “Administrative action” means either of the following:

(1) The proposal, drafting, development, consideration, amendment, enactment, or defeat by any state agency of any rule, regulation, or other action in any ratemaking proceeding or any quasi-legislative proceeding, which shall include any proceeding governed by Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2.

(2) With regard only to placement agents, the decision by any state agency to enter into a contract to invest state public retirement system assets on behalf of a state public retirement system.

(b) “Ratemaking proceeding” means, for the purposes of a proceeding before the Public Utilities Commission, any proceeding in which it is reasonably foreseeable that a rate will be established, including, but not limited to, general rate cases, performance-based ratemaking, and other ratesetting mechanisms.

(c) “Quasi-legislative proceeding” means, for purposes of a proceeding before the Public Utilities Commission, any proceeding that involves consideration of the establishment of a policy that will apply generally to a group or class of persons, including, but not limited to, rulemakings and investigations that may establish rules affecting an entire industry.

History: Amended by Stats. 1991, Ch. 491; amended by Stats. 2001, Ch. 921; amended by Stats. 2010, Ch. 668.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18202

Opinions: In re Evans (1978) 4 FPPC Ops. 84  
In re Leonard (1976) 2 FPPC Ops. 44

In re Nida (1976) 2 FPPC Ops. 1  
In re Carson (1975) 1 FPPC Ops. 46

**§ 82003. Agency.**

“Agency” means any state agency or local government agency.

**§ 82004. Agency Official.**

“Agency official” means any member, officer, employee or consultant of any state agency who as part of his official responsibilities participates in any administrative action in other than a purely clerical, secretarial or ministerial capacity.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18249

Opinions: In re Morrissey (1976) 2 FPPC Ops. 120  
In re Morrissey (1976) 2 FPPC Ops. 84  
In re Wallace (1975) 1 FPPC Ops. 118

**§ 82005. Business Entity.**

“Business entity” means any organization or enterprise operated for profit, including but not limited to a proprietorship, partnership, firm, business trust, joint venture, syndicate, corporation or association.

**§ 82006. Campaign Statement.**

“Campaign statement” means an itemized report which is prepared on a form prescribed by the Commission and which provides the information required by Chapter 4 of this title.

References at the time of publication (see page 3):

Opinions: In re Layton (1975) 1 FPPC Ops. 113

**§ 82007. Candidate.**

“Candidate” means an individual who is listed on the ballot or who has qualified to have write-in votes on his or her behalf counted by election officials, for nomination for or election to any elective office, or who receives a contribution or makes an expenditure or gives his or her consent for any other person to receive a contribution or make an expenditure with a view to bringing about his or her nomination or election to any elective office, whether or not the specific elective office for which he or she will seek nomination or election is known at the time the contribution is received or the expenditure is made and whether or not he or she has announced his or her candidacy or filed a declaration of candidacy at such time. “Candidate” also includes any officeholder who is the subject of a recall election. An individual who becomes a candidate shall retain his or her status as a candidate until such time as that status is terminated pursuant to Section 84214. “Candidate”



does not include any person within the meaning of Section 301(b) of the Federal Election Campaign Act of 1971.

History: Amended by Stats. 1980, Ch. 289.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18404  
2 Cal. Code of Regs. Section 18531.5

Opinions: In re Johnson (1989) 12 FPPC Ops. 1  
In re Lui (1987) 10 FPPC Ops. 10  
In re Juvinall, Stull, Meyers, Republican Central Committee of Orange County, Tuteur (1976) 2 FPPC Ops. 110

#### **§ 82008. City.**

“City” means a general law or a chartered city.

#### **§ 82009. Civil Service Employee.**

“Civil service employee” means any state employee who is covered by the state civil service system or any employee of a local government agency who is covered by a similar personnel system.

#### **§ 82009.5. Clerk.**

“Clerk” refers to the city or county clerk unless the city council or board of supervisors has designated any other agency to perform the specified function.

#### **§ 82010. Closing Date.**

“Closing date” means the date through which any report or statement filed under this title is required to be complete.

#### **§ 82011. Code Reviewing Body.**

“Code reviewing body” means all of the following:

(a) The commission, with respect to the conflict-of-interest code of a state agency other than an agency in the judicial branch of government, or any local government agency with jurisdiction in more than one county.

(b) The board of supervisors, with respect to the conflict-of-interest code of any county agency other than the board of supervisors, or any agency of the judicial branch of government, and of any local government agency, other than a city agency, with jurisdiction wholly within the county.

(c) The city council, with respect to the conflict-of-interest code of any city agency other than the city council.

(d) The Attorney General, with respect to the conflict-of-interest code of the commission.

(e) The Chief Justice or his or her designee, with respect to the conflict-of-interest code of the members of the Judicial Council, Commission on

Judicial Performance, and Board of Governors of the State Bar of California.

(f) The Board of Governors of the State Bar of California with respect to the conflict-of-interest code of the State Bar of California.

(g) The Chief Justice of California, the administrative presiding judges of the courts of appeal, and the presiding judges of superior and municipal courts, or their designees, with respect to the conflict-of-interest code of any agency of the judicial branch of government subject to the immediate administrative supervision of that court.

(h) The Judicial Council of California, with respect to the conflict-of-interest code of any state agency within the judicial branch of government not included under subdivisions (e), (f), and (g).

History: Amended by Stats. 1980, Ch. 779; amended by Stats. 1984, Ch. 727, operative July 1, 1985; amended by Stats. 1985, Ch. 775; amended by Stats. 1995, Ch. 587.

#### **§ 82012. Commission.**

“Commission” means the Fair Political Practices Commission.

#### **§ 82013. Committee.**

“Committee” means any person or combination of persons who directly or indirectly does any of the following:

(a) Receives contributions totaling two thousand dollars (\$2,000) or more in a calendar year;

(b) Makes independent expenditures totaling one thousand dollars (\$1,000) or more in a calendar year; or

(c) Makes contributions totaling ten thousand dollars (\$10,000) or more in a calendar year to or at the behest of candidates or committees.

A person or combination of persons that becomes a committee shall retain its status as a committee until such time as that status is terminated pursuant to Section 84214.

History: Amended by Stats. 1977, Ch. 1213; amended by Stats. 1980, Ch. 289; amended by Stats. 1984, Ch. 670; amended by Stats. 1987, Ch. 632; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18404.2  
2 Cal. Code of Regs. Section 18420.1  
2 Cal. Code of Regs. Section 18521.5

Opinions: In re Johnson (1989) 12 FPPC Ops. 1  
In re Welsh (1978) 4 FPPC Ops. 78  
In re Kahn (1976) 2 FPPC Ops. 151  
In re Lumsdon (1976) 2 FPPC Ops. 140  
In re Cannon (1976) 2 FPPC Ops. 133  
In re Masini (1976) 2 FPPC Ops. 38  
In re Fontana (1976) 2 FPPC Ops. 25  
In re Christiansen (1975) 1 FPPC Ops. 170  
In re Augustine (1975) 1 FPPC Ops. 69

**§ 82014. Conflict of Interest Code.**

“Conflict of Interest Code” means a set of rules and regulations adopted by an agency pursuant to Chapter 7 of this title.

**§ 82015. Contribution.**

(a) “Contribution” means a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment except to the extent that full and adequate consideration is received, unless it is clear from the surrounding circumstances that it is not made for political purposes.

(b) (1) A payment made at the behest of a committee, as defined in subdivision (a) of Section 82013, is a contribution to the committee unless full and adequate consideration is received from the committee for making the payment.

(2) A payment made at the behest of a candidate is a contribution to the candidate unless the criteria in either subparagraph (A) or (B) are satisfied:

(A) Full and adequate consideration is received from the candidate.

(B) It is clear from the surrounding circumstances that the payment was made for purposes unrelated to his or her candidacy for elective office. The following types of payments are presumed to be for purposes unrelated to a candidate’s candidacy for elective office:

(i) A payment made principally for personal purposes, in which case it may be considered a gift under the provisions of Section 82028. Payments that are otherwise subject to the limits of Section 86203 are presumed to be principally for personal purposes.

(ii) A payment made by a state, local, or federal governmental agency or by a nonprofit organization that is exempt from taxation under Section 501(c) (3) of the Internal Revenue Code. A payment by a state, local, or federal governmental agency that is made principally for legislative or governmental purposes is governed exclusively by this clause and, therefore, is not subject to the reporting requirement described in clause (iii).

(iii) A payment not covered by clause (i), made principally for legislative, governmental, or charitable purposes, in which case it is neither a gift nor a contribution. However, payments of this type that are made at the behest of a candidate who is an elected officer shall be reported within 30 days following the date on which the payment or payments equal or exceed five thousand dollars (\$5,000) in the aggregate from the same source in the same calendar year in which they are made. The report shall be filed by the elected officer with the elected officer’s

agency and shall be a public record subject to inspection and copying pursuant to Section 81008. The report shall contain the following information: name of payor, address of payor, amount of the payment, date or dates the payment or payments were made, the name and address of the payee, a brief description of the goods or services provided or purchased, if any, and a description of the specific purpose or event for which the payment or payments were made. Once the five-thousand-dollar (\$5,000) aggregate threshold from a single source has been reached for a calendar year, all payments for the calendar year made by that source shall be disclosed within 30 days after the date the threshold was reached or the payment was made, whichever occurs later. Within 30 days after receipt of the report, state agencies shall forward a copy of these reports to the Commission, and local agencies shall forward a copy of these reports to the officer with whom elected officers of that agency file their campaign statements.

(C) For purposes of subparagraph (B), a payment is made for purposes related to a candidate’s candidacy for elective office if all or a portion of the payment is used for election-related activities. For purposes of this subparagraph, “election-related activities” shall include, but are not limited to, the following:

(i) Communications that contain express advocacy of the nomination or election of the candidate or the defeat of his or her opponent.

(ii) Communications that contain reference to the candidate’s candidacy for elective office, the candidate’s election campaign, or the candidate’s or his or her opponent’s qualifications for elective office.

(iii) Solicitation of contributions to the candidate or to third persons for use in support of the candidate or in opposition to his or her opponent.

(iv) Arranging, coordinating, developing, writing, distributing, preparing, or planning of any communication or activity described in clause (i), (ii), or (iii).

(v) Recruiting or coordinating campaign activities of campaign volunteers on behalf of the candidate.

(vi) Preparing campaign budgets.

(vii) Preparing campaign finance disclosure statements.

(viii) Communications directed to voters or potential voters as part of activities encouraging or assisting persons to vote if the communication contains express advocacy of the nomination or election of the candidate or the defeat of his or her opponent.

(D) A contribution made at the behest of a candidate for a different candidate or to a committee not controlled by the behesting candidate is not a contribution to the behesting candidate.

(3) A payment made at the behest of a member of the Public Utilities Commission, made principally for legislative, governmental, or charitable purposes, is not a contribution. However, payments of this type shall be reported within 30 days following the date on which the payment or payments equal or exceed five thousand dollars (\$5,000) in the aggregate from the same source in the same calendar year in which they are made. The report shall be filed by the member with the Public Utilities Commission and shall be a public record subject to inspection and copying pursuant to Section 81008. The report shall contain the following information: name of payor, address of payor, amount of the payment, date or dates the payment or payments were made, the name and address of the payee, a brief description of the goods or services provided or purchased, if any, and a description of the specific purpose or event for which the payment or payments were made. Once the five-thousand-dollar (\$5,000) aggregate threshold from a single source has been reached for a calendar year, all payments for the calendar year made by that source shall be disclosed within 30 days after the date the threshold was reached or the payment was made, whichever occurs later. Within 30 days after receipt of the report, the Public Utilities Commission shall forward a copy of these reports to the Fair Political Practices Commission.

(c) "Contribution" includes the purchase of tickets for events such as dinners, luncheons, rallies, and similar fundraising events; the candidate's own money or property used on behalf of his or her candidacy, other than personal funds of the candidate used to pay either a filing fee for a declaration of candidacy or a candidate statement prepared pursuant to Section 13307 of the Elections Code; the granting of discounts or rebates not extended to the public generally or the granting of discounts or rebates by television and radio stations and newspapers not extended on an equal basis to all candidates for the same office; the payment of compensation by any person for the personal services or expenses of any other person if the services are rendered or expenses incurred on behalf of a candidate or committee without payment of full and adequate consideration.

(d) "Contribution" further includes any transfer of anything of value received by a committee from another committee, unless full and adequate consideration is received.

(e) "Contribution" does not include amounts received pursuant to an enforceable promise to the extent those amounts have been previously reported as a contribution. However, the fact that those amounts have been received shall be indicated in the appropriate campaign statement.

(f)(1) Except as provided in paragraph (2) or (3), "contribution" does not include a payment made by an occupant of a home or office for costs related to any meeting or fundraising event held in the occupant's home or office if the costs for the meeting or fundraising event are five hundred dollars (\$500) or less.

(2) "Contribution" includes a payment made by a lobbyist or a cohabitant of a lobbyist for costs related to a fundraising event held at the home of the lobbyist, including the value of the use of the home as a fundraising event venue. A payment described in this paragraph shall be attributable to the lobbyist for purposes of Section 85702.

(3) "Contribution" includes a payment made by a lobbying firm for costs related to a fundraising event held at the office of the lobbying firm, including the value of the use of the office as a fundraising event venue.

(g) Notwithstanding the foregoing definition of "contribution," the term does not include volunteer personal services or payments made by any individual for his or her own travel expenses if the payments are made voluntarily without any understanding or agreement that they shall be, directly or indirectly, repaid to him or her.

(h) "Contribution" further includes the payment of public moneys by a state or local governmental agency for a communication to the public that satisfies both of the following:

(1) The communication expressly advocates the election or defeat of a clearly identified candidate or the qualification, passage, or defeat of a clearly identified measure, or, taken as a whole and in context, unambiguously urges a particular result in an election.

(2) The communication is made at the behest of the affected candidate or committee.

(i) "Contribution" further includes a payment made by a person to a multipurpose organization as defined and described in Section 84222.

History: Amended by Stats. 1980, Ch. 289; amended by Stats. 1997, Ch. 450, effective September 24, 1997; amended by Stats. 2008, Ch. 418; amended by Stats. 2009, Ch. 363; amended by Stats. 2013, Ch. 16, effective July 1, 2014; amended by Stats. 2014, Ch. 882 and 930; amended by Stats. 2015, Ch. 756, effective October 10, 2015.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117



2 Cal. Code of Regs. Section 18215  
 2 Cal. Code of Regs. Section 18215.1  
 2 Cal. Code of Regs. Section 18215.2  
 2 Cal. Code of Regs. Section 18215.3  
 2 Cal. Code of Regs. Section 18216  
 2 Cal. Code of Regs. Section 18225.7  
 2 Cal. Code of Regs. Section 18420.1  
 2 Cal. Code of Regs. Section 18421.1  
 2 Cal. Code of Regs. Section 18421.31  
 2 Cal. Code of Regs. Section 18422  
 2 Cal. Code of Regs. Section 18423  
 2 Cal. Code of Regs. Section 18428  
 2 Cal. Code of Regs. Section 18521.5  
 2 Cal. Code of Regs. Section 18530.3  
 2 Cal. Code of Regs. Section 18531.7  
 2 Cal. Code of Regs. Section 18540  
 2 Cal. Code of Regs. Section 18572  
 2 Cal. Code of Regs. Section 18950  
 2 Cal. Code of Regs. Section 18950.3

Opinions: In re Montoya (1989) 12 FPPC Ops. 7  
In re Johnson (1989) 12 FPPC Ops. 1  
In re Bell (1988) 11 FPPC Ops. 1  
In re Nielsen (1979) 5 FPPC Ops. 18  
In re Buchanan (1979) 5 FPPC Ops. 14  
In re Reinhardt (1977) 3 FPPC Ops. 83  
In re Cannon (1976) 2 FPPC Ops. 133  
In re Willmarth (1976) 2 FPPC Ops. 130  
In re Adams (1976) 2 FPPC Ops. 127  
In re Dixon (1976) 2 FPPC Ops. 70  
In re McCormick (1976) 2 FPPC Ops. 42  
In re Burciaga (1976) 2 FPPC Ops. 17  
In re Hayes (1975) 1 FPPC Ops. 210  
In re Christiansen (1975) 1 FPPC Ops. 170  
In re Cory (1975) 1 FPPC Ops. 137

### § 82016. Controlled Committee.

(a) “Controlled committee” means a committee that is controlled directly or indirectly by a candidate or state measure proponent or that acts jointly with a candidate, controlled committee, or state measure proponent in connection with the making of expenditures. A candidate or state measure proponent controls a committee if he or she, his or her agent, or any other committee he or she controls has a significant influence on the actions or decisions of the committee.

(b) Notwithstanding subdivision (a), a political party committee, as defined in Section 85205, is not a controlled committee.

History: Amended by Stats. 1983, Ch. 898; amended by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18217  
 2 Cal. Code of Regs. Section 18405  
 2 Cal. Code of Regs. Section 18521  
 2 Cal. Code of Regs. Section 18521.5

### § 82017. County.

“County” includes a city and county.

### § 82018. Cumulative Amount.

(a) Except as provided in subdivisions (b), (c), and (d), “cumulative amount” means the amount of contributions received or expenditures made in the calendar year.

(b) For a filer required to file a campaign statement or independent expenditure report in one year in connection with an election to be held in another year, the period over which the cumulative amount is calculated shall end on the closing date of the first semiannual statement filed after the election.

(c) For a filer required to file a campaign statement in connection with the qualification of a measure which extends into two calendar years, the period over which the cumulative amount is calculated shall end on December 31 of the second calendar year.

(d) For a person filing a campaign statement with a period modified by the provisions of this section, the next period over which the cumulative amount is calculated shall begin on the day after the closing date of the statement.

History: Amended by Stats. 1976, Ch. 1106; repealed and reenacted as amended by Stats. 1980, Ch. 289; amended by Stats. 1985, Ch. 1456; amended by Stats. 1992, Ch. 405; amended by Stats. 1993, Ch. 769.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4

### § 82019. Designated Employee.

(a) “Designated employee” means any officer, employee, member, or consultant of any agency whose position with the agency:

(1) Is exempt from the state civil service system by virtue of subdivision (a), (c), (d), (e), (f), (g), or (m) of Section 4 of Article VII of the Constitution, unless the position is elective or solely secretarial, clerical, or manual.

(2) Is elective, other than an elective state office.

(3) Is designated in a Conflict of Interest Code because the position entails the making or participation in the making of decisions which may foreseeably have a material effect on any financial interest.

(4) Is involved as a state employee at other than a clerical or ministerial level in the functions of negotiating or signing any contract awarded through competitive bidding, in making decisions in conjunction with the competitive bidding process, or in negotiating, signing, or making decisions on contracts executed pursuant to Section 10122 of the Public Contract Code.

(b)(1) “Designated employee” does not include an elected state officer, any unsalaried member of any

board or commission which serves a solely advisory function, any public official specified in Section 87200, and also does not include any unsalaried member of a nonregulatory committee, section, commission, or other such entity of the State Bar of California.

(2) “Designated employee” does not include a federal officer or employee serving in an official federal capacity on a state or local government agency. The state or local government agency shall annually obtain, and maintain in its files for public inspection, a copy of any public financial disclosure report filed by the federal officer or employee pursuant to federal law.

History: Amended by Stats. 1979, Ch. 674; amended by Stats. 1983, Ch. 1108; amended by Stats. 1984, Ch. 727, operative July 1, 1985; amended by Stats. 1985, Ch. 611; amended by Stats. 2004, Ch. 484.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18219  
2 Cal. Code of Regs. Section 18700.3  
2 Cal. Code of Regs. Section 18701

#### **§ 82020. Elected Officer.**

“Elected officer” means any person who holds an elective office or has been elected to an elective office but has not yet taken office. A person who is appointed to fill a vacant elective office is an elected officer.

#### **§ 82021. Elected State Officer.**

“Elected state officer” means any person who holds an elective state office or has been elected to an elective state office but has not yet taken office. A person who is appointed to fill a vacant elective state office is an elected state officer.

#### **§ 82022. Election.**

“Election” means any primary, general, special or recall election held in this state. The primary and general or special elections are separate elections for purposes of this title.

#### **§ 82023. Elective Office.**

“Elective office” means any state, regional, county, municipal, district or judicial office that is filled at an election. “Elective office” also includes membership on a county central committee of a qualified political party, and membership through election on the Board of Administration of the Public Employees’ Retirement System or the Teachers’ Retirement Board.

History: Amended by Stats. 1998, Ch. 923; amended by Stats. 2010, Ch. 633.

#### **§ 82024. Elective State Office.**

“Elective state office” means the office of Governor, Lieutenant Governor, Attorney General, Insurance Commissioner, Controller, Secretary of State, Treasurer, Superintendent of Public Instruction, Member of the Legislature, member elected to the Board of Administration of the Public Employees’ Retirement System, member elected to the Teachers’ Retirement Board, and member of the State Board of Equalization.

History: Amended by Stats. 1991, Ch. 674; amended by Stats. 1998, Ch. 923; amended by Stats. 2010, Ch. 633.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18723

#### **§ 82025. Expenditure.**

“Expenditure” means a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment, unless it is clear from the surrounding circumstances that it is not made for political purposes. “Expenditure” does not include a candidate’s use of his or her own money to pay for either a filing fee for a declaration of candidacy or a candidate statement prepared pursuant to Section 13307 of the Elections Code. An expenditure is made on the date the payment is made or on the date consideration, if any, is received, whichever is earlier.

History: Amended by Stats. 1997, Ch. 394.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18215.2  
2 Cal. Code of Regs. Section 18225  
2 Cal. Code of Regs. Section 18225.4  
2 Cal. Code of Regs. Section 18225.7  
2 Cal. Code of Regs. Section 18421.1  
2 Cal. Code of Regs. Section 18421.6  
2 Cal. Code of Regs. Section 18423  
2 Cal. Code of Regs. Section 18450.11  
2 Cal. Code of Regs. Section 18530.3  
2 Cal. Code of Regs. Section 18531.7

Opinions: In re Lui (1987) 10 FPPC Ops. 10  
In re Buchanan (1979) 5 FPPC Ops. 14  
In re Welsh (1978) 4 FPPC Ops. 78  
In re Cannon (1976) 2 FPPC Ops. 133  
In re Juvinall, Stull, Meyers, Republican Central Committee of Orange County, Tuteur (1976) 2 FPPC Ops. 110  
In re Sobieski (1976) 2 FPPC Ops. 73  
In re Hayes (1975) 1 FPPC Ops. 210  
In re Christiansen (1975) 1 FPPC Ops. 170  
In re Kelly, Masini (1975) 1 FPPC Ops. 162

#### **§ 82025.3. External Manager.**

(a) “External manager” means either of the following:

(1) A person who is seeking to be, or is, retained by a state public retirement system in California or an investment vehicle to manage a

portfolio of securities or other assets for compensation.

(2) A person who manages an investment fund and who offers or sells, or has offered or sold, an ownership interest in the investment fund to a state public retirement system in California or an investment vehicle.

(b) For purposes of this section, “investment fund” has the same meaning as set forth in Section 7513.8.

(c) For purposes of this section, “investment vehicle” has the same meaning as set forth in Section 82047.3.

History: Added by Stats. 2010, Ch. 668; amended by Stats. 2011, Ch. 704, effective October 9, 2011.

#### **§ 82025.5. Fair Market Value.**

“Fair market value” means the estimated fair market value of goods, services, facilities or anything of value other than money. Whenever the amount of goods, services, facilities, or anything of value other than money is required to be reported under this title, the amount reported shall be the fair market value, and a description of the goods, services, facilities, or other thing of value shall be appended to the report or statement. “Full and adequate consideration” as used in this title means fair market value.

History: Added by Stats. 1985, Ch. 775.

References at the time of publication (see page 3):

Opinions: In re Hopkins (1977) 3 FPPC Ops. 107  
In re Stone (1977) 3 FPPC Ops. 52  
In re Thomas (1977) 3 FPPC Ops. 30  
In re Cory (1975) 1 FPPC Ops. 153

#### **§ 82026. Filer.**

“Filer” means the person filing or required to file any statement or report under this title.

#### **§ 82027. Filing Officer.**

“Filing officer” means the office or officer with whom any statement or report is required to be filed under this title. If copies of a statement or report are required to be filed with more than one office or officer, the one first named is the filing officer, and the copy filed with him shall be signed in the original and shall be deemed the original copy.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18227

#### **§ 82027.5. General Purpose Committee.**

(a) “General purpose committee” means all committees pursuant to subdivision (b) or (c) of Section 82013, and any committee pursuant to subdivision (a) of Section 82013 which is formed or

exists primarily to support or oppose more than one candidate or ballot measure, except as provided in Section 82047.5.

(b) A “state general purpose committee” is a political party committee, as defined in Section 85205, or a committee to support or oppose candidates or measures voted on in a state election, or in more than one county.

(c) A “county general purpose committee” is a committee to support or oppose candidates or measures voted on in only one county, or in more than one jurisdiction within one county.

(d) A “city general purpose committee” is a committee to support or oppose candidates or measures voted on in only one city.

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 2004, Ch. 623, effective September 21, 2004.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.8  
 2 Cal. Code of Regs. Section 18521.5

#### **§ 82028. Gift.**

(a) “Gift” means, except as provided in subdivision (b), any payment that confers a personal benefit on the recipient, to the extent that consideration of equal or greater value is not received and includes a rebate or discount in the price of anything of value unless the rebate or discount is made in the regular course of business to members of the public without regard to official status. Any person, other than a defendant in a criminal action, who claims that a payment is not a gift by reason of receipt of consideration has the burden of proving that the consideration received is of equal or greater value.

(b) The term “gift” does not include:

(1) Informational material such as books, reports, pamphlets, calendars, or periodicals. No payment for travel or reimbursement for any expenses shall be deemed “informational material.”

(2) Gifts which are not used and which, within 30 days after receipt, are either returned to the donor or delivered to a nonprofit entity exempt from taxation under Section 501(c)(3) of the Internal Revenue Code without being claimed as a charitable contribution for tax purposes.

(3) Gifts from an individual’s spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin or the spouse of any such person; provided that a gift from any such person shall be considered a gift if the donor is acting as an agent or intermediary for any person not covered by this paragraph.



(4) Campaign contributions required to be reported under Chapter 4 of this title.

(5) Any devise or inheritance.

(6) Personalized plaques and trophies with an individual value of less than two hundred fifty dollars (\$250).

History: Amended by Stats. 1978, Ch. 641; amended by Stats. 1986, Ch. 654; amended by Stats. 1997, Ch. 450, effective September 24, 1997.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229  
 2 Cal. Code of Regs. Section 18229.1  
 2 Cal. Code of Regs. Section 18730.1  
 2 Cal. Code of Regs. Section 18932.4  
 2 Cal. Code of Regs. Section 18940  
 2 Cal. Code of Regs. Section 18940.1  
 2 Cal. Code of Regs. Section 18941  
 2 Cal. Code of Regs. Section 18942  
 2 Cal. Code of Regs. Section 18942.1  
 2 Cal. Code of Regs. Section 18942.2  
 2 Cal. Code of Regs. Section 18942.3  
 2 Cal. Code of Regs. Section 18943  
 2 Cal. Code of Regs. Section 18944  
 2 Cal. Code of Regs. Section 18944.1  
 2 Cal. Code of Regs. Section 18944.2  
 2 Cal. Code of Regs. Section 18944.3  
 2 Cal. Code of Regs. Section 18944.4  
 2 Cal. Code of Regs. Section 18945  
 2 Cal. Code of Regs. Section 18945.2  
 2 Cal. Code of Regs. Section 18945.4  
 2 Cal. Code of Regs. Section 18946-18946.5  
 2 Cal. Code of Regs. Section 18950  
 2 Cal. Code of Regs. Section 18950.1  
 2 Cal. Code of Regs. Section 18950.2  
 2 Cal. Code of Regs. Section 18950.3

Opinions: In re Roberts (2004) 17 FPPC Ops. 9  
In re Hopkins (1977) 3 FPPC Ops. 107  
In re Stone (1977) 3 FPPC Ops. 52  
In re Gutierrez (1977) 3 FPPC Ops. 44  
In re Thomas (1977) 3 FPPC Ops. 30  
In re Nida (1977) 3 FPPC Ops. 1  
In re Torres (1976) 2 FPPC Ops. 31  
In re Brown (1975) 1 FPPC Ops. 677  
In re Hayes (1975) 1 FPPC Ops. 210  
In re Russel (1975) 1 FPPC Ops. 191  
In re Cory (1975) 1 FPPC Ops. 153  
In re Cory (1975) 1 FPPC Ops. 137  
In re Cory (1976) 2 FPPC Ops. 48  
In re Spellman (1975) 1 FPPC Ops. 16  
In re Lunardi (1975) 1 FPPC Ops. 97

### § 82029. Immediate Family.

“Immediate family” means the spouse and dependent children.

History: Amended by Stats. 1980, Ch. 1000.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229  
 2 Cal. Code of Regs. Section 18229.1  
 2 Cal. Code of Regs. Section 18234

Opinions: In re Roberts (2004) 17 FPPC Ops. 9

### § 82030. Income.

(a) “Income” means, except as provided in subdivision (b), a payment received, including but not limited to any salary, wage, advance, dividend, interest, rent, proceeds from any sale, gift, including any gift of food or beverage, loan, forgiveness or payment of indebtedness received by the filer, reimbursement for expenses, per diem, or contribution to an insurance or pension program paid by any person other than an employer, and including any community property interest in the income of a spouse. Income also includes an outstanding loan. Income of an individual also includes a pro rata share of any income of any business entity or trust in which the individual or spouse owns, directly, indirectly or beneficially, a 10-percent interest or greater. “Income,” other than a gift, does not include income received from any source outside the jurisdiction and not doing business within the jurisdiction, not planning to do business within the jurisdiction, or not having done business within the jurisdiction during the two years prior to the time any statement or other action is required under this title.

(b) “Income” also does not include:

(1) Campaign contributions required to be reported under Chapter 4 (commencing with Section 84100).

(2) Salary and reimbursement for expenses or per diem, and social security, disability, or other similar benefit payments received from a state, local, or federal government agency and reimbursement for travel expenses and per diem received from a bona fide nonprofit entity exempt from taxation under Section 501(c)(3) of the Internal Revenue Code.

(3) Any devise or inheritance.

(4) Interest, dividends, or premiums on a time or demand deposit in a financial institution, shares in a credit union or any insurance policy, payments received under any insurance policy, or any bond or other debt instrument issued by any government or government agency.

(5) Dividends, interest, or any other return on a security which is registered with the Securities and Exchange Commission of the United States government or a commodity future registered with the Commodity Futures Trading Commission of the United States government, except proceeds from the sale of these securities and commodities futures.

(6) Redemption of a mutual fund.

(7) Alimony or child support payments.

(8) Any loan or loans from a commercial lending institution which are made in the lender’s regular course of business on terms available to

members of the public without regard to official status.

(9) Any loan from or payments received on a loan made to an individual's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, uncle, aunt, or first cousin, or the spouse of any such person, provided that a loan or loan payment received from any such person shall be considered income if he or she is acting as an agent or intermediary for any person not covered by this paragraph.

(10) Any indebtedness created as part of a retail installment or credit card transaction if made in the lender's regular course of business on terms available to members of the public without regard to official status.

(11) Payments received under a defined benefit pension plan qualified under Internal Revenue Code Section 401(a).

(12) Proceeds from the sale of securities registered with the Securities and Exchange Commission of the United States government or from the sale of commodities futures registered with the Commodity Futures Trading Commission of the United States government if the filer sells the securities or the commodities futures on a stock or commodities exchange and does not know or have reason to know the identity of the purchaser.

History: Amended by Stats. 1976, Ch. 1161; amended by Stats. 1977, Ch. 230, effective July 7, 1977; amended by Stats. 1977, Ch. 344, effective August 20, 1977; amended by Stats. 1978, Ch. 641; amended by Stats. 1979, Ch. 686; amended by Stats. 1980, Ch. 183; amended by Stats. 1984, Ch. 931; amended by Stats. 1987, Ch. 936; amended by Stats. 1997, Ch. 455, effective September 24, 1997; amended by Stats. 2002, Ch. 172; amended by Stats. 2004, Ch. 484.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229  
2 Cal. Code of Regs. Section 18230  
2 Cal. Code of Regs. Section 18232  
2 Cal. Code of Regs. Section 18234  
2 Cal. Code of Regs. Section 18235  
2 Cal. Code of Regs. Section 18728.5  
2 Cal. Code of Regs. Section 18940  
2 Cal. Code of Regs. Section 18944  
2 Cal. Code of Regs. Section 18950.1  
2 Cal. Code of Regs. Section 18950.2  
2 Cal. Code of Regs. Section 18950.3

Opinions: In re Roberts (2004) 17 FPPC Ops. 9  
In re Elmore (1978) 4 FPPC Ops. 8  
In re Carey (1977) 3 FPPC Ops. 99  
In re Moore (1977) 3 FPPC Ops. 33  
In re Hayes (1975) 1 FPPC Ops. 210  
In re Brown (1975) 1 FPPC Ops. 67

#### **§ 82030.5. Income; Earned.**

(a) For purposes of this title, "earned income" means, except as provided in subdivision (b), income

from wages, salaries, professional fees, and other amounts received or promised to be received as compensation for personal services rendered.

(b) Income which is not "earned income" includes, but is not limited to, the following:

(1) Any income derived from stocks, bonds, property, or other investments, or from retail or wholesale sales.

(2) Any amount paid by, or on behalf of, an elected state officer to a tax-qualified pension, profit sharing, or stock bonus plan and received by the elected state officer from the plan.

(3) The community property interest in the income of a spouse.

History: Added by Stats. 1990, Ch. 1075.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229  
2 Cal. Code of Regs. Section 18932

Opinions: In re Roberts (2004) 17 FPPC Ops. 9

#### **§ 82031. Independent Expenditure.**

"Independent expenditure" means an expenditure made by any person, including a payment of public moneys by a state or local government agency, in connection with a communication which expressly advocates the election or defeat of a clearly identified candidate or the qualification, passage or defeat of a clearly identified measure, or taken as a whole and in context, unambiguously urges a particular result in an election but which is not made to or at the behest of the affected candidate or committee.

History: Formerly titled "Independent Committee." Repealed by Stats. 1979, Ch. 779. Added by Stats. 1980, Ch. 289. (Formerly Section 82031.5.) Amended by Stats. 2009, Ch. 363.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18225.7  
2 Cal. Code of Regs. Section 18420.1  
2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18530.3

#### **§ 82031.5. Independent Expenditure. [Repealed]**

History: Added by Stats. 1979, Ch. 779; repealed by Stats. 1980, Ch. 289. (Reenacted as amended and renumbered Section 82031.)

#### **§ 82032. Influencing Legislative or Administrative Action.**

"Influencing legislative or administrative action" means promoting, supporting, influencing, modifying, opposing or delaying any legislative or administrative action by any means, including but not limited to the provision or use of information, statistics, studies or analyses.

References at the time of publication (see page 3):

Opinions: In re Evans (1978) 4 FPPC Ops. 54  
In re Leonard (1976) 2 FPPC Ops. 54  
In re Nida (1976) 2 FPPC Ops. 1

### § 82033. Interest in Real Property.

“Interest in real property” includes any leasehold, beneficial or ownership interest or an option to acquire such an interest in real property located in the jurisdiction owned directly, indirectly or beneficially by the public official, or other filer, or his or her immediate family if the fair market value of the interest is two thousand dollars (\$2,000) or more. Interests in real property of an individual includes a pro rata share of interests in real property of any business entity or trust in which the individual or immediate family owns, directly, indirectly or beneficially, a 10-percent interest or greater.

History: Amended by Stats. 1978, Ch. 607; amended by Stats. 1980, Ch. 1000; amended by Stats. 1984, Ch. 931; amended by Stats. 2000, Ch. 130.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
 2 Cal. Code of Regs. Section 18233  
 2 Cal. Code of Regs. Section 18234  
 2 Cal. Code of Regs. Section 18235  
 2 Cal. Code of Regs. Section 18702.3  
 2 Cal. Code of Regs. Section 18729

Opinions: In re Overstreet (1981) 6 FPPC Ops. 12

### § 82034. Investment.

“Investment” means any financial interest in or security issued by a business entity, including, but not limited to, common stock, preferred stock, rights, warrants, options, debt instruments, and any partnership or other ownership interest owned directly, indirectly, or beneficially by the public official, or other filer, or his or her immediate family, if the business entity or any parent, subsidiary, or otherwise related business entity has an interest in real property in the jurisdiction, or does business or plans to do business in the jurisdiction, or has done business within the jurisdiction at any time during the two years prior to the time any statement or other action is required under this title. An asset shall not be deemed an investment unless its fair market value equals or exceeds two thousand dollars (\$2,000). The term “investment” does not include a time or demand deposit in a financial institution, shares in a credit union, any insurance policy, interest in a diversified mutual fund registered with the Securities and Exchange Commission under the Investment Company Act of 1940 or in a common trust fund created pursuant to Section 1564 of the Financial Code, interest in a government defined-benefit pension plan, or any bond or other debt instrument issued by any government or government agency.

Investments of an individual includes a pro rata share of investments of any business entity, mutual fund, or trust in which the individual or immediate family owns, directly, indirectly, or beneficially, a 10-percent interest or greater. The term “parent, subsidiary or otherwise related business entity” shall be specifically defined by regulations of the commission.

History: Amended by Stats. 1978, Ch. 607; amended by Stats. 1980, Ch. 1000; amended by Stats. 1984, Ch. 931; amended by Stats. 2000, Ch. 130; amended by Stats. 2007, Ch. 348.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
 2 Cal. Code of Regs. Section 18230  
 2 Cal. Code of Regs. Section 18234  
 2 Cal. Code of Regs. Section 18235  
 2 Cal. Code of Regs. Section 18237

Opinions: In re Nord (1983) 8 FPPC Ops. 6  
In re Baty (1979) 5 FPPC Ops. 10  
In re Elmore (1978) 4 FPPC Ops. 8

### § 82035. Jurisdiction.

“Jurisdiction” means the state with respect to a state agency and, with respect to a local government agency, the region, county, city, district or other geographical area in which it has jurisdiction. Real property shall be deemed to be “within the jurisdiction” with respect to a local government agency if the property or any part of it is located within or not more than two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency.

History: Amended by Stats. 1975, Ch. 499, effective September 5, 1975; amended by Stats. 1993, Ch. 769.

#### § 82035.5. LAFCO Proposal.

“LAFCO proposal” means a proposal, as defined in Section 56069, including a proceeding, as defined by Section 56067.

History: Added by Stats. 2008, Ch. 192; amended by Stats. 2009, Ch. 113.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18417

### § 82036. Late Contribution.

“Late contribution” means any of the following:

(a) A contribution, including a loan, that totals in the aggregate one thousand dollars (\$1,000) or more and is made to or received by a candidate, a controlled committee, or a committee formed or existing primarily to support or oppose a candidate or measure during the 90-day period preceding the date of the election, or on the date of the election, at which the candidate or measure is to be voted on. For purposes of the Board of Administration of the Public Employees’ Retirement System and the Teachers’



Retirement Board, “the date of the election” is the deadline to return ballots.

(b) A contribution, including a loan, that totals in the aggregate one thousand dollars (\$1,000) or more and is made to or received by a political party committee, as defined in Section 85205, within 90 days before the date of a state election or on the date of the election.

History: Amended by Stats. 1977, Ch. 344, effective August 20, 1977; repealed and reenacted as amended by Stats. 1980, Ch. 289; amended by Stats. 2004, Ch. 623, effective September 21, 2004; amended by Stats. 2005, Ch. 22; amended by Stats. 2010, Ch. 633; amended by Stats. 2012, Ch. 496; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18116  
2 Cal. Code of Regs. Section 18425

#### **§ 82036.5. Late Independent Expenditure.**

“Late independent expenditure” means an independent expenditure that totals in the aggregate one thousand dollars (\$1,000) or more and is made for or against a specific candidate or measure involved in an election during the 90-day period preceding the date of the election or on the date of the election. For purposes of the Board of Administration of the Public Employees’ Retirement System and the Teachers’ Retirement Board, “the date of the election” is the deadline to return ballots.

History: Added by Stats. 1980, Ch. 289; amended by Stats. 2010, Ch. 633; amended by Stats. 2012, Ch. 496; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18116  
2 Cal. Code of Regs. Section 18550

#### **§ 82037. Legislative Action.**

“Legislative action” means the drafting, introduction, consideration, modification, enactment or defeat of any bill, resolution, amendment, report, nomination or other matter by the Legislature or by either house or any committee, subcommittee, joint or select committee thereof, or by a member or employee of the Legislature acting in his official capacity. “Legislative action” also means the action of the Governor in approving or vetoing any bill.

References at the time of publication (see page 3):

Opinions: In re Cohen (1975) 1 FPPC Ops. 10

#### **§ 82038. Legislative Official.**

“Legislative official” means any employee or consultant of the Legislature whose duties are not solely secretarial, clerical or manual.

References at the time of publication (see page 3):

Opinions: In re Morrissey (1976) 2 FPPC Ops. 120

#### **§ 82038.5. Lobbying Firm.**

(a) “Lobbying firm” means any business entity, including an individual contract lobbyist, which meets either of the following criteria:

(1) The business entity receives or becomes entitled to receive any compensation, other than reimbursement for reasonable travel expenses, for the purpose of influencing legislative or administrative action on behalf of any other person, and any partner, owner, officer, or employee of the business entity is a lobbyist.

(2) The business entity receives or becomes entitled to receive any compensation, other than reimbursement for reasonable travel expenses, to communicate directly with any elective state official, agency official, or legislative official for the purpose of influencing legislative or administrative action on behalf of any other person, if a substantial or regular portion of the activities for which the business entity receives compensation is for the purpose of influencing legislative or administrative action.

(b) No business entity is a lobbying firm by reason of activities described in Section 86300.

History: Added by Stats. 1985, Ch. 1183, effective September 29, 1985; amended by Stats. 1986, Ch. 905.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18238.5  
2 Cal. Code of Regs. Section 18614

#### **§ 82039. Lobbyist.**

(a) “Lobbyist” means either of the following:

(1) Any individual who receives two thousand dollars (\$2,000) or more in economic consideration in a calendar month, other than reimbursement for reasonable travel expenses, or whose principal duties as an employee are, to communicate directly or through his or her agents with any elective state official, agency official, or legislative official for the purpose of influencing legislative or administrative action.

(2) A placement agent, as defined in Section 82047.3.

(b) An individual is not a lobbyist by reason of activities described in Section 86300.

(c) For the purposes of subdivision (a), a proceeding before the Public Utilities Commission constitutes “administrative action” if it meets any of the definitions set forth in subdivision (b) or (c) of Section 82002. However, a communication made for the purpose of influencing this type of Public Utilities Commission proceeding is not within subdivision (a) if the communication is made at a public hearing, public workshop, or other public forum that is part of the proceeding, or if the communication is included in the official record of the proceeding.

History: Amended by Stats. 1975, Ch. 915, effective September 20, 1975, operative January 7, 1975; amended by Stats. 1984, Ch. 161; amended by Proposition 208 of the November 1996 Statewide General Election; amended by Stats. 2001, Ch. 921; amended by Stats. 2010, Ch. 668.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18239  
2 Cal. Code of Regs. Section 18601

Opinions: In re Evans (1978) 4 FPPC Ops. 54  
In re Morrissey (1976) 2 FPPC Ops. 84  
In re Leonard (1976) 2 FPPC Ops. 54  
In re Zenz (1975) 1 FPPC Ops. 195  
In re Hardie (1975) 1 FPPC Ops. 140  
In re Stern (1975) 1 FPPC Ops. 59  
In re McCarthy (1975) 1 FPPC Ops. 50  
In re Carson (1975) 1 FPPC Ops. 46  
In re California Labor Federation (1975) 1 FPPC Ops. 28  
In re Cohen (1975) 1 FPPC Ops. 10

#### **§ 82039.5. Lobbyist Employer.**

“Lobbyist employer” means any person, other than a lobbying firm, who:

(a) Employs one or more lobbyists for economic consideration, other than reimbursement for reasonable travel expenses, for the purpose of influencing legislative or administrative action, or

(b) Contracts for the services of a lobbying firm for economic consideration, other than reimbursement for reasonable travel expense, for the purpose of influencing legislative or administrative action.

History: Added by Stats. 1985, Ch. 1183, Effective September 29, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18239.5  
2 Cal. Code of Regs. Section 18614

#### **§ 82040. Lobbyist’s Account. [Repealed]**

History: Repealed by Stats. 1985, Ch. 1183, effective September 29, 1985.

#### **§ 82041. Local Government Agency.**

“Local government agency” means a county, city or district of any kind including school district, or any other local or regional political subdivision, or any department, division, bureau, office, board, commission or other agency of the foregoing.

History: Amended by Stats. 1984, Ch. 727, effective July 1, 1985.

References at the time of publication (see page 3):

Opinions: In re Rotman (1987) 10 FPPC Ops. 1  
In re Leach (1978) 4 FPPC Ops. 48  
In re Siegel (1977) 3 FPPC Ops. 62  
In re Witt (1975) 1 FPPC Ops. 1

#### **§ 82041.5. Mass Mailing.**

“Mass mailing” means over two hundred substantially similar pieces of mail, but does not

include a form letter or other mail which is sent in response to an unsolicited request, letter or other inquiry.

History: Amended by Proposition 73 on the June 1988 statewide primary ballot, effective June 8, 1988; amended by Stats. 1988, Ch. 1027.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18435  
2 Cal. Code of Regs. Section 18901  
2 Cal. Code of Regs. Section 18901.1

Opinions: In re Welsh (1978) 4 FPPC Ops. 78  
In re Juvinal, Stull, Meyers, Republican Central Committee of Orange County, Tuteur (1976) 2 FPPC Ops. 110  
In re Sobieski (1976) 2 FPPC Ops. 73  
In re Valdez (1976) 2 FPPC Ops. 21

#### **§ 82042. Mayor.**

“Mayor” of a city includes mayor of a city and county.

#### **§ 82043. Measure.**

“Measure” means any constitutional amendment or other proposition which is submitted to a popular vote at an election by action of a legislative body, or which is submitted or is intended to be submitted to a popular vote at an election by initiative, referendum or recall procedure whether or not it qualifies for the ballot.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.5  
Opinions: In re Fontana (1976) 2 FPPC Ops. 25

#### **§ 82044. Payment.**

“Payment” means a payment, distribution, transfer, loan, advance, deposit, gift or other rendering of money, property, services or anything else of value, whether tangible or intangible.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18944  
2 Cal. Code of Regs. Section 18950.1  
Opinions: In re Johnson (1989) 12 FPPC Ops. 1  
In re Gutierrez (1977) 3 FPPC Ops. 44  
In re McCormick (1976) 2 FPPC Ops. 42  
In re Burciaga (1976) 2 FPPC Ops. 17  
In re Cory (1975) 1 FPPC Ops. 137

#### **§ 82045. Payment to Influence Legislative or Administrative Action.**

“Payment to influence legislative or administrative action” means any of the following types of payment:

(a) Direct or indirect payment to a lobbyist whether for salary, fee, compensation for expenses, or any other purpose, by a person employing or contracting for the services of the lobbyist separately or jointly with other persons;

(b) Payment in support or assistance of a lobbyist or his activities, including but not limited to the direct payment of expenses incurred at the request or suggestion of the lobbyist;

(c) Payment which directly or indirectly benefits any elective state official, legislative official or agency official or a member of the immediate family of any such official;

(d) Payment, including compensation, payment or reimbursement for the services, time or expenses of an employee, for or in connection with direct communication with any elective state official, legislative official or agency official;

(e) Payment for or in connection with soliciting or urging other persons to enter into direct communication with any elective state official, legislative official or agency official.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1

Opinions: In re Kovall (1978) 4 FPPC Ops. 95  
In re Nida (1977) 3 FPPC Ops. 1  
In re Morrissey (1976) 2 FPPC Ops. 84  
In re Naylor (1976) 2 FPPC Ops. 65  
In re Leonard (1976) 2 FPPC Ops. 54  
In re Gillies (1975) 1 FPPC Ops. 165  
In re Morrissey (1975) 1 FPPC Ops. 130

#### § 82046. Period Covered.

(a) "Period covered" by a statement or report required to be filed by this title, other than a campaign statement, means, unless a different period is specified, the period beginning with the day after the closing date of the most recent statement or report which was required to be filed, and ending with the closing date of the statement or report in question. If the person filing the statement or report has not previously filed a statement or report of the same type, the period covered begins on the day on which the first reportable transaction occurred. Nothing in this chapter shall be interpreted to exempt any person from disclosing transactions which occurred prior to the effective date of this title according to the laws then in effect.

(b) "Period covered" by a campaign statement required to be filed by this title means, unless a different period is specified, the period beginning the day after the closing date of the most recent campaign statement which was required to be filed and ending with the closing date of the statement in question. If a person has not previously filed a campaign statement, the period covered begins on January 1.

History: Amended by Stats. 1976, Ch. 1106; amended by Stats. 1980, Ch. 289.

References at the time of publication (see page 3):

Opinions: In re Welsh (1978) 4 FPPC Ops. 78

In re Juvinall, Stull, Meyers, Republican Central Committee of Orange County, Tuteur (1976) 2 FPPC Ops. 110

In re Sobieski (1976) 2 FPPC Ops. 73

In re Valdez (1976) 2 FPPC Ops. 21

#### § 82047. Person.

"Person" means an individual, proprietorship, firm, partnership, joint venture, syndicate, business trust, company, corporation, limited liability company, association, committee, and any other organization or group of persons acting in concert.

History: Amended by Stats. 1994, Ch. 1010.

References at the time of publication (see page 3):

Opinions: In re Lumsdon (1976) 2 FPPC Ops. 140

In re Witt (1975) 1 FPPC Ops. 1

#### § 82047.3. Placement Agent.

(a) "Placement agent" means an individual directly or indirectly hired, engaged, or retained by, or serving for the benefit of or on behalf of, an external manager or an investment fund managed by an external manager, and who acts or has acted for compensation as a finder, solicitor, marketer, consultant, broker, or other intermediary in connection with the offer or sale to a state public retirement system in California or an investment vehicle either of the following:

(1) In the case of an external manager within the meaning of paragraph (1) of subdivision (a) of Section 82025.3, the investment management services of the external manager.

(2) In the case of an external manager within the meaning of paragraph (2) of subdivision (a) of Section 82025.3, an ownership interest in an investment fund managed by the external manager.

(b) Notwithstanding subdivision (a), an individual who is an employee, officer, director, equityholder, partner, member, or trustee of an external manager and who spends one-third or more of his or her time, during a calendar year, managing the securities or assets owned, controlled, invested, or held by the external manager is not a placement agent.

(c) Notwithstanding subdivision (a), an employee, officer, or director of an external manager, or of an affiliate of an external manager, is not a placement agent with respect to an offer or sale of investment management services described in subdivision (a) if all of the following apply:

(1) The external manager is registered as an investment adviser or a broker-dealer with the Securities and Exchange Commission or, if exempt from or not subject to registration with the Securities and Exchange Commission, any appropriate state securities regulator.



(2) The external manager is participating in a competitive bidding process, such as a request for proposals, subject to subdivision (a) of Section 22364 of the Education Code or subdivision (a) of Section 20153 of this code, as applicable, or has been selected through that process, and is providing services pursuant to a contract executed as a result of that competitive bidding process.

(3) The external manager, if selected through a competitive bidding process described in paragraph (2), has agreed to a fiduciary standard of care, as defined by the standards of conduct applicable to the retirement board of a public pension or retirement system and set forth in Section 17 of Article XVI of the California Constitution, when managing a portfolio of assets of a state public retirement system in California.

(d) For purposes of this section, “investment fund” has the same meaning as set forth in Section 7513.8.

(e) For purposes of this section, “investment vehicle” means a corporation, partnership, limited partnership, limited liability company, association, or other entity, either domestic or foreign, managed by an external manager in which a state public retirement system in California is the majority investor and that is organized in order to invest with, or retain the investment management services of, other external managers.

History: Added by Stats. 2010, Ch. 668; amended by Stats. 2011, Ch. 704, effective October 9, 2011.

#### **§ 82047.5. Primarily Formed Committee.**

“Primarily formed committee” means a committee pursuant to subdivision (a) of Section 82013 which is formed or exists primarily to support or oppose any of the following:

- (a) A single candidate.
- (b) A single measure.
- (c) A group of specific candidates being voted upon in the same city, county, or multicounty election.

(d) Two or more measures being voted upon in the same city, county, multicounty, or state election.

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 1990, Ch. 626; amended by Stats. 1991, Ch. 191; amended by Stats. 1995, Ch. 295.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18247.5  
2 Cal. Code of Regs. Section 18421.8  
2 Cal. Code of Regs. Section 18521.5

#### **§ 82047.6. Principal Officer.**

(a) “Principal officer” means the individual primarily responsible for approving the political activities of a committee, including, but not limited

to, the following activities:

(1) Authorizing the content of communications made by the committee.

(2) Authorizing expenditures, including contributions, on behalf of the committee.

(3) Determining the committee’s campaign strategy.

(b) If two or more individuals share the primary responsibility for approving the political activities of a committee, each individual is a principal officer.

History: Added by Stats. 2012, Ch. 496.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18402.1

#### **§ 82047.7. Proponent of a State Ballot Measure.**

“Proponent of a state ballot measure” means “proponent” as defined in Section 9002 of the Elections Code.

History: Added by Stats. 1988, Ch. 704; amended by Stats. 1994, Ch. 923; renumbered by Stats. 2012, Ch. 496. (Formerly Section 82047.6.)

#### **§ 82048. Public Official.**

(a) “Public official” means every member, officer, employee or consultant of a state or local government agency.

(b) Notwithstanding subdivision (a), “public official” does not include the following:

(1) A judge or court commissioner in the judicial branch of government.

(2) A member of the Board of Governors and designated employees of the State Bar of California.

(3) A member of the Judicial Council.

(4) A member of the Commission on Judicial Performance, provided that he or she is subject to the provisions of Article 2.5 (commencing with Section 6035) of Chapter 4 of Division 3 of the Business and Professions Code as provided in Section 6038 of that article.

(5) A federal officer or employee serving in an official federal capacity on a state or local government agency.

History: Amended by Stats. 1984, Ch. 727, operative July 1, 1985; amended by Stats. 2004, Ch. 484.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18700.3  
2 Cal. Code of Regs. Section 18701  
2 Cal. Code of Regs. Section 18940.1

Opinions: In re Rotman (1987) 10 FPPC Ops. 1  
In re Maloney (1977) 3 FPPC Ops. 69  
In re Siegel (1977) 3 FPPC Ops. 62

**§ 82048.3. Slate Mailer.**

“Slate mailer” means a mass mailing which supports or opposes a total of four or more candidates or ballot measures.

History: Added by Stats. 1987, Ch. 905.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401.1

**§ 82048.4. Slate Mailer Organization.**

(a) “Slate mailer organization” means, except as provided in subdivision (b), any person who, directly or indirectly, does all of the following:

(1) Is involved in the production of one or more slate mailers and exercises control over the selection of the candidates and measures to be supported or opposed in the slate mailers.

(2) Receives or is promised payments totaling five hundred dollars (\$500) or more in a calendar year for the production of one or more slate mailers.

(b) Notwithstanding subdivision (a), a slate mailer organization shall not include any of the following:

(1) A candidate or officeholder or a candidate’s or officeholder’s controlled committee.

(2) An official committee of any political party.

(3) A legislative caucus committee.

(4) A committee primarily formed to support or oppose a candidate, officeholder, or ballot measure.

(c) The production and distribution of slate mailers by a slate mailer organization shall not be considered making contributions or expenditures for purposes of subdivision (b) or (c) of Section 82013. If a slate mailer organization makes contributions or expenditures other than by producing or distributing slate mailers, and it reports those contributions and expenditures pursuant to Sections 84218 and 84219, no additional campaign reports shall be required of the slate mailer organization pursuant to Section 84200 or 84200.5.

History: Added by Stats. 1987, Ch. 905; renumbered by Stats. 1988, Ch. 160.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401.1

**§ 82048.5. Special District.**

“Special district” means any agency of the state established for the local performance of governmental or proprietary functions within limited boundaries. “Special district” includes a county service area, a maintenance district or area, an improvement district or zone, an air pollution control district, or a redevelopment agency. “Special district” shall not include a city, county, city and county, or school district.

History: Added by Stats. 1994, Ch. 36.

**§ 82048.7. Sponsored Committee.**

(a) “Sponsored committee” means a committee, other than a candidate controlled committee, that has one or more sponsors. Any person, except a candidate or other individual, may sponsor a committee.

(b) A person sponsors a committee if any of the following apply:

(1) The committee receives 80 percent or more of its contributions from the person or its members, officers, employees, or shareholders.

(2) The person collects contributions for the committee by use of payroll deductions or dues from its members, officers, or employees.

(3) The person, alone or in combination with other organizations, provides all or nearly all of the administrative services for the committee.

(4) The person, alone or in combination with other organizations, sets the policies for soliciting contributions or making expenditures of committee funds.

(c) A sponsor that is a multipurpose organization, as defined in subdivision (a) of Section 84222, and that makes contributions or expenditures from its general treasury funds shall comply with Section 84222.

History: Added by Stats. 1985, Ch. 498; amended by Stats. 1988, Ch. 1155; amended by Stats. 1991, Ch. 130; amended by Stats. 2005, Ch. 200; amended by Stats. 2014, Ch. 16, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18419  
2 Cal. Code of Regs. Section 18421.1

**§ 82049. State Agency.**

“State agency” means every state office, department, division, bureau, board and commission, and the Legislature.

History: Amended by Stats. 1984, Ch. 727, operative July 1, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18249

**§ 82050. State Candidate.**

“State candidate” means a candidate who seeks nomination or election to any elective state office.

**§ 82051. State Measure.**

“State measure” means any measure which is submitted or is intended to be submitted to the voters of the state.

**§ 82052. Statewide Candidate.**

“Statewide candidate” means a candidate who seeks election to any statewide elective office.

**§ 82052.5. Statewide Election.**

“Statewide election” means an election for statewide elective office.

**§ 82053. Statewide Elective Office.**

“Statewide elective office” means the office of Governor, Lieutenant Governor, Attorney General, Insurance Commissioner, Controller, Secretary of State, Treasurer, Superintendent of Public Instruction and member of the State Board of Equalization.

History: Amended by Stats. 1991, Ch. 674; amended by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**§ 82054. Statewide Petition.**

“Statewide petition” means a petition to qualify a proposed state measure.

**§ 82055. Voting Age Population. [Repealed]**

History: Repealed by Stats. 1979, Ch. 779.

**Chapter 3. Fair Political Practices Commission.****§ 83100 - 83124**

- § 83100. Establishment; Membership.
- § 83101. Appointment by Governor.
- § 83102. Appointment by Attorney General, Secretary of State and Controller.
- § 83103. Terms of Office.
- § 83104. Vacancies; Quorum.
- § 83105. Qualifications; Removal.
- § 83106. Compensation; Expenses.
- § 83107. Executive Officer; Staff; Staff Compensation.
- § 83108. Delegation of Authority.
- § 83109. Civil Service Classification.
- § 83110. Offices; Public Meetings.
- § 83111. Administration and Implementation of Title.
- § 83111.5. Actions to Implement Title.
- § 83112. Rules and Regulations.
- § 83113. Additional Duties.
- § 83114. Requests For and Issuances of Opinions; Advice.
- § 83115. Investigations; Notice.
- § 83115.5. Findings of Probable Cause; Requirements.
- § 83116. Violation of Title.
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§ 83117.6. Financial Disclosure Statement: First Filing by Commission Members. [Repealed]

§ 83118. Subpoena Powers.

§ 83119. Self-Incrimination.

§ 83120. Judicial Review.

§ 83121. Judicial Advancement of Action.

§ 83122. Fair Political Practices Commission; Appropriation.

§ 83123. Local Enforcement.

§ 83123.5. Enforcement of San Bernardino County Campaign Ordinance.

§ 83123.6. Enforcement of City of Stockton Campaign Ordinance.

§ 83124. Cost of Living Adjustment.

**§ 83100. Establishment; Membership.**

There is hereby established in state government the Fair Political Practices Commission. The Commission shall have five members, including the chairman. No more than three members of the Commission shall be members of the same political party.

**§ 83101. Appointment by Governor.**

The chairman and one additional member of the Commission shall be appointed by the Governor. The Governor’s appointees shall not be members of the same political party.

**§ 83102. Appointment by Attorney General, Secretary of State and Controller.**

(a) The Attorney General, the Secretary of State and the Controller shall each appoint one member of the Commission.

(b) If the Attorney General, the Secretary of State and the Controller are all members of the same political party, the chairman of the state central committee of any other political party with a registration of more than five hundred thousand may submit to the Controller a list of not less than five persons who are qualified and willing to be members of the Commission. The list shall be submitted not less than ten days after the effective date of this chapter for the Controller’s initial appointment, and not later than January 2 immediately prior to any subsequent appointment by the Controller. If the Controller receives one or more lists pursuant to this section, his appointment shall be made from one of such lists.

**§ 83103. Terms of Office.**

Members and the chairman of the Commission shall serve four-year terms beginning on February 1



and ending on January 31 or as soon thereafter as their successors are qualified, except that the initial appointees under Section 83102 shall serve six-year terms. No member or chairman who has been appointed at the beginning of a term is eligible for reappointment.

History: Amended by Stats. of 1987, Ch. 624.

#### **§ 83104. Vacancies; Quorum.**

Vacancies on the Commission shall be filled, within thirty days, by appointment of the same official who appointed the prior holder of the position. The provisions of Section 83102 (b) are not applicable to the filling of vacancies. Appointments to fill vacancies shall be for the unexpired term of the member or chairman whom the appointee succeeds. A vacancy or vacancies shall not impair the right of the remaining members to exercise all of the powers of the board. Three members shall constitute a quorum.

#### **§ 83105. Qualifications; Removal.**

Each member of the Commission shall be an elector. No member of the Commission, during his or her tenure, shall hold, any other public office, serve as an officer of any political party or partisan organization, participate in or contribute to an election campaign, or employ or be employed as a lobbyist nor, during his or her term of appointment, seek election to any other public office. Members of the Commission may be removed by the Governor, with concurrence of the Senate, for substantial neglect of duty, gross misconduct in office, inability to discharge the powers and duties of office or violation of this section, after written notice and opportunity for a reply.

History: Amended by Stats. 1986, Ch. 620.

#### **§ 83106. Compensation; Expenses.**

The chairman of the Commission shall be compensated at the same rate as the president of the Public Utilities Commission. Each remaining member shall be compensated at the rate of one hundred dollars (\$100) for each day on which he engages in official duties. The members and chairman of the Commission shall be reimbursed for expenses incurred in performance of their official duties.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18307

#### **§ 83107. Executive Officer; Staff; Staff Compensation.**

The Commission shall appoint an executive director who shall act in accordance with

Commission policies and regulations and with applicable law. The Commission shall appoint and discharge officers, counsel and employees, consistent with applicable civil service laws, and shall fix the compensation of employees and prescribe their duties.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18327

#### **§ 83108. Delegation of Authority.**

The Commission may delegate authority to the chairman or the executive director to act in the name of the Commission between meetings of the Commission.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18319  
2 Cal. Code of Regs. Section 18327  
2 Cal. Code of Regs. Section 18361.9  
2 Cal. Code of Regs. Section 18363

#### **§ 83109. Civil Service Classification.**

For purposes of Section 19818.6, a nonclerical position under the Commission shall not be included in the same class in the civil service classification plan with any position of any other department or agency.

History: Amended by Stats. 2013, Ch. 654.

#### **§ 83110. Offices; Public Meetings.**

The principal office of the Commission shall be in Sacramento but it may establish offices, meet, and exercise its powers at any other place in the state. Meetings of the Commission shall be public except that the Commission may provide otherwise for discussions of personnel and litigation.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18310  
2 Cal. Code of Regs. Section 18327

#### **§ 83111. Administration and Implementation of Title.**

The Commission has primary responsibility for the impartial, effective administration and implementation of this title.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18200  
2 Cal. Code of Regs. Section 18327  
2 Cal. Code of Regs. Section 18361.10

#### **§ 83111.5. Actions to Implement Title.**

The Commission shall take no action to implement this title that would abridge constitutional guarantees of freedom of speech, that would deny any person of life, liberty, or property without due process of law, or that would deny any person the equal protection of the laws.

History: Added by Stats. 1999, Ch. 225, effective August 24, 1999.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18327

### **§ 83112. Rules and Regulations.**

The Commission may adopt, amend and rescind rules and regulations to carry out the purposes and provisions of this title, and to govern procedures of the Commission. These rules and regulations shall be adopted in accordance with the Administrative Procedure Act (Government Code, Title 2, Division 3, Part 1, Chapter 4.5, Sections 11371 et seq.) and shall be consistent with this title and other applicable law.

History: Fair Political Practices Commission v. Office of Administrative Law and Linda Stockdale Brewer, Sacramento County Superior Court, Case No. 512795 (affirmed by Court of Appeal, Third District (April 27, 1992), Case No. C010924).

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18200  
2 Cal. Code of Regs. Section 18312  
2 Cal. Code of Regs. Section 18327  
2 Cal. Code of Regs. Section 18539.2

### **§ 83113. Additional Duties.**

The Commission shall, in addition to its other duties, do all of the following:

(a) Prescribe forms for reports, statements, notices and other documents required by this title.

(b) Prepare and publish manuals and instructions setting forth methods of bookkeeping and preservation of records to facilitate compliance with and enforcement of this title, and explaining the duties of persons and committees under this title.

(c) Provide assistance to agencies and public officials in administering the provisions of this title.

(d) Maintain a central file of local campaign contribution and expenditure ordinances forwarded to it by local government agencies.

(e) Annually publish a booklet not later than March 1 that sets forth the provisions of this title and includes other information the Commission deems pertinent to the interpretation and enforcement of this title. The Commission shall provide a reasonable number of copies of the booklet at no charge for the use of governmental agencies and subdivisions thereof that request copies of the booklet.

The Commission may charge a fee, not to exceed the prorated cost of producing the booklet, for providing copies of the booklet to other persons and organizations.

History: Amended by Stats. 1979, Ch. 531; amended by Stats. 1999, Ch. 855.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18313  
2 Cal. Code of Regs. Section 18313.5

2 Cal. Code of Regs. Section 18313.6  
2 Cal. Code of Regs. Section 18327

### **§ 83114. Requests For and Issuances of Opinions; Advice.**

(a) Any person may request the Commission to issue an opinion with respect to his duties under this title. The Commission shall, within 14 days, either issue the opinion or advise the person who made the request whether an opinion will be issued. No person who acts in good faith on an opinion issued to him by the Commission shall be subject to criminal or civil penalties for so acting, provided that the material facts are as stated in the opinion request. The Commission's opinions shall be public records and may from time to time be published.

(b) Any person may request the Commission to provide written advice with respect to the person's duties under this title. Such advice shall be provided within 21 working days of the request, provided that the time may be extended for good cause. It shall be a complete defense in any enforcement proceeding initiated by the Commission, and evidence of good faith conduct in any other civil or criminal proceeding, if the requester, at least 21 working days prior to the alleged violation, requested written advice from the Commission in good faith, disclosed truthfully all the material facts, and committed the acts complained of either in reliance on the advice or because of the failure of the Commission to provide advice within 21 days of the request or such later extended time.

History: Amended by Stats. 1976, Ch. 1080.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18320  
2 Cal. Code of Regs. Section 18321  
2 Cal. Code of Regs. Section 18322  
2 Cal. Code of Regs. Section 18324  
2 Cal. Code of Regs. Section 18326  
2 Cal. Code of Regs. Section 18327  
2 Cal. Code of Regs. Section 18329  
2 Cal. Code of Regs. Section 18329.5

### **§ 83115. Investigations; Notice.**

Upon the sworn complaint of any person or on its own initiative, the Commission shall investigate possible violations of this title relating to any agency, official, election, lobbyist or legislative or administrative action. Within 14 days after receipt of a complaint under this section, the Commission shall notify in writing the person who made the complaint of the action, if any, the Commission has taken or plans to take on the complaint, together with the reasons for such action or nonaction. If no decision has been made within 14 days, the person who made the complaint shall be notified of the reasons for the delay and shall subsequently receive notification as provided above.

History: Amended by Stats. 1985, Ch. 775.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18327  
 2 Cal. Code of Regs. Section 18360  
 2 Cal. Code of Regs. Section 18361  
 2 Cal. Code of Regs. Section 18361.1  
 2 Cal. Code of Regs. Section 18361.2  
 2 Cal. Code of Regs. Section 18361.3  
 2 Cal. Code of Regs. Section 18361.4  
 2 Cal. Code of Regs. Section 18361.5  
 2 Cal. Code of Regs. Section 18361.6  
 2 Cal. Code of Regs. Section 18361.7  
 2 Cal. Code of Regs. Section 18361.8  
 2 Cal. Code of Regs. Section 18362

#### **§ 83115.5. Findings of Probable Cause; Requirements.**

No finding of probable cause to believe this title has been violated shall be made by the Commission unless, at least 21 days prior to the Commission's consideration of the alleged violation, the person alleged to have violated this title is notified of the violation by service of process or registered mail with return receipt requested, provided with a summary of the evidence, and informed of his right to be present in person and represented by counsel at any proceeding of the Commission held for the purpose of considering whether probable cause exists for believing the person violated this title. Notice to the alleged violator shall be deemed made on the date of service, the date the registered mail receipt is signed, or if the registered mail receipt is not signed, the date returned by the post office. A proceeding held for the purpose of considering probable cause shall be private unless the alleged violator files with the Commission a written request that the proceeding be public.

History: Added by Stats. 1976, Ch. 1080.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18327  
 2 Cal. Code of Regs. Section 18361  
 2 Cal. Code of Regs. Section 18361.1  
 2 Cal. Code of Regs. Section 18361.2  
 2 Cal. Code of Regs. Section 18361.3  
 2 Cal. Code of Regs. Section 18361.4  
 2 Cal. Code of Regs. Section 18361.5  
 2 Cal. Code of Regs. Section 18361.6  
 2 Cal. Code of Regs. Section 18361.7  
 2 Cal. Code of Regs. Section 18361.8  
 2 Cal. Code of Regs. Section 18362

#### **§ 83116. Violation of Title.**

When the commission determines there is probable cause for believing this title has been violated, it may hold a hearing to determine if a violation has occurred. Notice shall be given and the hearing conducted in accordance with the Administrative Procedure Act (Chapter 5 (commencing with Section 11500), Part 1, Division 3, Title 2, Government Code). The commission shall have all the powers granted by that

chapter. When the commission determines on the basis of the hearing that a violation has occurred, it shall issue an order that may require the violator to do all or any of the following:

- (a) Cease and desist violation of this title.
- (b) File any reports, statements, or other documents or information required by this title.
- (c) Pay a monetary penalty of up to five thousand dollars (\$5,000) per violation to the General Fund of the state. When the Commission determines that no violation has occurred, it shall publish a declaration so stating.

History: Amended by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18316.5  
 2 Cal. Code of Regs. Section 18316.6  
 2 Cal. Code of Regs. Section 18327  
 2 Cal. Code of Regs. Section 18361  
 2 Cal. Code of Regs. Section 18361.1  
 2 Cal. Code of Regs. Section 18361.2  
 2 Cal. Code of Regs. Section 18361.3  
 2 Cal. Code of Regs. Section 18361.4  
 2 Cal. Code of Regs. Section 18361.5  
 2 Cal. Code of Regs. Section 18361.6  
 2 Cal. Code of Regs. Section 18361.7  
 2 Cal. Code of Regs. Section 18361.8  
 2 Cal. Code of Regs. Section 18361.9  
 2 Cal. Code of Regs. Section 18361.10  
 2 Cal. Code of Regs. Section 18361.11  
 2 Cal. Code of Regs. Section 18362

#### **§ 83116.3. Administrative Law Judge; Rejection.**

Whenever the Commission rejects the decision of an administrative law judge made pursuant to Section 11517, the Commission shall state the reasons in writing for rejecting the decision.

History: Added by Stats. 1999, Ch. 297.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18327

#### **§ 83116.5. Liability for Violations; Administrative.**

Any person who violates any provision of this title, who purposely or negligently causes any other person to violate any provision of this title, or who aids and abets any other person in the violation of any provision of this title, shall be liable under the provisions of this chapter. However, this section shall apply only to persons who have filing or reporting obligations under this title, or who are compensated for services involving the planning, organizing, or directing any activity regulated or required by this title, and a violation of this section shall not constitute an additional violation under Chapter 11 (commencing with Section 91000).



History: Added by Stats. 1984, Ch. 670; amended by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18316.5  
2 Cal. Code of Regs. Section 18316.6  
2 Cal. Code of Regs. Section 18327

**§ 83117. Authority of Commission.**

The Commission may:

- (a) Accept grants, contributions and appropriations;
- (b) Contract for any services which cannot satisfactorily be performed by its employees;
- (c) Employ legal counsel. Upon request of the Commission, the Attorney General shall provide legal advice and representation without charge to the Commission.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18327

**§ 83117.5. Receipt of Gift.**

It shall be unlawful for a member of the Commission to receive a gift of ten dollars (\$10) or more per month.

“Gift” as used in this section means a gift made directly or indirectly by a state candidate, an elected state officer, a legislative official, an agency official, or a lobbyist or by any person listed in Section 87200.

History: Added by Stats. 1975, Ch. 797, effective September 16, 1975.

**§ 83117.6. Financial Disclosure Statement: First Filing by Commission Members. [Repealed]**

History: Added by Stats. 1975, Ch. 797, effective September 16, 1975; repealed by Stats. 1978, Ch. 566.

**§ 83118. Subpoena Powers.**

The Commission may subpoena witnesses, compel their attendance and testimony, administer oaths and affirmations, take evidence and require by subpoena the production of any books, papers, records or other items material to the performance of the Commission’s duties or exercise of its powers.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18363

**§ 83119. Self-Incrimination.**

The Commission may refuse to excuse any person from testifying, or from producing books, records, correspondence, documents or other evidence in obedience to the subpoena of the Commission notwithstanding an objection that the testimony or evidence required of him may tend to incriminate him. No individual shall be prosecuted in

any manner or subjected to any penalty or forfeiture whatever for or on account of any transaction, act, matter or thing concerning which he is compelled, after having claimed his privilege against self-incrimination, to testify or produce evidence, except that the individual so testifying shall not be exempt from prosecution and punishment for perjury committed in so testifying. No immunity shall be granted to any witness under this section unless the Commission has notified the Attorney General of its intention to grant immunity to the witness at least thirty days in advance, or unless the Attorney General waives this requirement.

**§ 83120. Judicial Review.**

An interested person may seek judicial review of any action of the Commission.

**§ 83121. Judicial Advancement of Action.**

If judicial review is sought of any action of the Commission relating to a pending election, the matter shall be advanced on the docket of the court and put ahead of other actions. The court may, consistent with due process of law, shorten deadlines and take other steps necessary to permit a timely decision.

**§ 83122. Fair Political Practices Commission; Appropriation.**

There is hereby appropriated from the General Fund of the state to the Fair Political Practices Commission the sum of five hundred thousand dollars (\$500,000) during the fiscal year of 1974-1975, and the sum of one million dollars (\$1,000,000), adjusted for cost-of-living changes, during each fiscal year thereafter, for expenditure to support the operations of the Commission pursuant to this title. The expenditure of funds under this appropriation shall be subject to the normal administrative review given to other state appropriations. The Legislature shall appropriate such additional amounts to the Commission and other agencies as may be necessary to carry out the provisions of this title.

The Department of Finance, in preparing the state budget and the Budget Bill submitted to the Legislature, shall include an item for the support of the Political Reform Act of 1974, which item shall indicate all of the following: (1) the amounts to be appropriated to other agencies to carry out their duties under this title, which amounts shall be in augmentation of the support items of such agencies; (2) the additional amounts required to be appropriated by the Legislature to the Commission to carry out the purposes of this title, as provided for

in this section; and (3) in parentheses, for informational purposes, the continuing appropriation during each fiscal year of one million dollars (\$1,000,000) adjusted for cost-of-living changes made to the Commission by this section.

The definition of “expenditure” in Section 82025 is not applicable to this section.

History: Amended by Stats. 1976, Ch. 1075, effective September 21, 1976.

#### **§ 83123. Local Enforcement.**

The Commission shall establish a division of local enforcement to administer, interpret, and enforce, in accordance with the findings, declarations, purposes, and provisions of this title, those provisions relating to local government agencies as defined in Section 82041.

History: Added by Stats. 1984, Ch. 1681, effective September 30, 1984.

#### **§ 83123.5. Enforcement of San Bernardino County Campaign Ordinance.**

(a) Upon mutual agreement between the Commission and the Board of Supervisors of the County of San Bernardino, the Commission is authorized to assume primary responsibility for the impartial, effective administration, implementation, and enforcement of a local campaign finance reform ordinance passed by the Board of Supervisors of the County of San Bernardino. The Commission is authorized to be the civil prosecutor responsible for the civil enforcement of that local campaign finance reform ordinance in accordance with this title. As the civil prosecutor of the County of San Bernardino’s local campaign finance reform ordinance, the Commission may do both of the following:

(1) Investigate possible violations of the local campaign finance reform ordinance.

(2) Bring administrative actions in accordance with this title and Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2.

(b) Any local campaign finance reform ordinance of the County of San Bernardino enforced by the Commission pursuant to this section shall comply with this title.

(c) The Board of Supervisors of the County of San Bernardino shall consult with the Commission prior to adopting and amending any local campaign finance reform ordinance that is subsequently enforced by the Commission pursuant to this section.

(d)(1) The Board of Supervisors of the County of San Bernardino and the Commission may enter into any agreements necessary and appropriate to carry out the provisions of this section, including agreements pertaining to any necessary

reimbursement of state costs with county funds for costs incurred by the Commission in administering, implementing, or enforcing a local campaign finance reform ordinance pursuant to this section.

(2) An agreement entered into pursuant to this subdivision shall not contain any form of a cancellation fee, a liquidated damages provision, or other financial disincentive to the exercise of the right to terminate the agreement pursuant to subdivision (e), except that the Commission may require the Board of Supervisors of the County of San Bernardino to pay the Commission for services rendered and any other expenditures reasonably made by the Commission in anticipation of services to be rendered pursuant to the agreement in the event that the Board of Supervisors of the County of San Bernardino terminates the agreement.

(e) The Board of Supervisors of the County of San Bernardino or the Commission may, at any time, by ordinance or resolution, terminate any agreement made pursuant to this section for the Commission to administer, implement, or enforce a local campaign finance reform ordinance or any provision thereof.

(f) If an agreement is entered into pursuant to this section, the Commission shall report to the Legislature regarding the performance of that agreement on or before January 1, 2017, and shall submit that report in compliance with Section 9795. The Commission shall develop the report in consultation with the County of San Bernardino. The report shall include, but not be limited to, all of the following:

(1) The status of the agreement.

(2) The estimated annual cost savings, if any, for the County of San Bernardino.

(3) A summary of relevant annual performance metrics, including measures of utilization, enforcement, and customer satisfaction.

(4) Any public comments submitted to the Commission or the County of San Bernardino relative to the operation of the agreement.

(5) Any legislative recommendations.

History: Added by Stats. 2012, Ch. 169; amended by Stats. 2016, Ch. 202.

#### **§ 83123.6. Enforcement of City of Stockton Campaign Ordinance.**

(a) Upon mutual agreement between the Commission and the City Council of the City of Stockton, the Commission is authorized to assume primary responsibility for the impartial, effective administration, implementation, and enforcement of a local campaign finance reform ordinance passed by

the City Council of the City of Stockton. The Commission is authorized to be the civil prosecutor responsible for the civil enforcement of that local campaign finance reform ordinance in accordance with this title. As the civil prosecutor of the City of Stockton's local campaign finance reform ordinance, the Commission may do both of the following:

(1) Investigate possible violations of the local campaign finance reform ordinance.

(2) Bring administrative actions in accordance with this title and Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2.

(b) Any local campaign finance reform ordinance of the City of Stockton enforced by the Commission pursuant to this section shall comply with this title.

(c) The City Council of the City of Stockton shall consult with the Commission before adopting and amending any local campaign finance reform ordinance that is subsequently enforced by the Commission pursuant to this section.

(d) (1) The City Council of the City of Stockton and the Commission may enter into any agreements necessary and appropriate to carry out the provisions of this section, including agreements pertaining to any necessary reimbursement of state costs with city funds for costs incurred by the Commission in administering, implementing, or enforcing a local campaign finance reform ordinance pursuant to this section.

(2) An agreement entered into pursuant to this subdivision shall not contain any form of a cancellation fee, a liquidated damages provision, or other financial disincentive to the exercise of the right to terminate the agreement pursuant to subdivision (e), except that the Commission may require the City Council of the City of Stockton to pay the Commission for services rendered and any other expenditures reasonably made by the Commission in anticipation of services to be rendered pursuant to the agreement if the City Council of the City of Stockton terminates the agreement.

(e) The City Council of the City of Stockton or the Commission may, at any time, by ordinance or resolution, terminate any agreement made pursuant to this section for the Commission to administer, implement, or enforce a local campaign finance reform ordinance or any provision thereof.

(f) If an agreement is entered into pursuant to this section, the Commission shall report to the Legislature regarding the performance of that agreement on or before January 1, 2019, and shall submit that report in compliance with Section 9795. The Commission shall develop the report in

consultation with the City Council of the City of Stockton. The report shall include, but not be limited to, all of the following:

(1) The status of the agreement.

(2) The estimated annual cost savings, if any, for the City of Stockton.

(3) A summary of relevant annual performance metrics, including measures of utilization, enforcement, and customer satisfaction.

(4) Public comments submitted to the Commission or the City of Stockton relative to the operation of the agreement.

(5) Legislative recommendations.

(g) This section shall remain in effect only until January 1, 2020, and as of that date is repealed, unless a later enacted statute, that is enacted before January 1, 2020, deletes or extends that date.

History: Added by Stats. 2015, Ch. 186, effective January 1, 2016.

#### **§ 83124. Cost of Living Adjustment.**

The commission shall adjust the contribution limitations and voluntary expenditure limitations provisions in Sections 85301, 85302, 85303, and 85400 in January of every odd-numbered year to reflect any increase or decrease in the Consumer Price Index. Those adjustments shall be rounded to the nearest one hundred dollars (\$100) for limitations on contributions and one thousand dollars (\$1,000) for limitations on expenditures.

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18544  
2 Cal. Code of Regs. Section 18545

### **Chapter 4. Campaign Disclosure.** **§ 84100 - 84511**

Article 1. Organization of Committees.  
§ 84100 - 84108

2. Filing of Campaign Statements.  
§ 84200 - 84225

3. Prohibitions. § 84300 - 84310

4. Exemptions. § 84400

5. Advertisements. § 84501 - 84511

### **Article 1. Organization of Committees.** **§ 84100 - 84108**

§ 84100. Treasurer.

§ 84101. Statement of Organization; Filing.

§ 84101.5. Annual Fees.

§ 84102. Statement of Organization;  
Contents.



- § 84103. Statement of Organization; Amendment.
- § 84104. Recordkeeping.
- § 84105. Notification to Contributors.
- § 84106. Sponsored Committee; Identification.
- § 84107. Ballot Measure Committee; Identification.
- § 84108. Slate Mailer Organization; Statement of Organization.

#### § 84100. Treasurer.

Every committee shall have a treasurer. No expenditure shall be made by or on behalf of a committee without the authorization of the treasurer or that of his or her designated agents. No contribution or expenditure shall be accepted or made by or on behalf of a committee at a time when there is a vacancy in the office of treasurer.

History: Repealed and reenacted as amended by Stats. 1979, Ch. 779.

References at the time of publication (see page 3):

- Regulations: 2 Cal. Code of Regs. Section 18316.6
- 2 Cal. Code of Regs. Section 18401
- 2 Cal. Code of Regs. Section 18421.2
- 2 Cal. Code of Regs. Section 18426.1
- 2 Cal. Code of Regs. Section 18427
- 2 Cal. Code of Regs. Section 18700.1

- Opinions: In re Augustine (1975) 1 FPPC Ops. 69

#### § 84101. Statement of Organization; Filing.

(a) A committee that is a committee by virtue of subdivision (a) of Section 82013 shall file a statement of organization. The committee shall file the original of the statement of organization with the Secretary of State and shall also file a copy of the statement of organization with the local filing officer, if any, with whom the committee is required to file the originals of its campaign reports pursuant to Section 84215. The original and copy of the statement of organization shall be filed within 10 days after the committee has qualified as a committee. The Secretary of State shall assign a number to each committee that files a statement of organization and shall notify the committee of the number. The Secretary of State shall send a copy of statements filed pursuant to this section to the county elections official of each county that he or she deems appropriate. A county elections official who receives a copy of a statement of organization from the Secretary of State pursuant to this section shall send a copy of the statement to the clerk of each city in the county that he or she deems appropriate.

(b) In addition to filing the statement of organization as required by subdivision (a), if a committee qualifies as a committee under subdivision

(a) of Section 82013 before the date of an election in connection with which the committee is required to file preelection statements, but after the closing date of the last campaign statement required to be filed before the election pursuant to Section 84200.8 or 84200.9, the committee shall file, by facsimile transmission, online transmission, guaranteed overnight delivery, or personal delivery within 24 hours of qualifying as a committee, the information required to be reported in the statement of organization. The information required by this subdivision shall be filed with the filing officer with whom the committee is required to file the originals of its campaign reports pursuant to Section 84215.

(c) If an independent expenditure committee qualifies as a committee pursuant to subdivision (a) of Section 82013 during the time period described in Section 82036.5 and makes independent expenditures of one thousand dollars (\$1,000) or more to support or oppose a candidate or candidates for office, the committee shall file, by facsimile transmission, online transmission, guaranteed overnight delivery, or personal delivery within 24 hours of qualifying as a committee, the information required to be reported in the statement of organization. The information required by this section shall be filed with the filing officer with whom the committee is required to file the original of its campaign reports pursuant to Section 84215, and shall be filed at all locations required for the candidate or candidates supported or opposed by the independent expenditures. The filings required by this section are in addition to filings that may be required by Section 84204.

(d) For purposes of this section, in calculating whether two thousand dollars (\$2,000) in contributions has been received, payments for a filing fee or for a statement of qualifications to appear in a sample ballot shall not be included if these payments have been made from the candidate's personal funds.

History: Amended by Stats. 1978, Ch. 551; amended by Stats. 1979, Ch. 531; amended by Stats. 1986, Ch. 544; amended by Stats. 1992, Ch. 405; amended by Stats. 2001, Ch. 901; amended by Stats. 2004, Ch. 478, effective September 10, 2004; amended by Stats. 2010, Ch. 633; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

- Regulations: 2 Cal. Code of Regs. Section 18117
- 2 Cal. Code of Regs. Section 18401
- 2 Cal. Code of Regs. Section 18402.1
- 2 Cal. Code of Regs. Section 18404
- 2 Cal. Code of Regs. Section 18410
- 2 Cal. Code of Regs. Section 18421.2
- 2 Cal. Code of Regs. Section 18421.8
- 2 Cal. Code of Regs. Section 18503
- 2 Cal. Code of Regs. Section 18520
- 2 Cal. Code of Regs. Section 18521

**§ 84101.5. Annual Fees.**

(a) Notwithstanding Section 81006, the Secretary of State shall charge each committee that is required to file a statement of organization pursuant to subdivision (a) of Section 84101, and each committee that is required to file a statement of organization pursuant to subdivision (a) of Section 84101 shall pay, a fee of fifty dollars (\$50) per year until the committee is terminated pursuant to Section 84214.

(b) A committee shall pay the fee prescribed in subdivision (a) no later than 15 days after filing its statement of organization.

(c)(1) A committee annually shall pay the fee prescribed in subdivision (a) no later than January 15 of each year.

(2) A committee that is created and pays the initial fee pursuant to subdivision (b) in the final three months of a calendar year is not subject to the annual fee pursuant to paragraph (1) for the following calendar year.

(3) A committee that existed prior to January 1, 2013, shall pay the fee prescribed in subdivision (a) no later than February 15, 2013, and in accordance with paragraph (1) in each year thereafter. A committee that terminates pursuant to Section 84214 prior to January 31, 2013, is not required to pay a fee pursuant to this paragraph.

(d)(1) A committee that fails to timely pay a fee required by this section is subject to a penalty equal to three times the amount of the fee.

(2) The Commission shall enforce the requirements of this section.

History: Added by Stats. 2012, Ch. 506.

**§ 84102. Statement of Organization; Contents.**

The statement of organization required by Section 84101 shall include all of the following:

(a) The name, street address, and telephone number, if any, of the committee. In the case of a sponsored committee, the name of the committee shall include the name of its sponsor. If a committee has more than one sponsor, and the sponsors are members of an industry or other identifiable group, a term identifying that industry or group shall be included in the name of the committee.

(b) In the case of a sponsored committee, the name, street address, and telephone number of each sponsor.

(c) The full name, street address, and telephone number, if any, of the treasurer and any other principal officers.

(1) A committee with more than one principal officer shall identify its principal officers as follows:

(A) A committee with three or fewer principal officers shall identify all principal officers.

(B) A committee with more than three principal officers shall identify no fewer than three principal officers.

(2) If no individual other than the treasurer is a principal officer, the treasurer shall be identified as both the treasurer and the principal officer.

(d) The full name and office sought by a candidate, and the title and ballot number, if any, of any measure, that the committee supports or opposes as its primary activity. A committee that does not support or oppose one or more candidates or ballot measures as its primary activity shall provide a brief description of its political activities, including whether it supports or opposes candidates or measures and whether such candidates or measures have common characteristics, such as a political party preference.

(e) A statement whether the committee is independent or controlled and, if it is controlled, the name of each candidate or state measure proponent by which it is controlled, or the name of any controlled committee with which it acts jointly. If a committee is controlled by a candidate for partisan or voter-nominated office, the controlled committee shall indicate the political party, if any, for which the candidate has disclosed a preference.

(f) For a committee that is a committee by virtue of subdivision (a) or (b) of Section 82013, the name and address of the financial institution in which the committee has established an account and the account number.

(g) Other information as shall be required by the rules or regulations of the Commission consistent with the purposes and provisions of this chapter.

History: Amended by Stats. 1977, Ch. 1095; amended by Stats. 1985, Ch. 498; amended by Stats. 1986, Ch. 546; amended by Stats. 1990, Ch. 655; amended by Stats. 1992, Ch. 223; amended by Stats. 2000, Ch. 853; amended by Stats. 2012, Ch. 496; amended by Stats. 2013, Ch. 654.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18402  
2 Cal. Code of Regs. Section 18402.1  
2 Cal. Code of Regs. Section 18404.1  
2 Cal. Code of Regs. Section 18410  
2 Cal. Code of Regs. Section 18419  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18421.8  
2 Cal. Code of Regs. Section 18430  
2 Cal. Code of Regs. Section 18503  
2 Cal. Code of Regs. Section 18521.5

Opinions: In re Petris (1975) 1 FPPC Ops. 20

**§ 84103. Statement of Organization; Amendment.**

(a) If there is a change in any of the information contained in a statement of organization, an amendment shall be filed within 10 days to reflect the change. The committee shall file the original of the amendment with the Secretary of State and shall also file a copy of the amendment with the local filing officer, if any, with whom the committee is required to file the originals of its campaign reports pursuant to Section 84215.

(b) In addition to filing an amendment to a statement of organization as required by subdivision (a), a committee as defined in subdivision (a) of Section 82013 shall, by facsimile transmission, online transmission, guaranteed overnight delivery, or personal delivery within 24 hours, notify the filing officer with whom it is required to file the originals of its campaign reports pursuant to Section 84215 if the change requiring the amendment occurs before the date of the election in connection with which the committee is required to file a preelection statement, but after the closing date of the last preelection statement required to be filed for the election pursuant to Section 84200.8, if any of the following information is changed:

- (1) The name of the committee.
- (2) The name of the treasurer or other principal officers.
- (3) The name of any candidate or committee by which the committee is controlled or with which it acts jointly.

The notification shall include the changed information, the date of the change, the name of the person providing the notification, and the committee's name and identification number.

A committee may file a notification online only if the appropriate filing officer is capable of receiving the notification in that manner.

History: Amended by Stats. 1986, Ch. 544; amended by Stats. 1987, Ch. 479; amended by Stats. 2000, Ch. 853; amended by Stats. 2004, Ch. 478, effective September 10, 2004; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18402.1  
2 Cal. Code of Regs. Section 18404.1  
2 Cal. Code of Regs. Section 18410  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18503  
2 Cal. Code of Regs. Section 18521.5

**§ 84104. Recordkeeping.**

It shall be the duty of each candidate, treasurer, principal officer, and elected officer to maintain

detailed accounts, records, bills, and receipts necessary to prepare campaign statements, to establish that campaign statements were properly filed, and to otherwise comply with the provisions of this chapter. The detailed accounts, records, bills, and receipts shall be retained by the filer for a period specified by the Commission. However, the Commission shall not require retention of records for a period longer than the statute of limitations specified in Section 91000.5 or two years after the adoption of an audit report pursuant to Chapter 10 (commencing with Section 90000), whichever is less.

History: Added by Stats. 1979, Ch. 779; amended by Stats. 2004, Ch. 483; amended by Stats. 2012, Ch. 496.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18421.31  
2 Cal. Code of Regs. Section 18426.1  
2 Cal. Code of Regs. Section 18531.62

**§ 84105. Notification to Contributors.**

A candidate or committee that receives contributions of five thousand dollars (\$5,000) or more from any person shall inform the contributor within two weeks of receipt of the contributions that he or she may be required to file campaign reports, and shall include a reference to the filing requirements for multipurpose organizations under Section 84222. However, a candidate or committee that receives a contribution of ten thousand dollars (\$10,000) or more from any person during any period in which late contribution reports are required to be filed pursuant to Section 84203 shall provide the information to the contributor within one week. The notification required by this section is not required to be sent to any contributor who has an identification number assigned by the Secretary of State issued pursuant to Section 84101.

History: Added by Stats. 1984, Ch. 670; amended by Stats. 2014, Ch. 16, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18427.1

**§ 84106. Sponsored Committee; Identification.**

(a) Whenever identification of a sponsored committee is required by this title, the identification shall include the full name of the committee as required in its statement of organization.

(b) A sponsored committee shall use only one name in its statement of organization.

History: Added by Stats. 1985, Ch. 498; amended by Stats. 1986, Ch. 546; amended by Stats. 2004, Ch. 484.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401



2 Cal. Code of Regs. Section 18419  
2 Cal. Code of Regs. Section 18421.2

### **§ 84107. Ballot Measure Committee; Identification.**

Within 30 days of the designation of the numerical order of propositions appearing on the ballot, any committee which is primarily formed to support or oppose a ballot measure, shall, if supporting the measure, include the statement, “a committee for Proposition \_\_,” or, if opposing the measure, include the statement, “a committee against Proposition \_\_,” in any reference to the committee required by law.

History: Added by Stats. 1985, Ch. 498; amended by Stats. 2000, Ch. 853.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18531.5

### **§ 84108. Slate Mailer Organization; Statement of Organization.**

(a) Every slate mailer organization shall comply with the requirements of Sections 84100, 84101, 84103, and 84104.

(b) The statement of organization of a slate mailer organization shall include:

(1) The name, street address, and telephone number of the organization. In the case of an individual or business entity that qualifies as a slate mailer organization, the name of the slate mailer organization shall include the name by which the individual or entity is identified for legal purposes. Whenever identification of a slate mailer organization is required by this title, the identification shall include the full name of the slate mailer organization as contained in its statement of organization.

(2) The full name, street address, and telephone number of the treasurer and other principal officers.

(3) The full name, street address, and telephone number of each person with final decisionmaking authority as to which candidates or measures will be supported or opposed in the organization’s slate mailers.

(c) The statement of organization shall be filed with the Secretary of State within 10 days after the slate mailer organization receives or is promised five hundred dollars (\$500) or more for producing one or more slate mailers. However, if an entity qualifies as a slate mailer organization before the date of an election in which it is required to file preelection statements, but after the closing date of the last campaign statement required to be filed before the

election pursuant to Section 84218, the slate mailer organization shall file with the Secretary of State, by facsimile transmission, guaranteed overnight delivery, or personal delivery within 24 hours of qualifying as a slate mailer organization, the information required to be reported in the statement of organization.

History: Added by Stats. 1987, Ch. 905; amended by Stats. 1996, Ch. 892; amended by Stats. 2004, Ch. 478, effective September 10, 2004.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18402.1  
2 Cal. Code of Regs. Section 18421.2

### **Article 2. Filing of Campaign Statements. § 84200 - 84225**

§ 84200. Semi-Annual Statements.

§ 84200.3. Odd-Year Reports in Connection with a Statewide Direct Primary Election Held in March of an Even-Numbered Year. [Repealed]

§ 84200.4. Time for Filing Reports Required Pursuant to § 84200.3. [Repealed]

§ 84200.5. Preelection Statements.

§ 84200.6. Special Campaign Statements and Reports.

§ 84200.7. Time for Filing Preelection Statements for Elections Held in June or November of an Even-Numbered Year. [Repealed]

§ 84200.8. Timing for Filing Preelection Statements.

§ 84200.9. Time for Filing Preelection Statements for Candidates for the Board of Administration of the Public Employees’ Retirement System and Teachers’ Retirement Board.

§ 84201. Combination of Statements. [Repealed]

§ 84202. Closing Dates. [Repealed]

§ 84202.3. Campaign Statements; Ballot Measure Committees.

§ 84202.5. Supplemental Preelection Statement. [Repealed]

§ 84202.7. Time for Filing by Committees of Odd-Numbered Year Reports.

§ 84203. Late Contribution; Reports.

§ 84203.3. Late In-Kind Contributions.

§ 84203.5. Supplemental Independent Expenditure Report. [Repealed]

§ 84204. Late Independent Expenditures; Reports.

- § 84204.1. Election Statements; Exemption from Filing; Abbreviated Statements. [Repealed]
- § 84204.2. Preelection Statements; Final. [Repealed]
- § 84204.5. Ballot Measure Contributions and Expenditures; Reports
- § 84205. Combination of Statements.
- § 84206. Candidates Who Receive or Spend Less than \$2,000.
- § 84207. County Central Committee Candidates Who Receive or Spend Less Than \$2,000.
- § 84207.5. Appointments to Office; Filing Requirements. [Repealed]
- § 84208. Independent Expenditures; Reports. [Repealed]
- § 84209. Consolidated Statements.
- § 84210. Special Election Reports. [Repealed]
- § 84211. Contents of Campaign Statement.
- § 84212. Forms; Loans.
- § 84213. Verification.
- § 84214. Termination.
- § 84215. Campaign Reports and Statements; Where to File.
- § 84216. Loans.
- § 84216.5. Loans Made by a Candidate or Committee.
- § 84217. Federal Office Candidates; Places Filed.
- § 84218. Slate Mailer Organization; Campaign Statements.
- § 84219. Slate Mailer Organization; Semi-Annual Statements; Contents.
- § 84220. Slate Mailer Organization; Late Payments.
- § 84221. Slate Mailer Organization; Termination.
- § 84222. Multipurpose Organizations.
- § 84222.5. Publicly Funded Nonprofit Organizations.
- § 84223. Top Ten Contributor Lists.
- § 84224. Blank.
- § 84225. Public Employees' Retirement Board and Teachers' Retirement Board Candidates.

#### § 84200. Semi-Annual Statements.

(a) Except as provided in paragraphs (1), (2), and (3), elected officers, candidates, and committees pursuant to subdivision (a) of Section 82013 shall file semiannual statements each year no later than July 31

for the period ending June 30, and no later than January 31 for the period ending December 31.

(1) A candidate who, during the past six months has filed a declaration pursuant to Section 84206 shall not be required to file a semiannual statement for that six-month period.

(2) Elected officers whose salaries are less than two hundred dollars (\$200) a month, judges, judicial candidates, and their controlled committees shall not file semiannual statements pursuant to this subdivision for any six-month period in which they have not made or received any contributions or made any expenditures.

(3) A judge who is not listed on the ballot for reelection to, or recall from, any elective office during a calendar year shall not file semiannual statements pursuant to this subdivision for any six-month period in that year if both of the following apply:

(A) The judge has not received any contributions.

(B) The only expenditures made by the judge during the calendar year are contributions from the judge's personal funds to other candidates or committees totaling less than one thousand dollars (\$1,000).

(b) All committees pursuant to subdivision (b) or (c) of Section 82013 shall file campaign statements each year no later than July 31 for the period ending June 30, and no later than January 31 for the period ending December 31, if they have made contributions or independent expenditures, including payments to a slate mailer organization, during the six-month period before the closing date of the statements.

History: Amended by Stats. 1977, Ch. 1193; repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Time for Filing Campaign Statements in Connection with Elections Held at Times Other Than the State Direct Primary or the State General Election.") Amended by Stats. 1981, Ch. 78; amended by Stats. 1982, Ch. 1069; amended by Stats. 1983, Ch. 898; amended by Stats. 1984, Ch. 1368; repealed and reenacted as amended by Stats. 1985, Ch. 1456; amended by Stats. 1988, Ch. 708; amended by Stats. 1990, Ch. 581; amended by Stats. 1994, Ch. 1129; amended by Stats. 2000, Ch. 130.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18401  
 2 Cal. Code of Regs. Section 18405  
 2 Cal. Code of Regs. Section 18420  
 2 Cal. Code of Regs. Section 18421.2  
 2 Cal. Code of Regs. Section 18426

Opinions: In re Lui (1987) 10 FPPC Ops. 10  
In re Sampson (1975) 1 FPPC Ops. 183  
In re Kelly, Masini (1975) 1 FPPC Ops. 162  
In re Goodwin (1975) 1 FPPC Ops. 24

**§ 84200.3. Odd-Year Reports in Connection with a Statewide Direct Primary Election Held in March of an Even-Numbered Year. [Repealed]**

History: Added by Stats. 1999, Ch. 158, effective July 23, 1999; amended by Stats. 1999, Ch. 433, effective September 16, 1999; repealed by Stats. 2005, Ch. 200.

**§ 84200.4. Time for Filing Reports Required Pursuant to § 84200.3. [Repealed]**

History: Added and repealed by Stats. 1995, Ch. 470. (Formerly titled "Campaign Statements. (March 26, 1996.); added by Stats. 1999, Ch. 158, effective July 23, 1999; repealed by Stats. 2005, Ch. 200.

**§ 84200.5. Preelection Statements.**

In addition to the campaign statements required by Section 84200, elected officers, candidates, and committees shall file preelection statements as follows:

(a) All candidates appearing on the ballot to be voted on at the next election, their controlled committees, and committees primarily formed to support or oppose an elected officer, candidate, or a measure appearing on the ballot to be voted on at the next election shall file the applicable preelection statements specified in Section 84200.8.

(b) All elected state officers and candidates for elective state office who are not appearing on the ballot at the next statewide primary or general election, and who, during the preelection reporting periods covered by Section 84200.8, contribute to any committee required to report receipts, expenditures, or contributions pursuant to this title, or make an independent expenditure of five hundred dollars (\$500) or more in connection with the statewide primary or general election, shall file the applicable preelection statements specified in Section 84200.8.

(c) A state or county general purpose committee formed pursuant to subdivision (a) of Section 82013, other than a political party committee as defined in Section 85205, shall file the applicable preelection statements specified in Section 84200.8 if it makes contributions or independent expenditures totaling five hundred dollars (\$500) or more in connection with the statewide primary or general election during the period covered by the preelection statements. However, a state or county general purpose committee formed pursuant to subdivision (b) or (c) of Section 82013 is not required to file the preelection statements specified in Section 84200.8.

(d) A political party committee as defined in Section 85205 shall file the applicable preelection statements specified in Section 84200.8 in connection with a state election if the committee receives contributions totaling one thousand dollars (\$1,000) or more, or if it makes contributions or independent

expenditures totaling five hundred dollars (\$500) or more, in connection with the election during the period covered by the preelection statement.

(e) A city general purpose committee formed pursuant to subdivision (a) of Section 82013 shall file the applicable preelection statements specified in Section 84200.8 if it makes contributions or independent expenditures totaling five hundred dollars (\$500) or more in connection with a city election in the committee's jurisdiction during the period covered by the preelection statements. However, a city general purpose committee formed pursuant to subdivision (b) or (c) of Section 82013 is not required to file the preelection statements specified in Section 84200.8.

(f) During an election period for the Board of Administration of the Public Employees' Retirement System or the Teachers' Retirement Board:

(1) All candidates for these boards, their controlled committees, and committees primarily formed to support or oppose the candidates shall file the preelection statements specified in Section 84200.9.

(2) A state or county general purpose committee formed pursuant to subdivision (a) of Section 82013 shall file the preelection statements specified in Section 84200.9 if it makes contributions or independent expenditures totaling five hundred dollars (\$500) or more during the period covered by the preelection statement to support or oppose a candidate, or a committee primarily formed to support or oppose a candidate on the ballot for the Board of Administration of the Public Employees' Retirement System or the Teachers' Retirement Board.

(3) However, a general purpose committee formed pursuant to subdivision (b) or (c) of Section 82013 is not required to file the statements specified in Section 84200.9.

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 1986, Ch. 542; amended by Stats. 1988, Ch. 1281 effective September 26, 1988; amended by Stats. 1991, Ch. 505; amended by Stats. 1991, Ch. 1077; amended by Stats. 1993, Ch. 769; amended by Stats. 1999, Ch. 158, effective July 23, 1999; amended by Stats. 1999, Ch. 855; amended by Stats. 2004, Ch. 623, effective September 21, 2004; amended by Stats. 2010, Ch. 633; repealed and adopted by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18405  
2 Cal. Code of Regs. Section 18421.2



**§ 84200.6. Special Campaign Statements and Reports.**

In addition to the campaign statements required by Sections 84200 and 84200.5, all candidates and committees shall file the following special statements and reports:

(a) Late contribution reports when required by Section 84203.

(b) Late independent expenditure reports when required by Section 84204.

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

**§ 84200.7. Time for Filing Preelection Statements for Elections Held in June or November of an Even-Numbered Year. [Repealed]**

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 1986, Ch. 984; amended by Stats. 1994, Ch. 923; repealed by Stats. 2015, Ch. 364, effective January 1, 2016.

**§ 84200.8. Timing for Filing Preelection Statements.**

Preelection statements shall be filed under this section as follows:

(a) For the period ending 45 days before the election, the statement shall be filed no later than 40 days before the election.

(b) For the period ending 17 days before the election, the statement shall be filed no later than 12 days before the election. All candidates being voted upon in the election in connection with which the statement is filed, their controlled committees, and committees formed primarily to support or oppose a candidate or measure being voted upon in that election shall file this statement by guaranteed overnight delivery service or by personal delivery.

(c) For runoff elections held within 60 days of the qualifying election, an additional preelection statement for the period ending 17 days before the runoff election shall be filed no later than 12 days before the election. All candidates being voted upon in the election in connection with which the statement is filed, their controlled committees, and committees formed primarily to support or oppose a candidate or measure being voted upon in that election shall file this statement by guaranteed overnight delivery service or by personal delivery.

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 1986, Ch. 984.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18405  
2 Cal. Code of Regs. Section 18421.2

**§ 84200.9. Time for Filing Preelection Statements for Candidates for the Board of Administration of the Public Employees' Retirement System and Teachers' Retirement Board.**

Preelection statements for an election period for the Board of Administration of the Public Employees' Retirement System or the Teachers' Retirement Board shall be filed as follows:

(a) For the period ending five days before the beginning of the ballot period, as determined by the relevant board, a statement shall be filed no later than two days before the beginning of the ballot period.

(b) For the period ending five days before the deadline to return ballots, as determined by the relevant board, a statement shall be filed no later than two days before the deadline to return ballots.

(c) In the case of a runoff election, for the period ending five days before the deadline to return runoff ballots, as determined by the relevant board, a statement shall be filed no later than two days before the deadline to return runoff ballots.

(d) All candidates being voted upon, their controlled committees, and committees primarily formed to support or oppose a candidate being voted upon in that election shall file the statements specified in subdivisions (b) and (c) by guaranteed overnight delivery service or by personal delivery.

History: Added by Stats. 2010, Ch. 633.

**§ 84201. Combination of Statements. [Repealed]**

History: Added by Stats. 1977, Ch. 1193; repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Time for Filing Campaign Statements in Connection with Elections Held on the State Direct Primary or State General Election Dates"); repealed by Stats. 1985, Ch. 1456. Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Contents of Campaign Statements; Reporting Threshold"); repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**§ 84202. Closing Dates. [Repealed]**

History: Added by Stats. 1975, Ch. 915, effective September 20, 1975, operative January 7, 1975; amended by Stats. 1976, Ch. 1106; amended and renumbered by Stats. 1977, Ch. 1193. (Formerly Section 84200.5.) Repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Time for Filing Central Committee Candidate Campaign Statements"); Repealed by Stats. 1985, Ch. 1456.

**§ 84202.3. Campaign Statements; Ballot Measure Committees.**

(a) In addition to the campaign statements required by Section 84200, committees pursuant to subdivision (a) of Section 82013 that are primarily formed to support or oppose the qualification, passage, or defeat of a measure and proponents of a state ballot measure who control a committee formed or existing primarily to support the qualification, passage, or defeat of a state ballot measure, shall file campaign statements on the following dates:

(1) No later than April 30 for the period January 1 through March 31.

(2) No later than October 31 for the period July 1 through September 30.

(b) This section shall not apply to a committee during any semiannual period in which the committee is required to file preelection statements pursuant to subdivision (a), (b), or (c) of Section 84200.5.

(c) This section shall not apply to a committee following the election at which the measure is voted upon unless the committee makes contributions or expenditures to support or oppose the qualification or passage of another ballot measure.

History: Added by Stats. 1991, Ch. 696; amended by Stats. 1993, Ch. 769.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

**§ 84202.5. Supplemental Preelection Statement. [Repealed]**

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 1986, Ch. 984; amended by Stats. 1992, Ch. 89; amended by Stats. 2000, Ch. 130; amended by Stats. 2004, Ch. 484; repealed by Stats. 2015, Ch. 364, effective January 1, 2016.

**§ 84202.7. Time for Filing by Committees of Odd-Numbered Year Reports.**

(a) Except as provided in subdivision (b), during an odd-numbered year, any committee by virtue of Section 82013 that makes contributions totaling ten thousand dollars (\$10,000) or more to elected state officers, their controlled committees, or committees primarily formed to support or oppose any elected state officer during a period specified below shall file campaign statements on the following dates:

(1) No later than April 30 for the period of January 1 through March 31.

(2) No later than October 31 for the period of July 1 through September 30.

(b) If a committee makes contributions totaling ten thousand dollars (\$10,000) or more to elected state officers, their controlled committees, or

committees primarily formed to support or oppose any elected state officer during a period specified in subdivision (a), and all of those contributions are reported pursuant to Section 84202.5 on or before the time specified in subdivision (a), the committee shall not be required to file additional statements for that period pursuant to this section.

History: Added by Stats. 1986, Ch. 984; amended by Stats. 1993, Ch. 218; amended by Stats. 2000, Ch. 130.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

**§ 84203. Late Contribution; Reports.**

(a) Each candidate or committee that makes or receives a late contribution, as defined in Section 82036, shall report the late contribution to each office with which the candidate or committee is required to file its next campaign statement pursuant to Section 84215. The candidate or committee that makes the late contribution shall report his or her full name and street address and the full name and street address of the person to whom the late contribution has been made, the office sought if the recipient is a candidate, or the ballot measure number or letter if the recipient is a committee primarily formed to support or oppose a ballot measure, and the date and amount of the late contribution. The recipient of the late contribution shall report his or her full name and street address, the date and amount of the late contribution, and whether the contribution was made in the form of a loan. The recipient shall also report the full name of the contributor, his or her street address, occupation, and the name of his or her employer, or if self-employed, the name of the business.

(b) A late contribution shall be reported by facsimile transmission, guaranteed overnight delivery, or personal delivery within 24 hours of the time it is made in the case of the candidate or committee that makes the contribution and within 24 hours of the time it is received in the case of the recipient. If a late contribution is required to be reported to the Secretary of State, the report to the Secretary of State shall be by online or electronic transmission only. A late contribution shall be reported on subsequent campaign statements without regard to reports filed pursuant to this section.

(c) A late contribution need not be reported nor shall it be deemed accepted if it is not cashed, negotiated, or deposited and is returned to the contributor within 24 hours of its receipt.

(d) A report filed pursuant to this section shall be in addition to any other campaign statement required to be filed by this chapter.

(e) The report required pursuant to this section is not required to be filed by a candidate or committee that has disclosed the late contribution pursuant to subdivision (a) or (b) of Section 85309.

History: Amended and renumbered by Stats. 1977, Ch. 1193. (Formerly Section 84201.) (Former Section 84203, titled "Measure; Committee; Time for Filing Campaign Statement," repealed by Stats. 1977, Ch. 1193.) Repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Time for Filing When a Special, General or Runoff Election is Held Less than 60 Days Following the Primary Election.") Repealed and reenacted as amended by Stats. 1985, Ch. 1456. (Formerly titled "Designation of Final Committee Preelection Statement."); amended by Stats. 1992, Ch. 89; amended by Stats. 2002, Ch. 211; amended by Stats. 2004, Ch. 478, effective September 10, 2004; amended by Stats. 2005, Ch. 200; amended by Stats. 2010, Ch. 18.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18116  
2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.1  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18425

### **§ 84203.3. Late In-Kind Contributions.**

(a) Any candidate or committee that makes a late contribution that is an in-kind contribution shall notify the recipient in writing of the value of the in-kind contribution. The notice shall be received by the recipient within 24 hours of the time the contribution is made.

(b) Nothing in this section shall relieve a candidate or committee that makes a late in-kind contribution or the recipient of a late in-kind contribution from the requirement to file late contribution reports pursuant to Section 84203. However, a report filed by the recipient of a late in-kind contribution shall be deemed timely filed if it is received by the filing officer within 48 hours of the time the contribution is received.

History: Added by Stats. 1995, Ch. 77.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18116  
2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18425

### **§ 84203.5. Supplemental Independent Expenditure Report. [Repealed]**

History: Added by Stats. 1985, Ch. 1456; amended by Stats. 2000, Ch. 130; amended by Stats. 2004, Ch. 483; repealed by Stats. 2015, Ch. 364, effective January 1, 2016.

### **§ 84204. Late Independent Expenditures; Reports.**

(a) A committee that makes a late independent expenditure, as defined in Section 82036.5, shall report the late independent expenditure by facsimile

transmission, guaranteed overnight delivery, or personal delivery within 24 hours of the time it is made. If a late independent expenditure is required to be reported to the Secretary of State, the report to the Secretary of State shall be by online or electronic transmission only. A late independent expenditure shall be reported on subsequent campaign statements without regard to reports filed pursuant to this section.

(b) A committee that makes a late independent expenditure shall report its full name and street address, as well as the name, office, and district of the candidate if the report is related to a candidate, or if the report is related to a measure, the number or letter of the measure, the jurisdiction in which the measure is to be voted upon, and the amount and the date, as well as a description of goods or services for which the late independent expenditure was made. In addition to the information required by this subdivision, a committee that makes a late independent expenditure shall include with its late independent expenditure report the information required by paragraphs (1) to (5), inclusive, of subdivision (f) of Section 84211, covering the period from the day after the closing date of the last campaign report filed to the date of the late independent expenditure, or if the committee has not previously filed a campaign statement, covering the period from the previous January 1 to the date of the late independent expenditure. No information required by paragraphs (1) to (5), inclusive, of subdivision (f) of Section 84211 that is required to be reported with a late independent expenditure report by this subdivision is required to be reported on more than one late independent expenditure report.

(c) A committee that makes a late independent expenditure shall file a late independent expenditure report in the places where it would be required to file campaign statements under this article as if it were formed or existing primarily to support or oppose the candidate or measure for or against which it is making the late independent expenditure.

(d) A report filed pursuant to this section shall be in addition to any other campaign statement required to be filed by this article.

(e) Expenditures that have been disclosed by candidates and committees pursuant to Section 85500 are not required to be disclosed pursuant to this section.

History: Former Section 84204, titled "Support of Both Candidates and Measures; Filing Requirements," repealed by Stats. 1977, Ch. 1193; former Section 84202 amended by Stats. 1976, Ch. 1106; renumbered to 84204 by Stats. 1977, Ch. 1193; repealed and reenacted as amended by Stats. 1980, Ch. 289.



(Formerly titled “Time for Filing; Committees Supporting or Opposing the Qualification of a Measure and Proponents of State Measures”); repealed and reenacted as amended by Stats. 1985, Ch. 1456. (Formerly titled “Designation of Final Candidate Preelection Statement”); amended by Stats. 1992, Ch. 89; amended by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001; amended by Stats. 2004, Ch. 478, effective September 10, 2004; amended by Stats. 2005, Ch. 200; amended by Stats. 2010, Ch. 18.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18116  
 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18401  
 2 Cal. Code of Regs. Section 18421.2  
 2 Cal. Code of Regs. Section 18550

**§ 84204.1. Election Statements; Exemption from Filing; Abbreviated Statements. [Repealed]**

History: Added by Stats. 1976, Ch. 1106; repealed by Stats. 1980, Ch. 289.

**§ 84204.2. Preelection Statements; Final. [Repealed]**

History: Added by Stats. 1976, Ch. 1105; amended by Stats. 1978, Ch. 1408, effective October 1, 1978; repealed by Stats. 1980, Ch. 289.

**§ 84204.5. Ballot Measure Contributions and Expenditures; Reports.**

(a) In addition to any other report required by this title, a committee pursuant to subdivision (a) of Section 82013 that is required to file reports pursuant to Section 84605 shall file online or electronically with the Secretary of State each time it makes contributions totaling five thousand dollars (\$5,000) or more or each time it makes independent expenditures totaling five thousand dollars (\$5,000) or more to support or oppose the qualification or passage of a single state ballot measure. The report shall be filed within 10 business days of making the contributions or independent expenditures and shall contain all of the following:

(1) The full name, street address, and identification number of the committee.

(2) The number or letter of the measure if the measure has qualified for the ballot and has been assigned a number or letter; the title of the measure if the measure has not been assigned a number or letter but has been issued a title by the Attorney General; or the subject of the measure if the measure has not been assigned a number or letter and has not been issued a title by the Attorney General.

(3) In the case of a contribution, the date and amount of the contribution and the name, address, and identification number of the committee to whom the contribution was made. In addition, the report shall include the information required by paragraphs

(1) to (5), inclusive, of subdivision (f) of Section 84211, regarding contributions or loans received from a person described in that subdivision, covering the period from the day after the closing date of the last campaign report filed to the date of the contribution requiring a report under this section, or if the committee has not previously filed a campaign statement, covering the period from the previous January 1 to the date of the contribution requiring a report under this section. No information described in paragraphs (1) to (5), inclusive, of subdivision (f) of Section 84211 that is required to be reported pursuant to this subdivision is required to be reported in more than one report provided for in this subdivision for each contribution or loan received from a person described in subdivision (f) of Section 84211.

(4) In the case of an independent expenditure, the date, amount, and a description of the goods or services for which the expenditure was made. In addition, the report shall include the information required by paragraphs (1) to (5), inclusive, of subdivision (f) of Section 84211 regarding contributions or loans received from a person described in that subdivision, covering the period from the day after the closing date of the last campaign report filed to the date of the expenditure, or if the committee has not previously filed a campaign statement, covering the period from the previous January 1 to the date of the expenditure. No information described in paragraphs (1) to (5), inclusive, of subdivision (f) of Section 84211 that is required to be reported pursuant to this subdivision is required to be reported in more than one report provided for in this subdivision for each contribution or loan received from a person described in subdivision (f) of Section 84211.

(b) Reports required by this section are not required to be filed by a committee primarily formed to support or oppose the qualification or passage of a state ballot measure for expenditures made on behalf of the ballot measure or measures for which it is formed.

(c) Independent expenditures that have been disclosed by a committee pursuant to Section 84204 or 85500 are not required to be disclosed pursuant to this section.

History: Added by Stats. 2006, Ch. 438.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
 2 Cal. Code of Regs. Section 18421.2  
 2 Cal. Code of Regs. Section 18466

**§ 84205. Combination of Statements.**

The Commission may by regulation or written advice permit candidates and committees to file

campaign statements combining statements and reports required to be filed by this title.

History: Amended by Stats. 1977, Ch. 1193; repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Closing Dates"); amended by Stats. 1981, Ch. 78; repealed and reenacted by Stats. 1985, Ch. 1456. (Formerly titled "Candidates Who Receive or Spend Less than \$500.")

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84206. Candidates Who Receive or Spend Less Than \$2,000.**

(a) The commission shall provide by regulation for a short form for filing reports required by this article for candidates or officeholders who receive contributions of less than two thousand dollars (\$2,000), and who make expenditures of less than two thousand dollars (\$2,000), in a calendar year.

(b) For the purposes of this section, in calculating whether two thousand dollars (\$2,000) in expenditures have been made, payments for a filing fee or for a statement of qualification shall not be included if these payments have been made from the candidate's personal funds.

(c) Every candidate or officeholder who has filed a short form pursuant to subdivision (a), and who thereafter receives contributions or makes expenditures totaling two thousand dollars (\$2,000) or more in a calendar year, shall send written notification to the Secretary of State, the local filing officer, and each candidate contending for the same office within 48 hours of receiving or expending a total of two thousand dollars (\$2,000). The written notification shall revoke the previously filed short form statement.

History: Repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Semi-Annual Campaign Statements"); repealed and reenacted as amended by Stats. 1985, Ch. 1456. (Formerly titled "Late Contributions; Reports"); amended by Stats. 1987, Ch. 632; amended by Stats. 1993, Ch. 391; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18406  
2 Cal. Code of Regs. Section 18421.2

Opinions: In re Lui (1987) 10 FPPC Ops. 10

#### **§ 84207. County Central Committee Candidates Who Receive or Spend Less Than \$2,000.**

(a) An elected member of, or a candidate for election to, a county central committee of a qualified political party who receives contributions of less than two thousand dollars (\$2,000) and who makes

expenditures of less than two thousand dollars (\$2,000) in a calendar year shall not be required to file any campaign statements required by this title.

(b) Notwithstanding Sections 81009.5 and 81013, a local government agency shall not impose any filing requirements on an elected member of, or a candidate for election to, a county central committee of a qualified political party who receives contributions of less than two thousand dollars (\$2,000) and who makes expenditures of less than two thousand dollars (\$2,000) in a calendar year.

History: Amended by Stats. 1977, Ch. 1193, effective January 1, 1978; repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Candidate for Reelection to Judicial Office"); repealed by Stats. 1985, Ch. 1456; reenacted as amended by Stats. 2012, Ch. 502. (Formerly titled "Late Independent Expenditures; Reports."); amended by Stats. 2015, Ch. 364, effective January 1, 2016.

#### **§ 84207.5. Appointments to Office; Filing Requirements. [Repealed]**

History: Added by Stats. 1976, Ch. 1106; repealed by Stats. 1980, Ch. 289.

#### **§ 84208. Independent Expenditures; Reports. [Repealed]**

History: Added by Stats. 1980, Ch. 289; repealed by Stats. 1985, Ch. 1456.

#### **§ 84209. Consolidated Statements.**

A candidate or state measure proponent and any committee or committees which the candidate or a state measure proponent controls may file consolidated campaign statements under this chapter. Such consolidated statements shall be filed in each place each of the committees and the candidate or state measure proponent would be required to file campaign statements if separate statements were filed.

History: Added by Stats. 1980, Ch. 289.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§84210. Special Election Reports. [Repealed]**

History: Amended by Stats. 1978, Ch. 650; repealed and reenacted as amended by Stats. 1980, Ch. 289; (Formerly titled "Contents of Campaign Statement."); repealed by Stats. 1985, Ch. 1456.

#### **§ 84211. Contents of Campaign Statement.**

Each campaign statement required by this article shall contain all of the following information:

(a) The total amount of contributions received during the period covered by the campaign

statement and the total cumulative amount of contributions received.

(b) The total amount of expenditures made during the period covered by the campaign statement and the total cumulative amount of expenditures made.

(c) The total amount of contributions received during the period covered by the campaign statement from persons who have given a cumulative amount of one hundred dollars (\$100) or more.

(d) The total amount of contributions received during the period covered by the campaign statement from persons who have given a cumulative amount of less than one hundred dollars (\$100).

(e) The balance of cash and cash equivalents on hand at the beginning and the end of the period covered by the campaign statement.

(f) If the cumulative amount of contributions (including loans) received from a person is one hundred dollars (\$100) or more and a contribution or loan has been received from that person during the period covered by the campaign statement, all of the following:

- (1) His or her full name.
- (2) His or her street address.
- (3) His or her occupation.
- (4) The name of his or her employer, or if self-employed, the name of the business.

(5) The date and amount received for each contribution received during the period covered by the campaign statement and if the contribution is a loan, the interest rate for the loan.

(6) The cumulative amount of contributions.

(g) If the cumulative amount of loans received from or made to a person is one hundred dollars (\$100) or more, and a loan has been received from or made to a person during the period covered by the campaign statement, or is outstanding during the period covered by the campaign statement, all of the following:

- (1) His or her full name.
- (2) His or her street address.
- (3) His or her occupation.
- (4) The name of his or her employer, or if self-employed, the name of the business.
- (5) The original date and amount of each loan.
- (6) The due date and interest rate of the loan.
- (7) The cumulative payment made or received to date at the end of the reporting period.

(8) The balance outstanding at the end of the reporting period.

(9) The cumulative amount of contributions.

(h) For each person, other than the filer, who is directly, indirectly, or contingently liable for repayment of a loan received or outstanding during the period covered by the campaign statement, all of the following:

- (1) His or her full name.
- (2) His or her street address.
- (3) His or her occupation.
- (4) The name of his or her employer, or if self-employed, the name of the business.
- (5) The amount of his or her maximum liability outstanding.

(i) The total amount of expenditures made during the period covered by the campaign statement to persons who have received one hundred dollars (\$100) or more.

(j) The total amount of expenditures made during the period covered by the campaign statement to persons who have received less than one hundred dollars (\$100).

(k) For each person to whom an expenditure of one hundred dollars (\$100) or more has been made during the period covered by the campaign statement, all of the following:

- (1) His or her full name.
- (2) His or her street address.
- (3) The amount of each expenditure.
- (4) A brief description of the consideration for which each expenditure was made.

(5) In the case of an expenditure which is a contribution to a candidate, elected officer, or committee or an independent expenditure to support or oppose a candidate or measure, in addition to the information required in paragraphs (1) to (4) above, the date of the contribution or independent expenditure, the cumulative amount of contributions made to a candidate, elected officer, or committee, or the cumulative amount of independent expenditures made relative to a candidate or measure; the full name of the candidate, and the office and district for which he or she seeks nomination or election, or the number or letter of the measure; and the jurisdiction in which the measure or candidate is voted upon.

(6) The information required in paragraphs (1) to (4), inclusive, for each person, if different from the payee, who has provided consideration for an expenditure of five hundred dollars (\$500) or more during the period covered by the campaign statement.

For purposes of subdivisions (i), (j), and (k) only, the terms "expenditure" or "expenditures" mean any individual payment or accrued expense, unless it is clear from surrounding circumstances that a series of



payments or accrued expenses are for a single service or product.

(l) In the case of a controlled committee, an official committee of a political party, or an organization formed or existing primarily for political purposes, the amount and source of any miscellaneous receipt.

(m) If a committee is listed pursuant to subdivision (f), (g), (h), (k), (l), or (q), the number assigned to the committee by the Secretary of State shall be listed, or if no number has been assigned, the full name and street address of the treasurer of the committee.

(n) In a campaign statement filed by a candidate who is a candidate in both a state primary and general election, his or her controlled committee, or a committee primarily formed to support or oppose such a candidate, the total amount of contributions received and the total amount of expenditures made for the period January 1 through June 30 and the total amount of contributions received and expenditures made for the period July 1 through December 31.

(o) The full name, residential or business address, and telephone number of the filer, or in the case of a campaign statement filed by a committee defined by subdivision (a) of Section 82013, the name, street address, and telephone number of the committee and of the committee treasurer. In the case of a committee defined by subdivision (b) or (c) of Section 82013, the name that the filer uses on campaign statements shall be the name by which the filer is identified for other legal purposes or any name by which the filer is commonly known to the public.

(p) If the campaign statement is filed by a candidate, the name, street address, and treasurer of any committee of which he or she has knowledge which has received contributions or made expenditures on behalf of his or her candidacy and whether the committee is controlled by the candidate.

(q) A contribution need not be reported nor shall it be deemed accepted if it is not cashed, negotiated, or deposited and is returned to the contributor before the closing date of the campaign statement on which the contribution would otherwise be reported.

(r) If a committee primarily formed for the qualification or support of, or opposition to, an initiative or ballot measure is required to report an expenditure to a business entity pursuant to subdivision (k) and 50 percent or more of the business entity is owned by a candidate or person controlling the committee, by an officer or employee of the committee, or by a spouse of any of these individuals, the committee's campaign statement shall also

contain, in addition to the information required by subdivision (k), that person's name, the relationship of that person to the committee, and a description of that person's ownership interest or position with the business entity.

(s) If a committee primarily formed for the qualification or support of, or opposition to, an initiative or ballot measure is required to report an expenditure to a business entity pursuant to subdivision (k), and a candidate or person controlling the committee, an officer or employee of the committee, or a spouse of any of these individuals is an officer, partner, consultant, or employee of the business entity, the committee's campaign statement shall also contain, in addition to the information required by subdivision (k), that person's name, the relationship of that person to the committee, and a description of that person's ownership interest or position with the business entity.

(t) If the campaign statement is filed by a committee, as defined in subdivision (b) or (c) of Section 82013, information sufficient to identify the nature and interests of the filer, including:

(1) If the filer is an individual, the name and address of the filer's employer, if any, or his or her principal place of business if the filer is self-employed, and a description of the business activity in which the filer or his or her employer is engaged.

(2) If the filer is a business entity, a description of the business activity in which it is engaged.

(3) If the filer is an industry, trade, or professional association, a description of the industry, trade, or profession which it represents, including a specific description of any portion or faction of the industry, trade, or profession which the association exclusively or primarily represents.

(4) If the filer is not an individual, business entity, or industry, trade, or professional association, a statement of the person's nature and purposes, including a description of any industry, trade, profession, or other group with a common economic interest which the person principally represents or from which its membership or financial support is principally derived.

History: Amended by Stats. 1978, Ch. 650; repealed and reenacted as amended by Stats. 1980, Ch. 289; (Formerly titled "Consideration of Cumulative Amount"); amended by Stats. 1982, Ch. 377; amended by Stats. 1985, Ch. 899; amended by Stats. 1988, Ch. 704; amended by Stats. 1989, Ch. 1452; amended by Stats. 1990, Ch. 581; amended by Stats. 1991, Ch. 674; amended by Stats. 1993, Ch. 1140; amended by Stats. 2000, Ch. 161; amended by Stats. 2000, Ch. 853.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229

2 Cal. Code of Regs. Section 18229.1

2 Cal. Code of Regs. Section 18401

2 Cal. Code of Regs. Section 18421  
 2 Cal. Code of Regs. Section 18421.1  
 2 Cal. Code of Regs. Section 18421.2  
 2 Cal. Code of Regs. Section 18421.3  
 2 Cal. Code of Regs. Section 18421.4  
 2 Cal. Code of Regs. Section 18421.5  
 2 Cal. Code of Regs. Section 18421.6  
 2 Cal. Code of Regs. Section 18421.7  
 2 Cal. Code of Regs. Section 18421.8  
 2 Cal. Code of Regs. Section 18421.9  
 2 Cal. Code of Regs. Section 18423  
 2 Cal. Code of Regs. Section 18428  
 2 Cal. Code of Regs. Section 18430  
 2 Cal. Code of Regs. Section 18431  
 2 Cal. Code of Regs. Section 18531.5  
 2 Cal. Code of Regs. Section 18537

Opinions: In re Roberts (2004) 17 FPPC Ops. 9  
In re Nielsen (1979) 5 FPPC Ops. 18  
In re Buchanan (1979) 5 FPPC Ops. 14  
In re Kahn (1976) 2 FPPC Ops. 151  
In re Lumsdon (1976) 2 FPPC Ops. 140  
In re McCormick (1976) 2 FPPC Ops. 42  
In re Burciaga (1976) 2 FPPC Ops. 17  
In re Hayes (1975) 1 FPPC Ops. 210  
In re Cory (1975) 1 FPPC Ops. 137

### § 84212. Forms; Loans.

The forms promulgated by the Commission for disclosure of the information required by this chapter shall provide for the reporting of loans and similar transactions in a manner that does not result in substantial overstatement or understatement of total contributions and expenditures.

History: Amended by Stats. 1975, Ch. 915, effective September 20, 1975, operative January 7, 1975; repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Candidates Who Receive and Spend \$200 or Less."); amended by Stats. 1985, Ch. 1456.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
 2 Cal. Code of Regs. Section 18404.2  
 2 Cal. Code of Regs. Section 18421.2

### § 84213. Verification.

(a) A candidate and state measure proponent shall verify his or her campaign statement and the campaign statement of each committee subject to his or her control. The verification shall be in accordance with the provisions of Section 81004 except that it shall state that to the best of his or her knowledge the treasurer of each controlled committee used all reasonable diligence in the preparation of the committee's statement. This section does not relieve the treasurer of any committee from the obligation to verify each campaign statement filed by the committee pursuant to Section 81004.

(b) If a committee is required to file a campaign statement or report disclosing an independent expenditure pursuant to this title, a principal officer of the committee or, in the case of

a controlled committee, the candidate or state measure proponent or opponent who controls the committee shall sign a verification on a report prescribed by the Commission. Notwithstanding any other provision of this title, the report containing the verification required by this subdivision shall be filed only with the Commission. The verification shall read as follows:

I have not received any unreported contributions or reimbursements to make these independent expenditures. I have not coordinated any expenditure made during this reporting period with the candidate or the opponent of the candidate who is the subject of the expenditure, with the proponent or the opponent of the state measure that is the subject of the expenditure, or with the agents of the candidate or the opponent of the candidate or the state measure proponent or opponent.

History: Former Section 84213, titled "Consolidated Statements; Candidates and Committees," amended by Stats. 1976, Ch. 1106; repealed by Stats. 1980, Ch. 289. Former Section 84209 amended and renumbered Section 84216.5 by Stats. 1979; Section 842165.5 renumbered Section 84213 by Stats. 1980, Ch. 289; amended by Stats. 1983, Ch. 898; amended by Stats. 2012, Ch. 496.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
 2 Cal. Code of Regs. Section 18427  
 2 Cal. Code of Regs. Section 18430  
 2 Cal. Code of Regs. Section 18465.1  
 2 Cal. Code of Regs. Section 18570

### § 84214. Termination.

Committees and candidates shall terminate their filing obligation pursuant to regulations adopted by the Commission which insure that a committee or candidate will have no activity which must be disclosed pursuant to this chapter subsequent to the termination. Such regulations shall not require the filing of any campaign statements other than those required by this chapter. In no case shall a committee which qualifies solely under subdivision (b) or (c) of Section 82013 be required to file any notice of its termination.

History: Repealed and reenacted as amended by Stats. 1977, Ch. 344, effective August 20, 1977; repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Late Contributions; Reports.")

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
 2 Cal. Code of Regs. Section 18404  
 2 Cal. Code of Regs. Section 18404.1  
 2 Cal. Code of Regs. Section 18404.2  
 2 Cal. Code of Regs. Section 18421.2  
 2 Cal. Code of Regs. Section 18537.1

**§ 84215. Campaign Reports and Statements; Where to File.**

All candidates and elected officers and their controlled committees, except as provided in subdivisions (d) and (e), shall file one copy of the campaign statements required by Section 84200 with the elections official of the county in which the candidate or elected official is domiciled, as defined in subdivision (b) of Section 349 of the Elections Code. In addition, campaign statements shall be filed at the following places:

(a) Statewide elected officers, including members of the State Board of Equalization; Members of the Legislature; Supreme Court justices, court of appeal justices, and superior court judges; candidates for those offices and their controlled committees; committees formed or existing primarily to support or oppose these candidates, elected officers, justices and judges, or statewide measures, or the qualification of state ballot measures; and all state general purpose committees and filers not specified in subdivisions (b) to (e), inclusive, shall file a campaign statement by online or electronic means, as specified in Section 84605, and shall file the original and one copy of the campaign statement in paper format with the Secretary of State.

(b) Elected officers in jurisdictions other than legislative districts, State Board of Equalization districts, or appellate court districts that contain parts of two or more counties, candidates for these offices, their controlled committees, and committees formed or existing primarily to support or oppose candidates or local measures to be voted upon in one of these jurisdictions shall file the original and one copy with the elections official of the county with the largest number of registered voters in the jurisdiction.

(c) County elected officers, candidates for these offices, their controlled committees, committees formed or existing primarily to support or oppose candidates or local measures to be voted upon in any number of jurisdictions within one county, other than those specified in subdivision (d), and county general purpose committees shall file the original and one copy with the elections official of the county.

(d) City elected officers, candidates for city office, their controlled committees, committees formed or existing primarily to support or oppose candidates or local measures to be voted upon in one city, and city general purpose committees shall file the original and one copy with the clerk of the city

and are not required to file with the local elections official of the county in which they are domiciled.

(e) Elected members of the Board of Administration of the Public Employees' Retirement System, elected members of the Teachers' Retirement Board, candidates for these offices, their controlled committees, and committees formed or existing primarily to support or oppose these candidates or elected members shall file the original and one copy with the Secretary of State, and a copy shall be filed at the relevant board's office in Sacramento. These elected officers, candidates, and committees need not file with the elections official of the county in which they are domiciled.

(f) Notwithstanding any other provision of this section, a committee, candidate, or elected officer is not required to file more than the original and one copy, or one copy, of a campaign statement with any one county elections official or city clerk or with the Secretary of State.

(g) If a committee is required to file campaign statements required by Section 84200 or 84200.5 in places designated in subdivisions (a) to (d), inclusive, it shall continue to file these statements in those places, in addition to any other places required by this title, until the end of the calendar year.

History: Added by Stats. 1978, Ch. 1408, effective October 1, 1978; repealed and reenacted as amended by Stats. 1980, Ch. 289. (Formerly titled "Combination of Pre-election and Semiannual Statements"); amended by Stats. 1982, Ch. 1060; amended by Stats. 1985, Ch. 1456; amended by Stats. 1986, Ch. 490; amended by Stats. 1990, Ch. 581; amended by Stats. 2001, Ch. 241, effective September 4, 2001; amended by Stats. 2007, Ch. 54; amended by Stats. 2010, Ch. 18, amended by Stats. 2010, Ch. 633.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18227  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18404.1  
2 Cal. Code of Regs. Section 18405  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18451

**§ 84216. Loans.**

(a) Notwithstanding Section 82015, a loan received by a candidate or committee is a contribution unless the loan is received from a commercial lending institution in the ordinary course of business, or it is clear from the surrounding circumstances that it is not made for political purposes.

(b) A loan, whether or not there is a written contract for the loan, shall be reported as provided in Section 84211 when any of the following apply:

- (1) The loan is a contribution.
- (2) The loan is received by a committee.



(3) The loan is received by a candidate and is used for political purposes.

History: Added by Stats. 1977, Ch. 1119; amended by Stats. 1980, Ch. 289; amended by Stats. 1982, Ch. 29; repealed and reenacted as amended by Stats. 1985, Ch. 899; amended by Stats. 2000, Ch. 853.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84216.5. Loans Made by a Candidate or Committee.**

A loan of campaign funds, whether or not there is a written contract for the loan, made by a candidate or committee shall be reported as provided in Section 84211.

History: Former Section 84216.5 renumbered 84213 by Stats. 1980, Ch. 289; new section added by Stats. 1985, Ch. 899; amended by Stats. 2000, Ch. 853.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84217. Federal Office Candidates; Places Filed.**

When the Secretary of State receives any campaign statement filed pursuant to the Federal Election Campaign Act, (2 U.S.C.A. Section 431 et seq.) the Secretary of State shall send a copy of the statement to the following officers:

(a) Statements of candidates for President, Vice President or United States Senator and committees supporting such candidates - one copy with the Registrar-Recorder of Los Angeles County and one copy with the Registrar of Voters of the City and County of San Francisco;

(b) Statements of candidates for United States Representative in Congress and committees supporting such candidates - one copy with the clerk of the county which contains the largest percentage of the registered voters in the election district which the candidate or any of the candidates seek nomination or election and one copy with the clerk of the county within which the candidate resides or in which the committee is domiciled, provided that if the committee is not domiciled in California the statement shall be sent to the Registrar-Recorder of Los Angeles County. No more than one copy of each statement need be filed with the clerk of any county.

History: Amended by Stats. 1977, Ch. 1095; amended and renumbered Section 84226 by Stats. 1979, Ch. 779. (Formerly Section 84208); amended and renumbered by Stats. 1980, Ch. 289. (Formerly Section 84226.)

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

Opinions: In re Dennis-Strathmeyer (1976) 2 FPPC Ops. 61

#### **§ 84218. Slate Mailer Organization; Campaign Statements.**

(a) A slate mailer organization shall file semiannual campaign statements no later than July 31 for the period ending June 30, and no later than January 31, for the period ending December 31.

(b) In addition to the semiannual statements required by subdivision (a), a slate mailer organizations which produces a slate mailer supporting or opposing candidates or measures being voted on in an election shall file the statements specified in Section 84200.8 if, during the period covered by the preelection statement, the slate mailer organization received payments totaling five hundred dollars (500) or more from any person for the support of or opposition to candidates or ballot measures in one or more slate mailers, or expends five hundred dollars (500) or more to produce one or more slate mailers.

(c) A slate mailer organization shall file two copies of its campaign reports with the clerk of the county in which it is domiciled. A slate mailer organization is domiciled at the address listed on its statement of organization unless it is domiciled outside California, in which case its domicile shall be deemed to be Los Angeles County for purposes of this section.

In addition, slate mailer organizations shall file campaign reports as follows:

(1) A slate mailer organization which produces one or more slate mailers supporting or opposing candidates or measures voted on in a state election, or in more than one county, shall file campaign reports in the same manner as state general purpose committees pursuant to subdivision (a) of Section 84215.

(2) A slate mailer organization which produces one or more slate mailers supporting or opposing candidates or measures voted on in only one county, or in more than one jurisdiction within one county, shall file campaign reports in the same manner as county general purpose committees pursuant to subdivision (c) of Section 84215.

(3) A slate mailer organization which produces one or more slate mailers supporting or opposing candidates or measures voted on in only one city shall file campaign reports in the same manner as city general purpose committees pursuant to subdivision (d) of Section 84215.

(4) Notwithstanding the above, no slate mailer organization shall be required to file more than the

original and one copy, or two copies, of a campaign report with any one county or city clerk or with the Secretary of State.

History: Added by Stats. 1987, Ch. 905; amended by Stats. 2010, Ch. 18; amended by Stats. 2010, Ch. 77; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18401.1  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84219. Slate Mailer Organization; Semi-Annual Statements; Contents.**

Whenever a slate mailer organization is required to file campaign reports pursuant to Section 84218, the campaign report shall include the following information:

(a) The total amount of receipts during the period covered by the campaign statement and the total cumulative amount of receipts. For purposes of this section only, "receipts" means payments received by a slate mailer organization for production and distribution of slate mailers.

(b) The total amount of disbursements made during the period covered by the campaign statement and the total cumulative amount of disbursements. For purposes of this section only, "disbursements" means payment made by a slate mailer organization for the production or distribution of slate mailers.

(c) For each candidate or committee that is a source of receipts totaling one hundred dollars (\$100) or more during the period covered by the campaign statement:

(1) The name of the candidate or committee, identification of the jurisdiction and the office sought or ballot measure number or letter, and if the source is a committee, the committee's identification number, street address, and the name of the candidate or measure on whose behalf or in opposition to which the payment is made.

(2) The date and amount received for each receipt totaling one hundred dollars (\$100) or more during the period covered by the campaign statement.

(3) The cumulative amount of receipts on behalf of or in opposition to the candidate or measure.

(d) For each person other than a candidate or committee who is a source of receipts totaling one hundred dollars (\$100) or more during the period covered by the campaign statement:

(1) Identification of the jurisdiction, office or ballot measure, and name of the candidate or measure on whose behalf or in opposition to which the payment was made.

(2) Full name, street address, name of employer, or, if self-employed, name of business of the source of receipts.

(3) The date and amount received for each receipt totaling one hundred dollars (\$100) or more during the period covered by the campaign statement.

(4) The cumulative amount of receipts on behalf of or in opposition to the candidate or measure.

(e) For each candidate or ballot measure not reported pursuant to subdivision (c) or (d), but who was supported or opposed in a slate mailer sent by the slate mailer organization during the period covered by the report, identification of jurisdiction, office or ballot measure, and name of the candidate or measure who was supported or opposed.

(f) The total amount of disbursements made during the period covered by the campaign statement to persons who have received one hundred dollars (\$100) or more.

(g) The total amount of disbursements made during the period covered by the campaign statement to persons who have received less than one hundred dollars (\$100).

(h) For each person to whom a disbursement of one hundred dollars (\$100) or more has been made during the period covered by the campaign statement:

(1) His or her full name.

(2) His or her street address.

(3) The amount of each disbursement.

(4) A brief description of the consideration for which each disbursement was made.

(5) The information required in paragraphs (1) to (4), inclusive, for each person, if different from the payee, who has provided consideration for a disbursement of five hundred dollars (\$500) or more during the period covered by the campaign statement.

(i) Cumulative disbursements, totaling one thousand dollars (\$1,000) or more, made directly or indirectly to any person listed in the slate mailer organization's statement of organization. For purposes of this subdivision, a disbursement is made indirectly to a person if it is intended for the benefit of or use by that person or a member of the person's immediate family, or if it is made to a business entity in which the person or member of the person's immediate family is a partner, shareholder, owner, director, trustee, officer, employee, consultant, or holds any position of management or in which the person or member of the person's immediate family has an investment of one thousand dollars (\$1,000) or more. This subdivision shall not apply to any disbursement made to a business entity whose securities are publicly traded.

(j) The full name, street address, and telephone number of the slate mailer organization and of the treasurer.

(k) Whenever a slate mailer organization also qualifies as a general purpose committee pursuant to Section 82027.5, the campaign report shall include, in addition to the information required by this section, the information required by Section 84211.

History: Added by Stats. 1987, Ch. 905; amended by Stats. 2000, Ch. 853.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18401.1  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84220. Slate Mailer Organization; Late Payments.**

If a slate mailer organization receives a payment of two thousand five hundred dollars (\$2,500) or more for purposes of supporting or opposing any candidate or ballot measure in a slate mailer, and the payment is received at a time when, if the payment were a contribution it would be considered a late contribution, then the slate mailer organization shall report the payment in the manner set forth in Section 84203 for candidates and committees when reporting late contributions received. The slate mailer organization shall, in addition to reporting the information required by Section 84203, identify the candidates or measures whose support or opposition is being paid for, in whole or in part, by each late payment.

History: Added by Stats. 1987, Ch. 905.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18401.1  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84221. Slate Mailer Organization; Termination.**

Slate mailer organizations shall terminate their filing obligations in the same manner as applies to committees qualifying under subdivision (a) of Section 82013.

History: Added by Stats. 1987, Ch. 905.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84222. Multipurpose Organizations.**

(a) For purposes of this title, “multipurpose organization” means an organization described in Sections 501(c)(3) to 501(c)(10), inclusive, of the Internal Revenue Code and that is exempt from taxation under Section 501(a) of the Internal Revenue Code, a federal or out-of-state political organization, a trade association, a professional association, a civic organization, a religious organization, a fraternal

society, an educational institution, or any other association or group of persons acting in concert, that is operating for purposes other than making contributions or expenditures. “Multipurpose organization” does not include a business entity, an individual, or a federal candidate’s authorized committee, as defined in Section 431 of Title 2 of the United States Code, that is registered and filing reports pursuant to the Federal Election Campaign Act of 1971 (Public Law 92-225).

(b) A multipurpose organization that makes expenditures or contributions and does not qualify as a committee pursuant to subdivision (c) may qualify as an independent expenditure committee or major donor committee if the multipurpose organization satisfies subdivision (b) or (c) of Section 82013.

(c) Except as provided in subparagraph (A) of paragraph (5), a multipurpose organization is a recipient committee within the meaning of subdivision (a) of Section 82013 only under one or more of the following circumstances:

(1) The multipurpose organization is a political committee registered with the Federal Election Commission, except as provided in subdivision (a) of this section, or a political committee registered with another state, and the multipurpose organization makes contributions or expenditures in this state in an amount equal to or greater than the amount identified in subdivision (a) of Section 82013.

(2) The multipurpose organization solicits and receives payments from donors in an amount equal to or greater than the amount identified in subdivision (a) of Section 82013 for the purpose of making contributions or expenditures.

(3) The multipurpose organization accepts payments from donors in an amount equal to or greater than the amount identified in subdivision (a) of Section 82013 subject to a condition, agreement, or understanding with the donor that all or a portion of the payments may be used for making contributions or expenditures.

(4) The multipurpose organization has existing funds from a donor and a subsequent agreement or understanding is reached with the donor that all or a portion of the funds may be used for making contributions or expenditures in an amount equal to or greater than the amount identified in subdivision (a) of Section 82013. The date of the subsequent agreement or understanding is deemed to be the date of receipt of the payment.

(5) The multipurpose organization makes contributions or expenditures totaling more than fifty thousand dollars (\$50,000) in a period of 12 months or more than one hundred thousand dollars



(\$100,000) in a period of four consecutive calendar years.

(A) A multipurpose organization shall not qualify as a committee within the meaning of subdivision (a) of Section 82013 pursuant to this paragraph if the multipurpose organization makes contributions or expenditures using only available nondonor funds. A multipurpose organization that makes contributions or expenditures with nondonor funds shall briefly describe the source of the funds used on its major donor or independent expenditure report.

(B) For purposes of this paragraph, “nondonor funds” means investment income, including capital gains, or income earned from providing goods, services, or facilities, whether related or unrelated to the multipurpose organization’s program, sale of assets, or other receipts that are not donations.

(d) A multipurpose organization that is a committee pursuant to paragraph (1) of subdivision (c) shall comply with the registration and reporting requirements of this chapter, subject to the following:

(1) The multipurpose organization is not required to comply with subdivision (k) of Section 84211 for contributions and expenditures made to influence federal or out-of-state elections, which shall instead be reported as a single expenditure and be described as such on the campaign statement.

(2) A multipurpose organization registered with the Federal Election Commission is not subject to subdivisions (d) and (f) of Section 84211 but shall disclose the total amount of contributions received pursuant to subdivision (a) of Section 84211, and shall disclose the multipurpose organization’s name and identification number registered with the Federal Election Commission on the campaign statement.

(e) (1) A multipurpose organization that is a committee pursuant to paragraph (2), (3), (4), or (5) of subdivision (c) shall comply with the registration and reporting requirements of this chapter, subject to the following, except that if the multipurpose organization is the sponsor of a committee as described in subdivision (f) it may report required information on its sponsored committee statement pursuant to subdivision (f):

(A) The multipurpose organization shall register in the calendar year in which it satisfies any of the criteria in subdivision (c). The statement of organization filed pursuant to Section 84101 shall indicate that the organization is filing pursuant to this section as a multipurpose organization and state the organization’s nonprofit tax exempt status, if any. The statement of organization shall also describe the organization’s mission or most significant activities,

and describe the organization’s political activities. A multipurpose organization may comply with the requirement to describe the mission or significant activities and political activities by referencing where the organization’s Internal Revenue Service Return of Organization Exempt From Income Tax form may be accessed.

(B) Except as provided in this subparagraph, the registration of a multipurpose organization that meets the criteria of paragraph (5) of subdivision (c) shall terminate automatically on December 31 of the calendar year in which the multipurpose organization is registered. The multipurpose organization shall not be required to file a semiannual statement pursuant to subdivision (b) of Section 84200, unless the multipurpose organization has undisclosed contributions or expenditures to report, in which case termination shall occur automatically upon filing the semiannual statement that is due no later than January 31. After the multipurpose organization’s registration has terminated, the multipurpose organization’s reporting obligations are complete, unless the organization qualifies as a committee for purposes of subdivision (a) of Section 82013 again in the following calendar year pursuant to subdivision (c) of this section. Notwithstanding this subdivision, a multipurpose organization may elect to remain registered as a committee by submitting written notification to the Secretary of State prior to the end of the calendar year.

(C) A multipurpose organization shall report all contributions received that satisfy the criteria of paragraph (2), (3), or (4) of subdivision (c) of this section in the manner required by subdivision (f) of Section 84211, and for the balance of its contributions or expenditures shall further report contributors based on a last in, first out accounting method.

(2) A multipurpose organization reporting pursuant to this subdivision shall disclose total contributions received in an amount equal to the multipurpose organization’s total contributions and expenditures made in the reporting period. When a multipurpose organization reports donors based on the last in, first out accounting method, it shall attribute to and include the information required by subdivision (f) of Section 84211 for any donor who donates one thousand dollars (\$1,000) or more in a calendar year, except for the following:

(A) A donor who designates or restricts the donation for purposes other than contributions or expenditures.

(B) A donor who prohibits the multipurpose organization’s use of its donation for contributions or expenditures.

(C) A private foundation, as defined by subdivision (a) of Section 509 of the Internal Revenue Code, that provides a grant that does not constitute a taxable expenditure for purposes of paragraph (1) or (2) of subdivision (d) of Section 4945 of the Internal Revenue Code.

(3) A multipurpose organization that qualifies as a committee pursuant to paragraph (5) of subdivision (c) shall not be required to include contributions or expenditures made in a prior calendar year on the reports filed for the calendar year in which the multipurpose organization qualifies as a committee.

(4) If a multipurpose organization qualifies as a committee solely pursuant to paragraph (5) of subdivision (c) and the committee is required to report donors based on a last in, first out accounting method pursuant to paragraph (1), the multipurpose organization shall not be required to disclose donor information for a donation received by the multipurpose organization prior to July 1, 2014. This paragraph shall not apply with respect to a donation made by a donor who knew that the multipurpose organization would use the donation to support or oppose a candidate or ballot measure in the state by requesting that the donation be used for that purpose or by making the donation in response to a message or solicitation indicating the multipurpose organization's intent to use the donation for that purpose.

(5) A contributor identified and reported in the manner provided in subparagraph (C) of paragraph (1) that is a multipurpose organization and receives contributions that satisfy the criteria in subdivision (c) shall be subject to the requirements of this subdivision.

(6) The commission shall adopt regulations establishing notice requirements and reasonable filing deadlines for donors reported as contributors based on the last in, first out accounting method.

(f) A multipurpose organization that is the sponsor of a committee as defined in Section 82048.7, that is a membership organization, that makes all of its contributions and expenditures from funds derived from dues, assessments, fees, and similar payments that do not exceed ten thousand dollars (\$10,000) per calendar year from a single source, and that elects to report its contributions and expenditures on its sponsored committee's campaign statement pursuant to paragraph (1) of subdivision (e) shall report as follows:

(1) The sponsored committee shall report all contributions and expenditures made from the sponsor's treasury funds on statements and reports filed by the committee. The sponsor shall use a last

in, first out accounting method and disclose the information required by subdivision (f) of Section 84211 for any person who pays dues, assessments, fees, or similar payments of one thousand dollars (\$1,000) or more to the sponsor's treasury funds in a calendar year and shall disclose all contributions and expenditures made, as required by subdivision (k) of Section 84211, on the sponsored committee's campaign statements.

(2) The sponsored committee shall report all other contributions and expenditures in support of the committee by the sponsor, its intermediate units, and the members of those entities. A sponsoring organization makes contributions and expenditures in support of its sponsored committee when it provides the committee with money from its treasury funds, with the exception of establishment or administrative costs. With respect to dues, assessments, fees, and similar payments channeled through the sponsor or an intermediate unit to a sponsored committee, the original source of the dues, assessments, fees, and similar payments is the contributor.

(3) A responsible officer of the sponsor, as well as the treasurer of the sponsored committee, shall verify the committee's campaign statement pursuant to Section 81004.

(g) For purposes of this section, "last in, first out accounting method" means an accounting method by which contributions and expenditures are attributed to the multipurpose organization's contributors in reverse chronological order beginning with the most recent of its contributors or, if there are any prior contributions or expenditures, beginning with the most recent contributor for which unattributed contributions remain.

History: Added by Stats of 2014, Ch. 16, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18422

2 Cal. Code of Regs. Section 18427.1

#### **§ 84222.5. Publicly Funded Nonprofit Organizations.**

(a) A publicly funded nonprofit organization that makes contributions or expenditures, either directly or through the control of another entity, shall establish and deposit into a separate bank account all funds that will be used to make contributions and expenditures, and those contributions and expenditures shall come from that separate bank account.

(b) In addition to subdivisions (b) and (c) of Section 84222, a publicly funded nonprofit organization is a recipient committee within the

meaning of subdivision (a) of Section 82013 if any of the following occur:

(1) It makes contributions or expenditures totaling fifty thousand dollars (\$50,000) or more related to statewide candidates or ballot measures or makes contributions or expenditures totaling two thousand five hundred dollars (\$2,500) or more related to local candidates or ballot measures, either directly or through the control of another entity, during the prior quarter.

(2) By January 31 of each odd-numbered year, it makes contributions or expenditures totaling one hundred thousand dollars (\$100,000) or more related to statewide candidates or ballot measures or makes contributions or expenditures totaling ten thousand dollars (\$10,000) or more related to local candidates or ballot measures, either directly or through the control of another entity, during the previous two years.

(c) If a publicly funded nonprofit organization qualifies as a recipient committee pursuant to subdivision (b), it shall comply with the registration and reporting requirements of Section 84222.

(d) Each publicly funded nonprofit organization that makes contributions or expenditures, either directly or through the control of another entity, shall provide to the Commission, and display on the organization's Internet Web site, the information it is required to disclose under this section. The information shall be clearly described and identified on a separate Internet Web page that is linked from the homepage of the organization's Internet Web site. The link to this Internet Web page from the homepage shall be as visible as all similar links.

(e) The Commission may require an audit of a publicly funded nonprofit organization that is required to provide records to the Commission pursuant to this section. The Commission shall require an audit of any publicly funded nonprofit organization that makes contributions or expenditures in excess of five hundred thousand dollars (\$500,000) in a calendar year. The publicly funded nonprofit organization shall provide records to the Commission to substantiate the information required to be disclosed by this section.

(f) If the Commission determines at the conclusion of an audit that a publicly funded nonprofit organization has violated this section, the Commission, the Attorney General, or the district attorney for the county in which the organization is domiciled may impose a civil fine upon the organization in an amount up to ten thousand dollars (\$10,000) for each violation.

(g) The definitions in subdivision (b) of Section 54964.5 apply to this section.

History: Added by Stats. 2016, Ch. 825.

#### **§ 84223. Top Ten Contributor Lists.**

(a) A committee primarily formed to support or oppose a state ballot measure or state candidate that raises one million dollars (\$1,000,000) or more for an election shall maintain an accurate list of the committee's top 10 contributors, as specified by Commission regulations. A current list of the top 10 contributors shall be provided to the Commission for disclosure on the Commission's Internet Web site, as provided in subdivision (c).

(b) (1) Except as provided in paragraph (4), the list of top 10 contributors shall identify the names of the 10 persons who have made the largest cumulative contributions to the committee, the total amount of each person's contributions, the city and state of the person, the person's committee identification number, if any, and any other information deemed necessary by the Commission. If any of the top 10 contributors identified on the list are committees pursuant to subdivision (a) of Section 82013, the Commission may require, by regulation, that the list also identify the top 10 contributors to those contributing committees.

(2)(A) A committee primarily formed to support or oppose a state ballot measure shall count the cumulative amount of contributions received by the committee from a person for the period beginning 12 months prior to the date the committee made its first expenditure to qualify, support, or oppose the measure and ending with the current date.

(B) A committee primarily formed to support or oppose a state candidate shall count the cumulative amount of contributions received by the committee from a person for the primary and general elections combined.

(3) The aggregation rules of Section 85311 and any implementing regulations adopted by the Commission shall apply in identifying the persons who have made the top 10 cumulative contributions to a committee.

(4) A person who makes contributions to a committee in a cumulative amount of less than ten thousand dollars (\$10,000) shall not be identified or disclosed as a top 10 contributor to a committee pursuant to this section.

(c)(1) The Commission shall adopt regulations to govern the manner in which the Commission shall display top 10 contributor lists provided by a committee that is subject to this section, and the Commission shall post the top 10 contributor lists on its Internet Web site in the manner prescribed by those regulations. The Commission shall provide the



top 10 contributor lists to the Secretary of State, upon the request of the Secretary of State, for the purpose of additionally posting the contributor lists on the Secretary of State's Internet Web site.

(2) A committee shall provide an updated top 10 contributor list to the Commission when any of the following occurs:

(A) A new person qualifies as a top 10 contributor to the committee.

(B) A person who is an existing top 10 contributor makes additional contributions to the committee.

(C) A change occurs that alters the relative ranking order of the top 10 contributors.

(3) The 10 persons who have made the largest cumulative contributions to a committee shall be listed in order from largest contribution amount to smallest amount. If two or more contributors of identical amounts meet the threshold for inclusion in the list of top 10 contributors, the order of disclosure shall be made beginning with the most recent contributor of that amount.

(4) The Commission shall post or update a top 10 contributor list within five business days or, during the 16 days before the election, within 48 hours of a contributor qualifying for the list or of any change to the list.

(d) In listing the top 10 contributors, a committee shall use reasonable efforts to identify and state the actual individuals or corporations that are the true sources of the contributions made to the committee from other persons or committees.

(e) In addition to any other lists that the Commission is required to post on its Internet Web site, the Commission shall compile, maintain, and display on its Internet Web site a current list of the top 10 contributors supporting and opposing each state ballot measure, as prescribed by Commission regulations.

History: Added by Stats. of 2014, Ch. 16, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18422.5

#### **§ 84224. Blank.**

#### **§ 84225. Public Employees' Retirement Board and Teachers' Retirement Board Candidates.**

The provisions of this title apply to candidates for election to the Board of Administration of the Public Employees' Retirement System or the Teachers' Retirement Board, and to committees formed or existing primarily to support or oppose those candidates. The Commission may adopt

regulations to tailor the reporting and disclosure requirements for these candidates and committees consistent with the purposes and provisions of this title.

History: Added by Stats. 1998, Ch. 923; amended by Stats. 2010; Ch. 18, repealed and added by Stats. 2010, Ch. 633.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **Article 2.5. Campaign Reporting Requirements LAFCO Proposals.**

##### **§ 84250 - 84252**

§ 84250. Applicability to LAFCO Proposals.

§ 84251. Payment for Political Purposes.

§ 84252. Campaign Reporting.

##### **§ 84250. Applicability to LAFCO Proposals.**

All requirements of this title applicable to a measure, as defined in Section 82043, also apply to a LAFCO proposal, as defined in Section 82035.5, except as set forth in Section 84252.

History: Added by Stats. 2008, Ch. 192.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18417

##### **§ 84251. Payment for Political Purposes.**

A payment made for "political purposes," as that term is used in Sections 82015 and 82025, includes a payment made for the purpose of influencing or attempting to influence the actions of voters or a local agency formation commission for or against the qualification, adoption, or passage of a LAFCO proposal.

History: Added by Stats. 2008, Ch. 192.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18417

##### **§ 84252. Campaign Reporting.**

(a) A committee primarily formed to support or oppose a LAFCO proposal shall file all statements required under this chapter except that, in lieu of the statements required by Sections 84200 and 84202.3, the committee shall file monthly campaign statements from the time circulation of a petition begins until a measure is placed on the ballot or, if a measure is not placed on the ballot, until the committee is terminated pursuant to Section 84214. The committee shall file an original and one copy of each statement on the 15th day of each calendar month, covering the prior calendar month, with the clerk of the county in which the measure may be voted on. If the petition results in a measure that is placed on the ballot, the committee thereafter shall

file campaign statements required by this chapter.

(b) In addition to any other statements required by this chapter, a committee that makes independent expenditures in connection with a LAFCO proposal shall file statements pursuant to Section 84203.5.

History: Added by Stats. 2008, Ch. 192.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18417

### **Article 3. Prohibitions.**

#### **§ 84300 - 84309**

- § 84300. Cash and In-Kind Contributions; Cash Expenditures.
- § 84301. Contributions Made Under Legal Name.
- § 84302. Contributions by Intermediary or Agent.
- § 84303. Expenditure by Agent or Independent Contractor.
- § 84304. Anonymous Contributions; Prohibition.
- § 84305. Requirements for Mass Mailing.
- § 84305.5. Slate Mailer Identification and Disclaimer Requirements.
- § 84305.6. Slate Mailer Disclosure Requirements; Official Political Party Position. [Repealed]
- § 84305.7. Slate Mailer Requirements; Use of Logos or "Public Safety" Names.
- § 84306. Contributions Received by Agents of Candidates or Committees.
- § 84307. Commingling with Personal Funds.
- § 84307.5. Payments Made to a Spouse or Domestic Partner.
- § 84308. Contributions to Officers; Disqualification.
- § 84309. Transmittal of Campaign Contributions in State Office Buildings; Prohibition.
- § 84310. Identification Requirements for Telephone Calls.

#### **§ 84300. Cash and In-Kind Contributions; Cash Expenditures.**

(a) No contribution of one hundred dollars (\$100) or more shall be made or received in cash.

A cash contribution shall not be deemed received if it is not negotiated or deposited and is returned to the contributor before the closing date of the campaign statement on which the contribution would otherwise be reported. If a cash contribution, other than a late contribution, as defined in Section 82036, is negotiated or deposited, it shall not be deemed received if it is refunded within 72 hours of

receipt. In the case of a late contribution, as defined in Section 82036, it shall not be deemed received if it is returned to the contributor within 48 hours of receipt.

(b) No expenditure of one hundred dollars (\$100) or more shall be made in cash.

(c) No contribution of one hundred dollars (\$100) or more other than an in-kind contribution shall be made unless in the form of a written instrument containing the name of the donor and the name of the payee and drawn from the account of the donor or the intermediary, as defined in Section 84302.

(d) The value of all in-kind contributions of one hundred dollars (\$100) or more shall be reported in writing to the recipient upon the request in writing of the recipient.

History: Amended by Stats. 1977, Ch. 1213; amended by Stats. 1978, Ch. 650; repealed and reenacted as amended by Stats. 1979, Ch. 779; amended by Stats. 1980, Ch. 759; amended by Stats. 1996, Ch. 898.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84301. Contributions Made Under Legal Name.**

No contribution shall be made, directly or indirectly, by any person in a name other than the name by which such person is identified for legal purposes.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84302. Contributions by Intermediary or Agent.**

No person shall make a contribution on behalf of another, or while acting as the intermediary or agent of another, without disclosing to the recipient of the contribution both his own full name and street address, occupation, and the name of his employer, if any, or his principal place of business if he is self-employed, and the full name and street address, occupation, and the name of employer, if any, or principal place of business if self-employed, of the other person. The recipient of the contribution shall include in his campaign statement the full name and street address, occupation, and the name of the employer, if any, or the principal place of business if self-employed, of both the intermediary and the contributor.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

2 Cal. Code of Regs. Section 18432.5

**§ 84303. Expenditure by Agent or Independent Contractor.**

(a) An expenditure of five hundred dollars (\$500) or more shall not be made, other than for overhead or normal operating expenses, by an agent or independent contractor, including, but not limited to, an advertising agency, on behalf of or for the benefit of a candidate or committee unless it is reported by the candidate or committee as if the expenditure were made directly by the candidate or committee.

(b) A subagent or subcontractor who provides goods or services to or for the benefit of a candidate or committee shall make known to the agent or independent contractor all of the information required to be reported by this section, and the agent or independent contractor shall then make known to the candidate or committee all of the information required to be reported by this section no later than three working days prior to the time the campaign statement reporting the expenditure is required to be filed, except that an expenditure that is required to be reported by Section 84203 or 84204 shall be reported to the candidate or committee within 24 hours of the time that it is made.

History: Amended by Stats. 1984, Ch. 161; amended by Stats. 2000, Ch. 853; amended by Stats. 2013, Ch. 9, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18421.5  
2 Cal. Code of Regs. Section 18421.7  
2 Cal. Code of Regs. Section 18421.8  
2 Cal. Code of Regs. Section 18421.9  
2 Cal. Code of Regs. Section 18431

**§ 84304. Anonymous Contributions; Prohibition.**

No person shall make an anonymous contribution or contributions to a candidate, committee or any other person totaling one hundred dollars (\$100) or more in a calendar year. An anonymous contribution of one hundred dollars (\$100) or more shall not be kept by the intended recipient but instead shall be promptly paid to the Secretary of State for deposit in the General Fund of the state.

History: Amended by Stats. 1978, Ch. 650.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

**§ 84305. Requirements for Mass Mailing.**

(a) Except as provided in subdivision (b), no candidate or committee shall send a mass mailing

unless the name, street address, and city of the candidate or committee are shown on the outside of each piece of mail in the mass mailing and on at least one of the inserts included within each piece of mail of the mailing in no less than 6-point type which shall be in a color or print which contrasts with the background so as to be easily legible. A post office box may be stated in lieu of a street address if the organization's address is a matter of public record with the Secretary of State.

(b) If the sender of the mass mailing is a single candidate or committee, the name, street address, and city of the candidate or committee need only be shown on the outside of each piece of mail.

(c) If the sender of a mass mailing is a controlled committee, the name of the person controlling the committee shall be included in addition to the information required by subdivision (a).

History: Amended by Stats. 1975, Ch. 915, effective September 20, 1975, operative January 7, 1975; amended by Stats. 1976, Ch. 1106; amended by Stats. 1977, Ch. 230, effective July 7, 1977; amended by Stats. 1978, Ch. 1408, effective October 1, 1978; amended by Stats. 1984, Ch. 1368; amended by Stats. 1989, Ch. 764.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18435

Opinions: In re Juvinall, Stull, Republican Central Committee of Orange County, Tuteur (1976) 2 FPPC Ops. 110  
In re Sobieski (1976) 2 FPPC Ops. 73  
In re Valdez (1976) 2 FPPC Ops. 21

**§ 84305.5. Slate Mailer Identification and Disclaimer Requirements.**

(a) No slate mailer organization or committee primarily formed to support or oppose one or more ballot measures shall send a slate mailer unless:

(1) The name, street address, and city of the slate mailer organization or committee primarily formed to support or oppose one or more ballot measures are shown on the outside of each piece of slate mail and on at least one of the inserts included with each piece of slate mail in no less than 8-point roman type which shall be in a color or print which contrasts with the background so as to be easily legible. A post office box may be stated in lieu of a street address if the street address of the slate mailer organization or the committee primarily formed to support or oppose one or more ballot measure is a matter of public record with the Secretary of State's Political Reform Division.

(2) At the top or bottom of the front side or surface of at least one insert or at the top or bottom of one side or surface of a postcard or other self-mailer, there is a notice in at least 8-point roman boldface type, which shall be in a color or print which contrasts with



the background so as to be easily legible, and in a printed or drawn box and set apart from any other printed matter. The notice shall consist of the following statement:

**NOTICE TO VOTERS**

**THIS DOCUMENT WAS PREPARED BY (name of slate mailer organization or committee primarily formed to support or oppose one or more ballot measures), NOT AN OFFICIAL POLITICAL PARTY ORGANIZATION. Appearance in this mailer does not necessarily imply endorsement of others appearing in this mailer, nor does it imply endorsement of, or opposition to, any issues set forth in this mailer. Appearance is paid for and authorized by each candidate and ballot measure which is designated by an \*.**

(3) The name, street address, and city of the slate mailer organization or committee primarily formed to support or oppose one or more ballot measures as required by paragraph (1) and the notice required by paragraph (2) may appear on the same side or surface of an insert.

(4) Each candidate and each ballot measure that has paid to appear in the slate mailer is designated by an \*. Any candidate or ballot measure that has not paid to appear in the slate mailer is not designated by an \*.

The \* required by this subdivision shall be of the same type size, type style, color or contrast, and legibility as is used for the name of the candidate or the ballot measure name or number and position advocated to which the \* designation applies except that in no case shall the \* be required to be larger than 10-point boldface type. The designation shall immediately follow the name of the candidate, or the name or number and position advocated on the ballot measure where the designation appears in the slate of candidates and measures. If there is no slate listing, the designation shall appear at least once in at least 8-point boldface type, immediately following the name of the candidate, or the name or number and position advocated on the ballot measure.

(5) The name of any candidate appearing in the slate mailer who is a member of a political party differing from the political party which the mailer appears by representation or indicia to represent is accompanied, immediately below the name, by the party designation of the candidate, in no less than 9-point roman type which shall be in a color or print that contrasts with the background so as to be easily legible. The designation shall not be required in the case of candidates for nonpartisan office.

(b) For purposes of the designations required by paragraph (4) of subdivision (a), the payment of any sum made reportable by subdivision (c) of Section 84219 by or at the behest of a candidate or committee, whose name or position appears in the mailer, to the slate mailer organization or committee primarily formed to support or oppose one or more ballot measures, shall constitute a payment to appear, requiring the \* designation. The payment shall also be deemed to constitute authorization to appear in the mailer.

History: Added by Stats. 1987, Ch. 905; amended by Stats. 1991, Ch. 403; amended by Stats. 1992, Ch. 1143; amended by Stats. 1993, Ch. 472; amended by Stats. 1994, Ch. 923; amended by Stats. 1996, Ch. 893; amended by Proposition 208 of the November 1996 Statewide General Election; Proposition 208 version preliminarily enjoined January 6, 1998; Proposition 208 version permanently enjoined March 1, 2001; pre-Proposition 208 version revived by operation of law; On September 20, 2002, the Federal District Court for the Eastern District of California issued a preliminary injunction prohibiting the FPPC from enforcing this subdivision against the slate mail organizations which had sought the injunction; repealed and new section added by Stats. 2004, Ch. 478, effective September 10, 2004.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18401.1  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18435.5

**§ 84305.6. Slate Mailer Disclosure Requirements; Official Political Party Position. [Repealed]**

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; On September 20, 2002, the Federal District Court for the Eastern District of California issued a preliminary injunction prohibiting the FPPC from enforcing this provision against the slate mail organizations which had sought the injunction; repealed by Stats. 2004, Ch. 478, effective September 10, 2004.

**§ 84305.7. Slate Mailer Requirements; Use of Logos or “Public Safety” Names.**

(a) If a slate mailer organization sends a slate mailer or other mass mailing that displays a logo, insignia, emblem, or trademark that is identical or substantially similar to the logo, insignia, emblem, or trademark of a governmental agency, and that would reasonably be understood to imply the participation or endorsement of that governmental agency, the slate mailer organization shall obtain the express written consent of the governmental agency associated with the logo, insignia, emblem, or trademark prior to using the logo, insignia, emblem, or trademark in the slate mailer or other mass mailing.

(b) If a slate mailer organization sends a slate mailer or other mass mailing that displays a logo, insignia, emblem, or trademark that is identical or

substantially similar to the logo, insignia, emblem, or trademark of a nongovernmental organization that represents law enforcement, firefighting, emergency medical, or other public safety personnel, and that would reasonably be understood to imply the participation or endorsement of that nongovernmental organization, the slate mailer organization shall obtain the express written consent of the nongovernmental organization associated with the logo, insignia, emblem, or trademark prior to using the logo, insignia, emblem, or trademark in the slate mailer or other mass mailing.

(c) If a slate mailer organization sends a slate mailer or other mass mailing that identifies itself or its source material as representing a nongovernmental organization with a name that includes the term “peace officer,” “reserve officer,” “deputy,” “deputy sheriff,” “sheriff,” “police,” “highway patrol,” “California Highway Patrol,” “law enforcement,” “firefighter,” “fire marshal,” “paramedic,” “emergency medical technician,” “public safety,” or any other term that would reasonably be understood to imply that the organization is composed of, or affiliated with, law enforcement, firefighting, emergency medical, or other public safety personnel, the slate mailer or mass mailing shall disclose on the outside of each piece of mail and on at least one of the inserts included with each piece of mail in no less than 12-point roman type, which shall be in a color or print that contrasts with the background so as to be easily legible, the total number of members in the organization identified in the slate mailer or mass mailing.

History: Added by Stats. 2012, Ch. 865.

#### **§ 84306. Contributions Received by Agents of Candidates or Committees.**

All contributions received by a person acting as an agent of a candidate shall be reported promptly to the candidate or any of his or her designated agents. All contributions received by a person acting as an agent of a committee shall be reported promptly to the committee’s treasurer or any of his or her designated agents. “Promptly” as used in this section means not later than the closing date of any campaign statement the committee or candidate for whom the contribution is intended is required to file.

History: Added by Stats. 1979, Ch. 779.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.1  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18421.3  
2 Cal. Code of Regs. Section 18421.31

#### **§ 84307. Commingling with Personal Funds.**

No contribution shall be commingled with the personal funds of the recipient or any other person.

History: Added by Stats. 1979, Ch. 779.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

#### **§ 84307.5. Payments Made to a Spouse or Domestic Partner.**

A spouse or domestic partner of an elected officer or a candidate for elective office shall not receive, in exchange for services rendered, compensation from campaign funds held by a controlled committee of the elected officer or candidate for elective office.

History: Added by Stats. 2009, Ch. 360; amended by Stats. 2014, Ch. 902.

#### **§ 84308. Contributions to Officers; Disqualification.**

(a) The definitions set forth in this subdivision shall govern the interpretation of this section.

(1) “Party” means any person who files an application for, or is the subject of, a proceeding involving a license, permit, or other entitlement for use.

(2) “Participant” means any person who is not a party but who actively supports or opposes a particular decision in a proceeding involving a license, permit, or other entitlement for use and who has a financial interest in the decision, as described in Article 1 (commencing with Section 87100) of Chapter 7. A person actively supports or opposes a particular decision in a proceeding if he or she lobbies in person the officers or employees of the agency, testifies in person before the agency, or otherwise acts to influence officers of the agency.

(3) “Agency” means an agency as defined in Section 82003 except that it does not include the courts or any agency in the judicial branch of government, local governmental agencies whose members are directly elected by the voters, the Legislature, the Board of Equalization, or constitutional officers. However, this section applies to any person who is a member of an exempted agency but is acting as a voting member of another agency.

(4) “Officer” means any elected or appointed officer of an agency, any alternate to an elected or appointed officer of an agency, and any candidate for elective office in an agency.

(5) “License, permit, or other entitlement for use” means all business, professional, trade and land use licenses and permits and all other entitlements for

use, including all entitlements for land use, all contracts (other than competitively bid, labor, or personal employment contracts), and all franchises.

(6) “Contribution” includes contributions to candidates and committees in federal, state, or local elections.

(b) No officer of an agency shall accept, solicit, or direct a contribution of more than two hundred fifty dollars (\$250) from any party, or his or her agent, or from any participant, or his or her agent, while a proceeding involving a license, permit, or other entitlement for use is pending before the agency and for three months following the date a final decision is rendered in the proceeding if the officer knows or has reason to know that the participant has a financial interest, as that term is used in Article 1 (commencing with Section 87100) of Chapter 7. This prohibition shall apply regardless of whether the officer accepts, solicits, or directs the contribution for himself or herself, or on behalf of any other officer, or on behalf of any candidate for office or on behalf of any committee.

(c) Prior to rendering any decision in a proceeding involving a license, permit or other entitlement for use pending before an agency, each officer of the agency who received a contribution within the preceding 12 months in an amount of more than two hundred fifty dollars (\$250) from a party or from any participant shall disclose that fact on the record of the proceeding. No officer of an agency shall make, participate in making, or in any way attempt to use his or her official position to influence the decision in a proceeding involving a license, permit, or other entitlement for use pending before the agency if the officer has willfully or knowingly received a contribution in an amount of more than two hundred fifty dollars (\$250) within the preceding 12 months from a party or his or her agent, or from any participant, or his or her agent if the officer knows or has reason to know that the participant has a financial interest in the decision, as that term is described with respect to public officials in Article 1 (commencing with Section 87100) of Chapter 7.

If an officer receives a contribution which would otherwise require disqualification under this section, returns the contribution within 30 days from the time he or she knows, or should have known, about the contribution and the proceeding involving a license, permit, or other entitlement for use, he or she shall be permitted to participate in the proceeding.

(d) A party to a proceeding before an agency involving a license, permit, or other entitlement for use shall disclose on the record of the proceeding any contribution in an amount of more than two hundred

fifty dollars (\$250) made within the preceding 12 months by the party, or his or her agent, to any officer of the agency. No party, or his or her agent, to a proceeding involving a license, permit, or other entitlement for use pending before any agency and no participant, or his or her agent, in the proceeding shall make a contribution of more than two hundred fifty dollars (\$250) to any officer of that agency during the proceeding and for three months following the date a final decision is rendered by the agency in the proceeding. When a closed corporation is a party to, or a participant in, a proceeding involving a license, permit, or other entitlement for use pending before an agency, the majority shareholder is subject to the disclosure and prohibition requirements specified in subdivisions (b), (c), and this subdivision.

(e) Nothing in this section shall be construed to imply that any contribution subject to being reported under this title shall not be so reported.

History: Added by Stats. 1982, Ch. 1049; amended by Stats. 1984, Ch. 1681, effective September 30, 1984; amended by Stats. 1989, Ch. 764.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18438.1  
2 Cal. Code of Regs. Section 18438.2  
2 Cal. Code of Regs. Section 18438.3  
2 Cal. Code of Regs. Section 18438.4  
2 Cal. Code of Regs. Section 18438.5  
2 Cal. Code of Regs. Section 18438.6  
2 Cal. Code of Regs. Section 18438.7  
2 Cal. Code of Regs. Section 18438.8

Opinions: In re Curiel (1983) 8 FPPC Ops. 1

#### **§ 84309. Transmittal of Campaign Contributions in State Office Buildings; Prohibition.**

(a) No person shall receive or personally deliver or attempt to deliver a contribution in the State Capitol, in any state office building, or in any office for which the state pays the majority of the rent other than a legislative district office.

(b) For purposes of this section:

(1) “Personally deliver” means delivery of a contribution in person or causing a contribution to be delivered in person by an agent or intermediary.

(2) “Receive” includes the receipt of a campaign contribution delivered in person.

History: Added by Stats. 1982, Ch. 920.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18439



### **§ 84310. Identification Requirements for Telephone Calls.**

(a) A candidate, committee, or slate mailer organization may not expend campaign funds, directly or indirectly, to pay for telephone calls that are similar in nature and aggregate 500 or more in number, made by an individual, or individuals, or by electronic means and that advocate support of, or opposition to, a candidate, ballot measure, or both, unless during the course of each call the name of the organization that authorized or paid for the call is disclosed to the recipient of the call. Unless the organization that authorized the call and in whose name it is placed has filing obligations under this title, and the name announced in the call either is the full name by which the organization or individual is identified in any statement or report required to be filed under this title or is the name by which the organization or individual is commonly known, the candidate, committee, or slate mailer organization that paid for the call shall be disclosed. This section shall not apply to telephone calls made by the candidate, the campaign manager, or individuals who are volunteers.

(b) Campaign and ballot measure committees are prohibited from contracting with any phone bank vendor that does not disclose the information required to be disclosed by subdivision (a).

(c) A candidate, committee, or slate mailer organization that pays for telephone calls as described in subdivision (a) shall maintain a record of the script of the call for the period of time set forth in Section 84104. If any of the calls qualifying under subdivision (a) were recorded messages, a copy of the recording shall be maintained for that period.

History: Added by Stats. 2006, Ch. 439.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18440

### **Article 4. Exemptions. § 84400**

§ 84400. Exemptions.

#### **§ 84400. Exemptions.**

Notwithstanding any other provision of the law, the Commission shall have no power to exempt any person, including any candidate or committee, from any of the requirements imposed by the provisions of this chapter.

History: Added by Stats. 1977, Ch. 403.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18421.2

### **Article 5. Advertisements. § 84501 - 84511**

- § 84501. Advertisement.
- § 84502. Cumulative Contributions.
- § 84503. Disclaimer; Ballot Measure Ads.
- § 84504. Ballot Measure Committee Name.
- § 84505. Avoidance of Disclosure.
- § 84506. Disclaimer; Independent Expenditure Ads.
- § 84506.5. Disclaimer; Independent Expenditure Ads; Not Authorized by Candidate.
- § 84507. Disclaimer; Legible and Audible.
- § 84508. Disclaimer; Small Ad.
- § 84509. Amended Disclaimers.
- § 84510. Remedies for Article Violations; Civil Action; Fines.
- § 84511. Ballot Measure Ads; Paid Spokesperson Disclosure.

#### **§ 84501. Advertisement.**

(a) "Advertisement" means any general or public advertisement which is authorized and paid for by a person or committee for the purpose of supporting or opposing a candidate for elective office or a ballot measure or ballot measures.

(b) "Advertisement" does not include a communication from an organization other than a political party to its members, a campaign button smaller than 10 inches in diameter, a bumper sticker smaller than 60 square inches, or other advertisement as determined by regulations of the Commission.

History: Added by Proposition 208 of the November 1996 Statewide General Election.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1  
2 Cal. Code of Regs. Section 18450.11

#### **§ 84502. Cumulative Contributions.**

"Cumulative contributions" means the cumulative amount of contributions received by a committee beginning 12 months prior to the date the committee made its first expenditure to qualify, support, or oppose the measure and ending within seven days of the time the advertisement is sent to the printer or broadcast station.

History: Added by Proposition 208 of the November 1996 Statewide General Election; amended by Stats. 2004, Ch. 478, effective September 10, 2004.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1

#### **§ 84503. Disclaimer; Ballot Measure Ads.**

(a) Any advertisement for or against any ballot measure shall include a disclosure statement identifying any person whose cumulative contributions are fifty thousand dollars (\$50,000) or more.

(b) If there are more than two donors of fifty thousand dollars (\$50,000) or more, the committee is only required to disclose the highest and second highest in that order. In the event that more than two donors meet this disclosure threshold at identical contribution levels, the highest and second highest shall be selected according to chronological sequence.

History: Added by Proposition 208 of the November 1996 Statewide General Election; preliminarily enjoined January 6, 1998; permanently enjoined March 1, 2001, as applied to slate mailers only.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18402  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1  
2 Cal. Code of Regs. Section 18450.4  
2 Cal. Code of Regs. Section 18450.5

#### **§ 84504. Ballot Measure Committee Name.**

(a) Any committee that supports or opposes one or more ballot measures shall name and identify itself using a name or phrase that clearly identifies the economic or other special interest of its major donors of fifty thousand dollars (\$50,000) or more in any reference to the committee required by law, including, but not limited, to its statement of organization filed pursuant to Section 84101.

(b) If the major donors of fifty thousand dollars (\$50,000) or more share a common employer, the identity of the employer shall also be disclosed.

(c) Any committee which supports or opposes a ballot measure, shall print or broadcast its name as provided in this section as part of any advertisement or other paid public statement.

(d) If candidates or their controlled committees, as a group or individually, meet the contribution thresholds for a person, they shall be identified by the controlling candidate's name.

History: Added by Proposition 208 of the November 1996 Statewide General Election.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18402  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1  
2 Cal. Code of Regs. Section 18450.3  
2 Cal. Code of Regs. Section 18450.4  
2 Cal. Code of Regs. Section 18450.5  
2 Cal. Code of Regs. Section 18521.5

#### **§ 84505. Avoidance of Disclosure.**

In addition to the requirements of Sections 84503, 84504, 84506, and 84506.5, the committee placing the advertisement or persons acting in concert with that committee shall be prohibited from creating or using a noncandidate-controlled committee or a nonsponsored committee to avoid, or that results in the avoidance of, the disclosure of any individual, industry, business entity, controlled committee, or sponsored committee as a major funding source.

History: Added by Proposition 208 of the November 1996 Statewide General Election; amended by Stats. 2007, Ch. 495.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1

#### **§ 84506. Disclaimer; Independent Expenditure Ads.**

(a) An advertisement supporting or opposing a candidate or ballot measure, that is paid for by an independent expenditure, shall include a disclosure statement that identifies both of the following:

(1) The name of the committee making the independent expenditure.

(2) The names of the persons from whom the committee making the independent expenditure has received its two highest cumulative contributions of fifty thousand dollars (\$50,000) or more during the 12-month period prior to the expenditure. If the committee can show, on the basis that contributions are spent in the order they are received, that contributions received from the two highest contributors have been used for expenditures unrelated to the candidate or ballot measure featured in the communication, the committee shall disclose the contributors making the next largest cumulative contributions of fifty thousand dollars (\$50,000) or more.

(b) If an acronym is used to identify any committee names required by this section, the names of any sponsoring organization of the committee shall be printed on print advertisements or spoken in broadcast advertisements.

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed and new section added by Stats. 2004, Ch. 478, effective September 10, 2004; amended by Stats. 2012, Ch. 496.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18402  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1  
2 Cal. Code of Regs. Section 18450.3  
2 Cal. Code of Regs. Section 18450.4  
2 Cal. Code of Regs. Section 18450.5

**§ 84506.5. Disclaimer; Independent Expenditure Ads; Not Authorized by Candidate.**

(a) An advertisement supporting or opposing a candidate that is paid for by an independent expenditure must include the following statement: This advertisement was not authorized or paid for by a candidate for this office or a committee controlled by a candidate for this office.

(b) In addition to the requirements of Section 84507, a mailed advertisement subject to this section shall also comply with each of the following:

(1) The disclosure statement in subdivision (a) shall be located within one quarter of an inch of the recipient's name and address as printed on the advertisement.

(2) The text of the disclosure statement shall be contained in a box with an outline that has a line weight of at least 3.25 pt. The background color of the box shall be in a contrasting color to the background of the advertisement. The outline of the box shall be in a contrasting color to both the background color of the advertisement and the background color of the box. The color of the text shall be in a contrasting color to the background color of the box.

History: Added by Stats. 2007, Ch. 495; amended by Stats. 2015, Ch. 747, effective October 10, 2015.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.4

**§ 84507. Disclaimer; Legible and Audible.**

Any disclosure statement required by this article shall be printed clearly and legibly in no less than 14-point, bold, sans serif type font and in a conspicuous manner as defined by the commission or, if the communication is broadcast, the information shall be spoken so as to be clearly audible and understood by the intended public and otherwise appropriately conveyed for the hearing impaired.

History: Added by Proposition 208 of the November 1996 Statewide General Election; amended by Stats. 2015, Ch. 747, effective October 10, 2015.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1

**§ 84508. Disclaimer; Small Ad.**

If disclosure of two major donors is required by Sections 84503 and 84506, the committee shall be required to disclose, in addition to the committee name, only its highest major contributor in any advertisement which is:

(a) An electronic broadcast of 15 seconds or less, or

(b) A newspaper, magazine, or other public print media advertisement which is 20 square inches or less.

History: Added by Proposition 208 of the November 1996 Statewide General Election.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1

**§ 84509. Amended Disclaimers.**

When a committee files an amended campaign statement pursuant to Section 81004.5, the committee shall change its advertisements to reflect the changed disclosure information.

History: Added by Proposition 208 of the November 1996 Statewide General Election.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1  
2 Cal. Code of Regs. Section 18450.5

**§ 84510. Remedies for Article Violations; Civil Action; Fines.**

(a) In addition to the remedies provided for in Chapter 11 (commencing with Section 91000) of this title, any person who violates this article is liable in a civil or administrative action brought by the Commission or any person for a fine up to three times the cost of the advertisement, including placement costs.

(b) The remedies provided in subdivision (a) shall also apply to any person who purposely causes any other person to violate any provision of this article or who aids and abets any other person in a violation.

(c) If a judgment is entered against the defendant or defendants in an action brought under this section, the plaintiff shall receive 50 percent of the amount recovered. The remaining 50 percent shall be deposited in the General Fund of the state. In an action brought by a local civil prosecutor, 50 percent shall be deposited in the account of the agency bringing the action and 50 percent shall be paid to the General Fund of the state.

History: Added by Proposition 208 of the November 1996 Statewide General Election.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1

**§ 84511. Ballot Measure Ads; Paid Spokesperson Disclosure.**

(a) This section applies to a committee that does either of the following:

(1) Makes an expenditure of five thousand dollars (\$5,000) or more to an individual for his or her appearance in an advertisement that supports or



opposes the qualification, passage, or defeat of a ballot measure.

(2) Makes an expenditure of any amount to an individual for his or her appearance in an advertisement that supports or opposes the qualification, passage, or defeat of a ballot measure and that states or suggests that the individual is a member of an occupation that requires licensure, certification, or other specialized, documented training as a prerequisite to engage in that occupation.

(b) A committee described in subdivision (a) shall file, within 10 days of the expenditure, a report that includes all of the following:

(1) An identification of the measure that is the subject of the advertisement.

(2) The date of the expenditure.

(3) The amount of the expenditure.

(4) The name of the recipient of the expenditure.

(5) For a committee described in paragraph (2) of subdivision (a), the occupation of the recipient of the expenditure.

(c) An advertisement paid for by a committee described in paragraph (1) of subdivision (a) shall include a disclosure statement stating “(spokesperson’s name) is being paid by this campaign or its donors” in highly visible font shown continuously if the advertisement consists of printed or televised material, or spoken in a clearly audible format if the advertisement is a radio broadcast or telephonic message.

(d) (1) An advertisement paid for by a committee described in paragraph (2) of subdivision (a) shall include a disclosure statement stating “Persons portraying members of an occupation in this advertisement are compensated spokespersons not necessarily employed in those occupations” in highly visible font shown continuously if the advertisement consists of printed or televised material, or spoken in a clearly audible format if the advertisement is a radio broadcast or telephonic message.

(2) A committee may omit the disclosure statement required by this subdivision if all of the following are satisfied with respect to each individual identified in the report filed pursuant to subdivision (b) for that advertisement:

(A) The occupation identified in the report is substantially similar to the occupation portrayed in the advertisement.

(B) The committee maintains credible documentation of the appropriate license, certification, or other training as evidence that the individual may engage in the occupation identified in the report and portrayed in the advertisement and

makes that documentation immediately available to the Commission upon request.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001; amended by Stats. 2014, Ch. 868; amended by Stats. 2015, Ch. 747, effective October 10, 2015.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18421.2  
2 Cal. Code of Regs. Section 18450.1  
2 Cal. Code of Regs. Section 18450.11

## **Chapter 4.6. Online Disclosure.**

### **§ 84600 - 84615**

§ 84600. Online Disclosure.

§ 84601. Public Access.

§ 84602. Secretary of State’s Duties.

§ 84602.1. Secretary of State’s Duties; Online Lobbying Registration; Reports to the Legislature.

§ 84602.5. Online Index of Identification Numbers.

§ 84603. Acceptance of Reports.

§ 84604. Online Disclosure Program.  
[Repealed]

§ 84605. Who Shall File Online.

§ 84606. Operation of Online System.

§ 84607. Prohibition Against Political or Campaign Use.

§ 84609. Candidate and Ballot Measure Committees. [Repealed]

§ 84610. Appropriation. [Repealed]

§ 84612. Rejection of Electronic Filing; Procedures.

§ 84613. Political Disclosure, Accountability, Transparency, and Access Fund.

§ 84615. Campaign Reports and Statements - Electronic Filing for Local Agencies.

### **§ 84600. Online Disclosure.**

This chapter may be known and may be cited as the Online Disclosure Act.

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 2001, Ch. 917, effective October 14, 2001.

### **§ 84601. Public Access.**

The Legislature finds and declares as follows:

(a) The people of California enacted one of the nation’s most comprehensive campaign and lobbying financial disclosure laws when they voted for Proposition 9, the Political Reform Act of 1974, an initiative statute.

(b) Public access to campaign and lobbying disclosure information is a vital and integral component of a fully informed electorate.

(c) Advances in technology have made it necessary for the State of California to develop a new, data-driven online filing and disclosure system that provides public disclosure of campaign finance and lobbying information in a user-friendly, easily understandable format.

(d) Members of the public, including voters, journalists, and researchers, should be able to access campaign finance and lobbying information in a robust and flexible manner, including through searches and visual displays such as graphs and maps.

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 2016, Ch. 845.

#### **§ 84602. Secretary of State's Duties.**

(a) To implement the Legislature's intent, the Secretary of State, in consultation with the Commission, notwithstanding any other provision of this code, shall do all of the following:

(1) Develop online and electronic filing processes for use by persons and entities specified in Section 84605 that are required to file statements and reports with the Secretary of State's office pursuant to Chapter 4 (commencing with Section 84100) and Chapter 6 (commencing with Section 86100). Those processes shall each enable a user to comply with all of the disclosure requirements of this title and shall include, at a minimum, both of the following:

(A) A means or method whereby filers subject to this chapter may submit required filings free of charge. Any means or method developed pursuant to this subparagraph shall not provide any additional or enhanced functions or services that exceed the minimum requirements necessary to fulfill the disclosure provisions of this title. At least one means or method shall be made available no later than December 31, 2002.

(B) The definition of a nonproprietary standardized record format or formats using industry standards for the transmission of the data that is required of those persons and entities specified in Section 84605 and that conforms with the disclosure requirements of this title. The Secretary of State shall hold public hearings before development of the record format or formats as a means to ensure that affected entities have an opportunity to provide input into the development process. The format or formats shall be made public no later than July 1, 1999, to ensure sufficient time to comply with this chapter.

(2) Accept test files from software vendors and others wishing to file reports electronically, for the purpose of determining whether the file format is in compliance with the standardized record format developed pursuant to paragraph (1) and is compatible with the Secretary of State's system for receiving the data. A list of the software and service providers who have submitted acceptable test files shall be published by the Secretary of State and made available to the public. Acceptably formatted files shall be submitted by a filer in order to meet the requirements of this chapter.

(3) Develop a system that provides for the online or electronic transfer of the data specified in this section using telecommunications technology that ensures the integrity of the data transmitted and that creates safeguards against efforts to tamper with or subvert the data.

(4) Make all the data filed available on the Internet in an easily understood format that provides the greatest public access. The data shall be made available free of charge and as soon as possible after receipt. All late contribution and late independent expenditure reports, as defined by Sections 84203 and 84204, respectively, shall be made available on the Internet within 24 hours of receipt. The data made available on the Internet shall not contain the street name and building number of the persons or entity representatives listed on the electronically filed forms or any bank account number required to be disclosed pursuant to this title.

(5) Develop a procedure for filers to comply with the requirement that they sign under penalty of perjury pursuant to Section 81004.

(6) Maintain all filed data online for 10 years after the date it is filed, and then archive the information in a secure format.

(7) Provide assistance to those seeking public access to the information.

(8) Implement sufficient technology to seek to prevent unauthorized alteration or manipulation of the data.

(9) Provide the Commission with necessary information to enable it to assist agencies, public officials, and others with the compliance with, and administration of, this title.

(10) Report to the Legislature on the implementation and development of the online and electronic filing and disclosure requirements of this chapter. The report shall include an examination of system security, private security issues, software availability, compliance costs to filers, use of the filing system and software provided by the Secretary of State, and other issues relating to this chapter, and

shall recommend appropriate changes if necessary. In preparing the report, the Commission may present to the Secretary of State and the Legislature its comments regarding this chapter as it relates to the duties of the Commission and suggest appropriate changes if necessary. There shall be one report due before the system is operational as set forth in Section 84603, one report due no later than June 1, 2002, and one report due no later than January 31, 2003.

(11) Review the current filing and disclosure requirements of this chapter and report to the Legislature, no later than June 1, 2005, recommendations on revising these requirements so as to promote greater reliance on electronic and online submissions.

(b) (1) To implement the Legislature's intent, as described in Section 84601, the Secretary of State, in consultation with the Commission, shall develop an online filing and disclosure system for use by persons and entities specified in Section 84605 that are required to file statements and reports with the Secretary of State's office pursuant to Chapter 4 (commencing with Section 84100) and Chapter 6 (commencing with Section 86100). The system shall enable a user to comply with all of the disclosure requirements of this title and shall include, at minimum, all of the following:

(A) A data-driven means or method that allows filers subject to this chapter to submit required filings free of charge in a manner that facilitates public searches of the data and does all of the following:

(i) Enables a filer to comply with all of the disclosure requirements of this title, including by entering or uploading requisite data or by indicating that the filer had no reportable activity during a particular reporting period.

(ii) Retains previously submitted data so that a filer can access that data to amend disclosures or prepare future disclosures.

(iii) Ensures the security of data entered and stored in the system.

(iv) To the extent feasible, is compatible with potential future capability to accept statements from filers specified in subdivisions (b) to (e), inclusive, of Section 84215.

(B) The definition of a nonproprietary standardized record format or formats using industry standards for the transmission of the data that is required of those persons and entities specified in Section 84605 and that conforms with the disclosure requirements of this title.

(2) The Secretary of State shall do all of the following with respect to the online filing and

disclosure system developed pursuant to this subdivision:

(A) Accept test files from software vendors and others wishing to file reports electronically for the purpose of determining whether the file format is in compliance with the standardized record format developed pursuant to this subdivision and is compatible with the Secretary of State's system for receiving the data. The Secretary of State shall publish and make available to the public a list of the software and service providers who have submitted acceptable test files. A filer shall submit acceptably formatted files in order to meet the requirements of this chapter.

(B) Make the data filed available on the Internet as follows:

(i) In a user-friendly, easily understandable format that provides the greatest public access, including online searches and machine-readable downloads of all data contained in the system, except as specified in clause (iii).

(ii) Free of charge and as soon as possible after receipt, or, in the case of late contribution, late in-kind contribution, and late independent expenditure reports, as defined by Sections 84203, 84203.3, and 84204, respectively, within 24 hours of receipt.

(iii) Not containing the street name or building number of the persons or entity representatives listed on the electronically filed forms or any bank account number required to be disclosed pursuant to this title.

(iv) In a manner that allows the public to track and aggregate contributions from the same contributor across filers using a permanent unique identifier assigned by the Secretary of State for this purpose. The Secretary of State shall assign this identifier to, at minimum, each contributor who makes contributions totaling ten thousand dollars (\$10,000) or more in a calendar year to, or at the behest of, candidates or committees that file electronically with the Secretary of State pursuant to subdivision (a) of Section 84215 or who files with the Secretary of State as a major donor committee under subdivision (c) of Section 82013.

(C) Develop a procedure for filers to comply electronically with the requirement to sign under penalty of perjury pursuant to Section 81004. The electronic signature procedure shall allow the filer to file with the Secretary of State and shall not require an original signature to be filed.

(D) Maintain all filed data online for at least 20 years after the date it is filed, and then archive the information in a secure format.

(E) Provide assistance to those seeking public access to the information.



(F) Implement sufficient technology to seek to prevent unauthorized alteration or manipulation of the data.

(G) Provide the Commission with necessary information to enable it to assist agencies, public officials, and others in complying with and administering this title.

(3) The Secretary of State shall do all of the following with respect to developing the online filing and disclosure system and record format pursuant to this subdivision:

(A) Consult with the Assembly Committee on Elections and Redistricting, the Senate Committee on Elections and Constitutional Amendments, the Commission, users, filers, and other stakeholders, as appropriate, about functions of the online filing and disclosure system.

(B) In consultation with the Commission, and no later than July 31, 2017, hold at least one public hearing to receive input about developing the online filing and disclosure system and record format.

(C) No later than December 31, 2017, submit a report to the Assembly Committee on Elections and Redistricting and the Senate Committee on Elections and Constitutional Amendments that includes a plan for the online filing and disclosure system, describes how members of the public will be able to query and retrieve data from the system, and includes a plan for integrating statements as specified in clause (iv) of subparagraph (A) of paragraph (1).

(4) The Secretary of State shall make the online filing and disclosure system developed pursuant to this subdivision available for use no later than February 1, 2019. The Secretary of State may extend this date to a date no later than December 31, 2019, after consulting with the Assembly Committee on Elections and Redistricting and the Senate Committee on Elections and Constitutional Amendments and providing to those committees a report that explains the need for the extension and includes a plan for completion.

(5) The Secretary of State may accept any funds, services, equipment, or grants to further this subdivision, provided that the Secretary of State shall notify the Assembly Committee on Elections and Redistricting and the Senate Committee on Elections and Constitutional Amendments upon accepting any amount valued at one hundred thousand dollars (\$100,000) or more.

(6) Because the provisions of this chapter need to be implemented as expeditiously as possible, the information technology procurement requirements described in Chapter 5.6 (commencing with Section 11545) of Part 1 of Division 3 of Title 2 of this code,

and in Section 12100 of the Public Contract Code, do not apply to development of the online filing and disclosure system pursuant to this subdivision. The Secretary of State shall consult with the Department of Technology, as appropriate, in developing the online filing and disclosure system, in order to maximize project success, minimize lifecycle costs, and ensure the security of the system and its data.

(7) (A) Before making the system developed pursuant to this subdivision available for public use, the Secretary of State, in consultation with the Commission, shall test the system to ensure its functionality and then certify that the system meets all the requirements of this subdivision. The Secretary of State may consult with the Department of Technology as needed to fulfill his or her duties under this paragraph.

(B) After the system developed pursuant to this subdivision is certified, the system described in subdivision (a) shall no longer accept reports and filings, unless otherwise directed by the Secretary of State and the Commission. The system described in subdivision (a) shall continue to allow public access to past disclosures unless the Secretary of State migrates that data into the system described in this subdivision.

(c) On or before December 31, 2017, and on or before every April 15, July 15, October 15, and January 15 thereafter, the Secretary of State shall submit to the chairs of the Joint Legislative Budget Committee and the fiscal committees of the Legislature a quarterly report on the progress of the Cal-Access Project. Specifically, the Secretary of State shall certify whether he or she (1) anticipates making or has made any changes to the project's scope, schedule, or budget and (2) considers any problems to be a risk to the project's completion according to the approved project schedule and budget. This reporting requirement shall end upon the completion or termination of the Cal-Access Project.

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 1999, Ch. 433, effective September 16, 1999; amended by Stats. 2000, Ch. 319; amended by Stats. 2001, Ch. 917, effective October 14, 2001; amended by Stats. 2004, Ch. 816; amended by Stats. 2005, Ch. 22; amended by Stats. 2012, Ch. 503; amended by Stats. 2016, Ch. 845.

#### **§ 84602.1. Secretary of State's Duties; Online Lobbying Registration; Reports to the Legislature.**

History: Added by Stats. 2006, Ch. 69, set to be effective July 12, 2006, but void due to lack of compliance with section 81012.

### **§ 84602.5. Online Index of Identification Numbers.**

The Secretary of State shall disclose online pursuant to this chapter an index of the identification numbers, as assigned pursuant to subdivision (a) of Section 84101, of every person, entity, or committee that is obligated to make a disclosure pursuant to Chapter 4. This index shall be updated monthly except for the six-week period preceding any statewide regular or special election, during which period the index shall be updated weekly.

History: Added by Stats. 1999, Ch. 208.

### **§ 84603. Acceptance of Reports.**

The Secretary of State, once all state-mandated development, procurement, and oversight requirements have been met, shall make public their availability to accept reports online or electronically. Any filer may then commence voluntarily filing online or electronically any required report or statement that is otherwise required to be filed with the Secretary of State pursuant to Chapter 4 (commencing with Section 84100) or Chapter 6 (commencing with Section 86100) of this title.

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 1999, Ch. 433, effective September 16, 1999.

### **§ 84604. Online Disclosure Program. [Repealed]**

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 1999, Ch. 433, effective September 16, 1999; repealed by Stats. 2012, Ch. 503.

### **§ 84605. Who Shall File Online.**

(a) The following persons shall file online or electronically with the Secretary of State:

(1) Any candidate, including superior court, appellate court, and Supreme Court candidates and officeholders, committee, or other persons who are required, pursuant to Chapter 4 (commencing with Section 84100), to file statements, reports, or other documents in connection with a state elective office or state measure, provided that the total cumulative reportable amount of contributions received, expenditures made, loans made, or loans received is twenty-five thousand dollars (\$25,000) or more. In determining the cumulative reportable amount, all controlled committees, as defined by Section 82016, shall be included. For a committee subject to this title prior to January 1, 2000, the beginning date for calculating cumulative totals is January 1, 2000. For a committee that is first subject to this title on or after January 1, 2000, the beginning date for calculating cumulative totals is the date the committee is first subject to this title. A committee,

as defined in subdivision (c) of Section 82013, shall file online or electronically if it makes contributions of twenty-five thousand dollars (\$25,000) or more in a calendar year.

(2) Any general purpose committees, as defined in Section 82027.5, including the general purpose committees of political parties, and small contributor committees, as defined in Section 85203, that cumulatively receive contributions or make expenditures totaling twenty-five thousand dollars (\$25,000) or more to support or oppose candidates for any elective state office or state measure. For a committee subject to this title prior to January 1, 2000, the beginning date for calculating cumulative totals is January 1, 2000. For a committee that first is subject to this title on or after January 1, 2000, the beginning date for calculating cumulative totals is the date the committee is first subject to this title.

(3) Any slate mailer organization with cumulative reportable payments received or made for the purposes of producing slate mailers of twenty-five thousand dollars (\$25,000) or more. For a slate mailer organization subject to this title prior to January 1, 2000, the beginning date for calculating cumulative totals is January 1, 2000. For a slate mailer organization that first is subject to this title on or after January 1, 2000, the beginning date for calculating cumulative totals is the date the organization is first subject to this title.

(4) Any lobbyist, lobbying firm, lobbyist employer, or other persons required, pursuant to Chapter 6 (commencing with Section 86100), to file statements, reports, or other documents, provided that the total amount of any category of reportable payments, expenses, contributions, gifts, or other items is two thousand five hundred dollars (\$2,500) or more in a calendar quarter.

(b) The Secretary of State shall also disclose on the Internet any late contribution or late independent expenditure report, as defined by Sections 84203 and 84204, respectively, not covered by paragraph (1), (2), or (3) of subdivision (a) or any other provision of law.

(c) Committees and other persons that are not required to file online or electronically by this section may do so voluntarily.

(d) Once a person or entity is required to file online or electronically, subject to subdivision (a) or (c), the person or entity shall be required to file all subsequent reports online or electronically.

(e) It shall be presumed that online or electronic filers file under penalty of perjury.

(f) Persons filing online or electronically shall also continue to file required disclosure statements and reports in paper format. The paper copy shall continue to be the official filing for audit and other legal purposes until the Secretary of State, pursuant to Section 84606, determines the system is operating securely and effectively.

(g) The Secretary of State shall maintain at all times a secured, official version of all original online and electronically filed statements and reports required by this chapter. Upon determination by the Secretary of State, pursuant to Section 84606, that the system is operating securely and effectively, this online or electronic version shall be the official version for audit and other legal purposes.

(h) Except for statements related to a local elective office or a local ballot measure filed by a candidate for local elective office who is also a candidate for elective state office, a copy of a statement, report, or other document filed by online or electronic means with the Secretary of State shall not be filed with a local filing officer.

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 1999, Ch. 433, effective September 16, 1999; amended by Stats. 2007, Ch. 348; amended by Stats. 2010, Ch. 18.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18450.11  
2 Cal. Code of Regs. Section 18451  
2 Cal. Code of Regs. Section 18465  
2 Cal. Code of Regs. Section 18465.1

#### **§ 84606. Operation of Online System.**

The Secretary of State shall determine and publicly disclose when the online and electronic disclosure systems are operating effectively. In making this determination, the Secretary of State shall consult with the Commission, the Department of Information Technology, and any other appropriate public or private entity. The online or electronic disclosure system shall not become operative until the Department of Information Technology approves the system. Upon this determination, filers required by this chapter to file online or electronically will no longer be required to file a paper copy or with local filing officers. Furthermore, the date that a filer transmits an online or electronic report shall be the date the filed report is received by the Secretary of State.

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 1999, Ch. 433, effective September 16, 1999.

#### **§ 84607. Prohibition Against Political or Campaign Use.**

Pursuant to Section 8314, no employee or official of a state or local government agency shall utilize, for political or campaign purposes, public facilities or resources to retrieve or maintain any of the data produced by the requirements of this chapter.

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997.

#### **§ 84609. Candidate and Ballot Measure Committees. [Repealed]**

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; repealed by Stats. 2012, Ch. 503.

#### **§ 84610. Appropriation. [Repealed]**

History: Added by Stats. 1997, Ch. 866, effective October 11, 1997; amended by Stats. 1999, Ch. 433, effective September 16, 1999; repealed by Stats. 2012, Ch. 503.

#### **§ 84612. Rejection of Electronic Filing; Procedures.**

If the Secretary of State rejects a filing made under this chapter, the Secretary of State shall immediately notify the filer, by electronic mail, of the reason or reasons for rejection using plain, straightforward language, avoiding technical terms as much as possible, and using a coherent and easily readable style. The notice shall be written or displayed so that the meaning will be easily understood by those persons directly affected by it.

History: Added by Stats. 2001, Ch. 79.

#### **§ 84613. Political Disclosure, Accountability, Transparency, and Access Fund.**

(a) The Political Disclosure, Accountability, Transparency, and Access Fund is hereby established in the State Treasury. Moneys collected pursuant to Section 84101.5 and one-half of the moneys collected pursuant to Section 86102 shall be deposited in the Political Disclosure, Accountability, Transparency, and Access Fund.

(b)(1) Moneys deposited in the Political Disclosure, Accountability, Transparency, and Access Fund are subject to appropriation by the Legislature and shall be expended for the maintenance, repair, and improvement of the online or electronic disclosure program implemented by the Secretary of State pursuant to this chapter.

(2) In addition to paragraph (1), the Secretary of State may also use moneys deposited in the Political Disclosure, Accountability, Transparency, and Access Fund for purposes of implementing the act that added this section.

(c) Any expenditure of moneys from the Political Disclosure, Accountability, Transparency,



and Access Fund for the purposes described in paragraph (1) of subdivision (b) is subject to the project approval and oversight process established by the California Technology Agency pursuant to Section 11546.

History: Added by Stats. 2012, Ch. 506.

**§ 84615. Campaign Reports and Statements  
– Electronic Filing for Local Agencies.**

A local government agency may require an elected officer, candidate, committee, or other person required to file statements, reports, or other documents required by Chapter 4 (commencing with Section 84100), except an elected officer, candidate, committee, or other person who receives contributions totaling less than one thousand dollars (\$1,000), and makes expenditures totaling less than one thousand dollars (\$1,000), in a calendar year, to file those statements, reports, or other documents online or electronically with a local filing officer. A local government agency that requires online or electronic filing pursuant to this section shall comply with all of the following:

(a) The legislative body for the local government agency shall adopt an ordinance approving the use of online or electronic filing, which shall include a legislative finding that the online or electronic filing system will operate securely and effectively and would not unduly burden filers. The ordinance adopted by the legislative body for the local government agency may, at the discretion of that legislative body, specify that the electronic or online filing requirements apply only to specifically identified types of filings or are triggered only by identified monetary thresholds. In any instance in which the original statement, report, or other document is required to be filed with the Secretary of State and a copy of that statement, report, or other document is required to be filed with the local government agency, the ordinance may permit, but shall not require, that the copy be filed online or electronically.

(b) The online or electronic filing system shall only accept a filing in the standardized record format that is developed by the Secretary of State pursuant to paragraph (2) of subdivision (a) of Section 84602 and that is compatible with the Secretary of State's system for receiving an online or electronic filing.

(c) The online or electronic filing system shall ensure the integrity of the data transmitted and shall include safeguards against efforts to tamper with, manipulate, alter, or subvert the data.

(d)(1) The local filing officer shall issue to a person who files a statement, report, or other document online or electronically an electronic

confirmation that notifies the filer that the statement, report, or other document was received. The confirmation shall include the date and the time that the statement, report, or other document was received by the filing officer and the method by which the filer may view and print the data received by the filing officer.

(2) A copy retained by the filer of a statement, report, or other document that was filed online or electronically and the confirmation issued pursuant to paragraph (1) that shows the filer timely filed the statement, report, or other document shall create a rebuttable presumption that the filer timely filed the statement, report, or other document.

(e) The date of filing for a statement, report, or other document that is filed online or electronically shall be the day that it is received by the local filing officer.

(f) The local filing officer shall make all the data filed available on the Internet in an easily understood format that provides the greatest public access. The data shall be made available free of charge and as soon as possible after receipt. The data made available on the Internet shall not contain the street name and building number of the persons or entity representatives listed on the electronically filed forms or any bank account number required to be disclosed by the filer. The local filing officer shall make a complete, unredacted copy of any statement, report, or other document filed pursuant to this section, including any street names, building numbers, and bank account numbers disclosed by the filer, available to any person upon request.

(g) The online or electronic filing system shall include a procedure for filers to comply with the requirement that they sign statements and reports under penalty of perjury pursuant to Section 81004.

(h) The local government agency shall enable filers to complete and submit filings free of charge.

(i) The local filing officer shall maintain, for a period of at least 10 years commencing from the date filed, a secured, official version of each online or electronic statement, report, or other document filed pursuant to this section, which shall serve as the official version of that record for purpose of audits and any other legal purpose. Data that has been maintained for at least 10 years may then be archived in a secure format.

(j) Notwithstanding any other provision of law, any statement, report, or other document filed online or electronically pursuant to this section shall not be required to be filed with the local filing officer in paper format.

History: Added by Stats. 2012, Ch. 126.

**Chapter 5. Limitations on Contributions.**  
**§ 85100 - 85802**

- Article 1. Title of Chapter. § 85100 - 85104  
 2. Candidacy. § 85200 – 85201  
 2.5. Applicability of the Political Reform Act of 1974. § 85202 - 85206  
 3. Contribution Limitations. § 85300 - 85321  
 4. Voluntary Expenditure Ceilings. § 85400 - 85404  
 5. Independent Expenditures. § 85500 - 85505  
 6. Ballot Pamphlet. § 85600 - 85602  
 7. Additional Contribution Requirements. § 85700 - 85706  
 8. Appropriation. § 85802

**Article 1. Title of Chapter.**  
**§ 85100 - 85104**

- § 85100. Chapter Title.  
 § 85101. Effect on Local Ordinances. [Repealed]  
 § 85102. Terms Used in Chapter 5. [Repealed]  
 § 85103. Amendment or Repeal of Chapter. [Repealed]  
 § 85104. Operative Date. [Repealed]

**§ 85100. Chapter Title.**

This chapter shall be known as the “Campaign Contribution and Voluntary Expenditure Limits Without Taxpayer Financing Amendments to the Political Reform Act of 1974.”

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; repealed and added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**§ 85101. Effect on Local Ordinances.**  
**[Repealed]**

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; repealed and added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Findings and Declarations”); repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**§ 85102. Terms Used in Chapter 5.**  
**[Repealed]**

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; amended by Stats. 1994, Ch. 1010; repealed and added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Purpose of This Law”); repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**§ 85103. Amendment or Repeal of Chapter.**  
**[Repealed]**

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**§ 85104. Operative Date. [Repealed]**

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**Article 2. Candidacy.**  
**§ 85200 - 85201**

- § 85200. Statement of Intention to be a Candidate.  
 § 85201. Campaign Bank Account.

**§ 85200. Statement of Intention to be a Candidate.**

Prior to the solicitation or receipt of any contribution or loan, an individual who intends to be a candidate for an elective state office, as that term is defined by Section 82024, shall file with the Secretary of State an original statement, signed under penalty of perjury, of intention to be a candidate for a specific office.

An individual who intends to be a candidate for any other elective office shall file the statement of intention with the same filing officer and in the same location as the individual would file an original campaign statement pursuant to subdivisions (b), (c), and (d) of Section 84215.

For purposes of this section, “contribution” and “loan” do not include any payments from the candidate’s personal funds for a candidate filing fee or a candidate statement of qualifications fee.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; amended by Stats. 1991, Ch. 1078; amended by Stats. 1996, Ch. 289; amended by Stats. 1997, Ch. 394; amended by Stats. 2000, Ch. 853; amended by Stats. 2010, Ch. 18.

References at the time of publication (see page 3):

- Regulations: 2 Cal. Code of Regs. Section 18520  
 2 Cal. Code of Regs. Section 18521  
 2 Cal. Code of Regs. Section 18531.5  
 2 Cal. Code of Regs. Section 18536  
 2 Cal. Code of Regs. Section 18537.1  
 2 Cal. Code of Regs. Section 18542

**§ 85201. Campaign Bank Account.**

(a) Upon the filing of the statement of intention pursuant to Section 85200, the individual shall establish one campaign contribution account at an office of a financial institution located in the state.

(b) As required by subdivision (f) of Section 84102, a candidate who raises contributions of two

thousand dollars (\$2,000) or more in a calendar year shall set forth the name and address of the financial institution where the candidate has established a campaign contribution account and the account number on the committee statement of organization filed pursuant to Sections 84101 and 84103.

(c) All contributions or loans made to the candidate, to a person on behalf of the candidate, or to the candidate's controlled committee shall be deposited in the account.

(d) Any personal funds which will be utilized to promote the election of the candidate shall be deposited in the account prior to expenditure.

(e) All campaign expenditures shall be made from the account.

(f) Subdivisions (d) and (e) do not apply to a candidate's payment for a filing fee and statement of qualifications from his or her personal funds.

(g) This section does not apply to a candidate who will not receive contributions and who makes expenditures from personal funds of less than two thousand dollars (\$2,000) in a calendar year to support his or her candidacy. For purposes of this section, a candidate's payment for a filing fee and statement of qualifications shall not be included in calculating the total expenditures made.

(h) An individual who raises contributions from others for his or her campaign, but who raises or spends less than two thousand dollars (\$2,000) in a calendar year, and does not qualify as a committee under Section 82013, shall establish a campaign contribution account pursuant to subdivision (a), but is not required to file a committee statement of organization pursuant to Section 84101 or other statement of bank account information.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; amended by Stats. 1990, Ch. 387; amended by Stats. 1991, Ch. 1078; amended by Stats. 1996, Ch. 289; amended by Stats. 1997, Ch. 394; amended by Stats. 2000, Ch. 853; amended by Stats. 2015, Ch. 364, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18520  
2 Cal. Code of Regs. Section 18521  
2 Cal. Code of Regs. Section 18521.3  
2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18523  
2 Cal. Code of Regs. Section 18523.1  
2 Cal. Code of Regs. Section 18524  
2 Cal. Code of Regs. Section 18525  
2 Cal. Code of Regs. Section 18526  
2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18531.61  
2 Cal. Code of Regs. Section 18537.1

## **Article 2.5. Applicability of the Political Reform Act of 1974.**

### **§ 85202 - 85206**

- § 85202. Interpretation of Chapter 5.
- § 85203. Small Contributor Committee.
- § 85204. Election Cycle for 24-Hour Reports.
- § 85204.5. Special Election Cycle and Special Runoff Election Cycle.
- § 85205. Political Party Committee.
- § 85206. Public Moneys.

### **§ 85202. Interpretation of Chapter 5.**

Unless specifically superseded by the act that adds this section, the definitions and provisions of this title shall govern the interpretation of this chapter.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; amended by Stats. 1989, Ch. 303. (Formerly titled "Contributions to Candidates; Trust for Specific Office"); repealed by Stats. 1990, Ch. 84. Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Applicability of the Political Reform Act"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

### **§ 85203. Small Contributor Committee.**

"Small contributor committee" means any committee that meets all of the following criteria:

- (a) The committee has been in existence for at least six months.
- (b) The committee receives contributions from 100 or more persons.
- (c) No one person has contributed to the committee more than two hundred dollars (\$200) per calendar year.
- (d) The committee makes contributions to five or more candidates.

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18503

### **§ 85204. Election Cycle for 24-Hour Reports.**

"Election cycle," for purposes of Sections 85309 and 85500, means the period of time commencing 90 days prior to an election and ending on the date of the election. For purposes of the Board of Administration of the Public Employees' Retirement System and the Teachers' Retirement Board, "the date of the election" is the deadline to return ballots.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Two-Year Period"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2010, Ch. 633.

References at the time of publication (see page 3):



Regulations: 2 Cal. Code of Regs. Section 18425  
2 Cal. Code of Regs. Section 18550

### **§ 85204.5. Special Election Cycle and Special Runoff Election Cycle.**

With respect to special elections, the following terms have the following meanings:

(a) “Special election cycle” means the day on which the office becomes vacant until the day of the special election.

(b) “Special runoff election cycle” means the day after the special election until the day of the special runoff election.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

### **§ 85205. Political Party Committee.**

“Political party committee” means the state central committee or county central committee of an organization that meets the requirements for recognition as a political party pursuant to Section 5100 of the Elections Code.

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18530.3

### **§ 85206. Public Moneys.**

“Public moneys” has the same meaning as defined in Section 426 of the Penal Code.

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

## **Article 3. Contribution Limitations.**

### **§ 85300 - 85321**

- § 85300. Use of Public Funds for Seeking Elective Office.
- § 85301. Limits on Contributions from Persons.
- § 85302. Limits on Contributions from Small Contributor Committees.
- § 85303. Limits on Contributions to Committees and Political Parties.
- § 85304. Legal Defense Fund.
- § 85304.5. Legal Defense Fund; Local Candidates and Elected Officeholders.
- § 85305. Restrictions on Contributions by Candidates.
- § 85306. Transfers Between a Candidate’s Own Committees; Use of Funds Raised Prior to Effective Date.
- § 85307. Loans.
- § 85308. Family Contributions.
- § 85309. Online Disclosure of Contributions.

- § 85310. Communications Identifying State Candidates.
- § 85311. Affiliated Entities; Aggregation of Contributions to State Candidates.
- § 85312. Communications to Members of an Organization.
- § 85313. Officeholder Account. [Repealed]
- § 85314. Special Elections and Special Runoff Elections as Separate Elections.
- § 85315. Elected State Officer Recall Committees.
- § 85316. Post-Election Fundraising Restrictions; State Officeholder Accounts.
- § 85317. Carry Over of Contributions.
- § 85318. Contributions Received for Primary and General Elections.
- § 85319. Returning Contributions.
- § 85320. Foreign Entities.
- § 85321. Post-Election Fundraising; Elections Held Prior to January 1, 2001.

### **§ 85300. Use of Public Funds for Seeking Elective Office.\***

(a) Except as provided in subdivision (b), a public officer shall not expend, and a candidate shall not accept, any public moneys for the purpose of seeking elective office.

(b) A public officer or candidate may expend or accept public moneys for the purpose of seeking elective office if the state or a local governmental entity establishes a dedicated fund for this purpose by statute, ordinance, resolution, or charter, and both of the following are true:

(1) Public moneys held in the fund are available to all qualified, voluntarily participating candidates for the same office without regard to incumbency or political party preference.

(2) The state or local governmental entity has established criteria for determining a candidate’s qualification by statute, ordinance, resolution, or charter.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election; amended by Stats. 2016, Ch. 837.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18530

\* Please note that recently enacted provisions of Section 85300 are currently the subject of a court challenge. (See *Howard Jarvis Taxpayers Assn. v. Brown*, Super. Ct. Sacramento County, 2016, No. 34-2016-80002512.)

**§ 85301. Limits on Contributions from Persons.**

(a) A person, other than a small contributor committee or political party committee, may not make to any candidate for elective state office other than a candidate for statewide elective office, and a candidate for elective state office other than a candidate for statewide elective office may not accept from a person, any contribution totaling more than three thousand dollars (\$3,000) per election.

(b) Except to a candidate for Governor, a person, other than a small contributor committee or political party committee, may not make to any candidate for statewide elective office, and except a candidate for Governor, a candidate for statewide elective office may not accept from a person other than a small contributor committee or a political party committee, any contribution totaling more than five thousand dollars (\$5,000) per election.

(c) A person, other than a small contributor committee or political party committee, may not make to any candidate for Governor, and a candidate for governor may not accept from any person other than a small contributor committee or political party committee, any contribution totaling more than twenty thousand dollars (\$20,000) per election.

(d) The provisions of this section do not apply to a candidate's contributions of his or her personal funds to his or her own campaign.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled "Contributions by Persons to Candidates"); repealed and added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18503  
2 Cal. Code of Regs. Section 18521  
2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18523  
2 Cal. Code of Regs. Section 18523.1  
2 Cal. Code of Regs. Section 18530.4  
2 Cal. Code of Regs. Section 18531  
2 Cal. Code of Regs. Section 18531.5  
2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18531.61  
2 Cal. Code of Regs. Section 18533  
2 Cal. Code of Regs. Section 18537  
2 Cal. Code of Regs. Section 18544  
2 Cal. Code of Regs. Section 18545

**§ 85302. Limits on Contributions from Small Contributor Committees.**

(a) A small contributor committee may not make to any candidate for elective state office other than a candidate for statewide elective office, and a candidate for elective state office, other than a candidate for statewide elective office may not accept

from a small contributor committee, any contribution totaling more than six thousand dollars (\$6,000) per election.

(b) Except to a candidate for Governor, a small contributor committee may not make to any candidate for statewide elective office and except for a candidate for Governor, a candidate for statewide elective office may not accept from a small contributor committee, any contribution totaling more than ten thousand dollars (\$10,000) per election.

(c) A small contributor committee may not make to any candidate for Governor, and a candidate for governor may not accept from a small contributor committee, any contribution totaling more than twenty thousand dollars (\$20,000) per election.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled "Contributions by Persons to Committees"); repealed and added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18503  
2 Cal. Code of Regs. Section 18521  
2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18523  
2 Cal. Code of Regs. Section 18523.1  
2 Cal. Code of Regs. Section 18530.4  
2 Cal. Code of Regs. Section 18531  
2 Cal. Code of Regs. Section 18531.5  
2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18537  
2 Cal. Code of Regs. Section 18544  
2 Cal. Code of Regs. Section 18545

**§ 85303. Limits on Contributions to Committees and Political Parties.**

(a) A person may not make to any committee, other than a political party committee, and a committee other than a political party committee may not accept, any contribution totaling more than five thousand dollars (\$5,000) per calendar year for the purpose of making contributions to candidates for elective state office.

(b) A person may not make to any political party committee, and a political party committee may not accept, any contribution totaling more than twenty-five thousand dollars (\$25,000) per calendar year for the purpose of making contributions for the support or defeat of candidates for elective state office. Notwithstanding Section 85312, this limit applies to contributions made to a political party used for the purpose of making expenditures at the behest of a candidate for elective state office for communications to party members related to the candidate's candidacy for elective state office.

(c) Except as provided in Section 85310, nothing in this chapter shall limit a person's contributions to a committee or political party committee provided the contributions are used for purposes other than making contributions to candidates for elective state office.

(d) Nothing in this chapter limits a candidate for elected state office from transferring contributions received by the candidate in excess of any amount necessary to defray the candidate's expenses for election related activities or holding office to a political party committee, provided those transferred contributions are used for purposes consistent with paragraph (4) of subdivision (b) of Section 89519.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled "Contributions by Committees to Candidates"); repealed and added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
 2 Cal. Code of Regs. Section 18521.5  
 2 Cal. Code of Regs. Section 18530.3  
 2 Cal. Code of Regs. Section 18530.4  
 2 Cal. Code of Regs. Section 18531  
 2 Cal. Code of Regs. Section 18531.61  
 2 Cal. Code of Regs. Section 18531.7  
 2 Cal. Code of Regs. Section 18533  
 2 Cal. Code of Regs. Section 18534  
 2 Cal. Code of Regs. Section 18537  
 2 Cal. Code of Regs. Section 18544  
 2 Cal. Code of Regs. Section 18545

#### **§ 85304. Legal Defense Fund.**

(a) A candidate for elective state office or an elected state officer may establish a separate account to defray attorney's fees and other related legal costs incurred for the candidate's or officer's legal defense if the candidate or officer is subject to one or more civil or criminal proceedings or administrative proceedings arising directly out of the conduct of an election campaign, the electoral process, or the performance of the officer's governmental activities and duties. These funds may be used only to defray those attorney fees and other related legal costs.

(b) A candidate may receive contributions to this account that are not subject to the contribution limits set forth in this article. However, all contributions shall be reported in a manner prescribed by the commission.

(c) Once the legal dispute is resolved, the candidate shall dispose of any funds remaining after all expenses associated with the dispute are discharged for one or more of the purposes set forth

in paragraphs (1) to (5), inclusive, of subdivision (b) of Section 89519.

(d) (1) For purposes of this section and Section 85304.5, "attorney's fees and other related legal costs" includes only the following:

(A) Attorney's fees and other legal costs related to the defense of the candidate or officer.

(B) Administrative costs directly related to compliance with the requirements of this title.

(2) "Attorney's fees and other related legal costs" does not include expenses for fundraising, media or political consulting fees, mass mailing or other advertising, or, except as expressly authorized by subdivision (c) of Section 89513, a payment or reimbursement for a fine, penalty, judgment or settlement, or a payment to return or disgorge contributions made to any other committee controlled by the candidate or officer.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled "Prohibition on Transfers"); repealed and added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Limitations on Contributions from Political Parties"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2014, Ch. 884.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18521.5  
 2 Cal. Code of Regs. Section 18530.4  
 2 Cal. Code of Regs. Section 18530.45  
 2 Cal. Code of Regs. Section 18537

Opinions: In re Pelham (2001) 15 FPPC Ops. 1

#### **§ 85304.5. Legal Defense Fund; Local Candidates and Elected Officeholders.**

(a) A candidate for elective office other than an elective state office or an elected officer other than an elected state officer may establish a separate account pursuant to subdivision (a) of Section 85304 and may use these funds only to defray attorney's fees and other related legal costs.

(b) A candidate for an elective office other than an elective state office may receive contributions to the separate account subject to any limitations provided by local ordinance. However, all contributions to these separate accounts shall be reported in a manner prescribed by the commission.

(c) Once the legal dispute is resolved, the candidate or elected officer shall dispose of any funds remaining in the separate accounts after all expenses associated with the dispute are discharged for one or more of the purposes set forth in paragraphs (1) to (5), inclusive, of subdivision (b) of Section 89519.



(d) For purposes of this section, “attorney’s fees and other related legal costs” has the same meaning as in Section 85304.

History: Added by Stats. 2007, Ch. 283; amended by Stats. 2014, Ch. 884.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18530.4  
2 Cal. Code of Regs. Section 18530.45

### **§ 85305. Restrictions on Contributions by Candidates.**

A candidate for elective state office or committee controlled by that candidate may not make any contribution to any other candidate for elective state office in excess of the limits set forth in subdivision (a) of Section 85301.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled “Contribution Limitations During Special or Special Runoff Election Cycles”); repealed and added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Restrictions on When Contributions Can be Received”); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18530.4  
2 Cal. Code of Regs. Section 18535  
2 Cal. Code of Regs. Section 18536  
2 Cal. Code of Regs. Section 18537

### **§ 85306. Transfers Between a Candidate’s Own Committees; Use of Funds Raised Prior to Effective Date.**

(a) A candidate may transfer campaign funds from one controlled committee to a controlled committee for elective state office of the same candidate. Contributions transferred shall be attributed to specific contributors using a “last in, first out” or “first in, first out” accounting method, and these attributed contributions when aggregated with all other contributions from the same contributor may not exceed the limits set forth in Section 85301 or 85302.

(b) Notwithstanding subdivision (a), a candidate for elective state office, other than a candidate for statewide elective office, who possesses campaign funds on January 1, 2001, may use those funds to seek elective office without attributing the funds to specific contributors.

(c) Notwithstanding subdivision (a), a candidate for statewide elective office who possesses campaign funds on November 6, 2002, may use those funds to seek elective office without attributing the funds to specific contributors.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled “Use of Campaign Funds; Effective Date”); repealed and added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Transfers”); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18530.2  
2 Cal. Code of Regs. Section 18530.4  
2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18531.61  
2 Cal. Code of Regs. Section 18536  
2 Cal. Code of Regs. Section 18537  
2 Cal. Code of Regs. Section 18537.1

### **§ 85307. Loans.**

(a) The provisions of this article regarding loans apply to extensions of credit, but do not apply to loans made to a candidate by a commercial lending institution in the lender’s regular course of business on terms available to members of the general public for which the candidate is personally liable.

(b) Notwithstanding subdivision (a), a candidate for elective state office may not personally loan to his or her campaign, including the proceeds of a loan obtained by the candidate from a commercial lending institution, an amount, the outstanding balance of which exceeds one hundred thousand dollars (\$100,000). A candidate may not charge interest on any loan he or she made to his or her campaign.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled “Loans; Contributions”); repealed and added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2004, Ch. 815, effective September 27, 2004.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18530.7  
2 Cal. Code of Regs. Section 18530.8  
2 Cal. Code of Regs. Section 18537

### **§ 85308. Family Contributions.**

(a) Contributions made by a husband and wife may not be aggregated.

(b) A contribution made by a child under 18 years of age is presumed to be a contribution from the parent or guardian of the child.

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18537  
Opinions: In re Pelham (2001) 15 FPPC Ops. 1

**§ 85309. Online Disclosure of Contributions.**

(a) In addition to any other report required by this title, a candidate for elective state office who is required to file reports pursuant to Section 84605 shall file online or electronically with the Secretary of State a report disclosing receipt of a contribution of one thousand dollars (\$1,000) or more received during an election cycle. Those reports shall disclose the same information required by subdivision (a) of Section 84203 and shall be filed within 24 hours of receipt of the contribution.

(b) In addition to any other report required by this title, any committee primarily formed to support or oppose one or more state ballot measures that is required to file reports pursuant to Section 84605 shall file online or electronically with the Secretary of State a report disclosing receipt of a contribution of one thousand dollars (\$1,000) or more received during an election cycle. Those reports shall disclose the same information required by subdivision (a) of Section 84203 and shall be filed within 24 hours of receipt of the contribution.

(c) In addition to any other report required by this title, a candidate for elective state office who is required to file reports pursuant to Section 84605 shall file online or electronically with the Secretary of State a report disclosing receipt of a contribution of five thousand dollars (\$5,000) or more received at any time other than during an election cycle. Those reports shall disclose the same information required by subdivision (a) of Section 84203 and shall be filed within 10 business days of receipt of the contribution.

(d) In addition to any other report required by this title, a committee primarily formed to support or oppose a state ballot measure that is required to file reports pursuant to Section 84605 shall file online or electronically with the Secretary of State a report disclosing receipt of a contribution of five thousand dollars (\$5,000) or more received at any time other than during an election cycle. Those reports shall disclose the same information required by subdivision (a) of Section 84203 and shall be filed within 10 business days of receipt of the contribution.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Aggregate Contributions from Non-individuals"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18116  
2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18425  
2 Cal. Code of Regs. Section 18537

**§ 85310. Communications Identifying State Candidates.**

(a) Any person who makes a payment or a promise of payment totaling fifty thousand dollars (\$50,000) or more for a communication that clearly identifies a candidate for elective state office, but does not expressly advocate the election or defeat of the candidate, and that is disseminated, broadcast, or otherwise published within 45 days of an election, shall file online or electronically with the Secretary of State a report disclosing the name of the person, address, occupation, and employer, and amount of the payment. The report shall be filed within 48 hours of making the payment or the promise to make the payment.

(b) (1) Except as provided in paragraph (2), if any person has received a payment or a promise of a payment from other persons totaling five thousand dollars (\$5,000) or more for the purpose of making a communication described in subdivision (a), the person receiving the payments shall disclose on the report the name, address, occupation and employer, and date and amount received from the person.

(2) A person who receives or is promised a payment that is otherwise reportable under paragraph (1) is not required to report the payment if the person is in the business of providing goods or services and receives or is promised the payment for the purpose of providing those goods or services.

(c) Any payment received by a person who makes a communication described in subdivision (a) is subject to the limits specified in subdivision (b) of Section 85303 if the communication is made at the behest of the clearly identified candidate.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Aggregate Contributions to All State Candidates"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18531.10  
2 Cal. Code of Regs. Section 18537  
2 Cal. Code of Regs. Section 18539.2

**§ 85311. Affiliated Entities; Aggregation of Contributions to State Candidates.**

(a) For purposes of the contribution limits of this chapter, the following terms have the following meanings:

(1) "Entity" means any person, other than an individual.

(2) "Majority owned" means an ownership of more than 50 percent.

(b) The contributions of an entity whose contributions are directed and controlled by any individual shall be aggregated with contributions made by that individual and any other entity whose contributions are directed and controlled by the same individual.

(c) If two or more entities make contributions that are directed and controlled by a majority of the same persons, the contributions of those entities shall be aggregated.

(d) Contributions made by entities that are majority owned by any person shall be aggregated with the contributions of the majority owner and all other entities majority owned by that person, unless those entities act independently in their decisions to make contributions.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Aggregation of Financial Activity"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18428  
2 Cal. Code of Regs. Section 18537

Opinions: In re Kahn (1976) 2 FPPC Ops. 151  
In re Lumsdon (1976) 2 FPPC Ops. 140

### **§ 85312. Communications to Members of an Organization.**

For purposes of this title, payments for communications to members, employees, shareholders, or families of members, employees, or shareholders of an organization for the purpose of supporting or opposing a candidate or a ballot measure are not contributions or expenditures, provided those payments are not made for general public advertising such as broadcasting, billboards, and newspaper advertisements. However, payments made by a political party for communications to a member who is registered as expressing a preference for that party on his or her affidavit of registration pursuant to Sections 2150, 2151, and 2152 of the Elections Code that would otherwise qualify as contributions or expenditures shall be reported in accordance with Article 2 (commencing with Section 84200) of Chapter 4, and Chapter 4.6 (commencing with Section 84600), of this title.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Communications Within an Organization"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001; amended by Stats. 2012, Ch. 3, effective February 10, 2012.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18215  
2 Cal. Code of Regs. Section 18215.2  
2 Cal. Code of Regs. Section 18531.7

2 Cal. Code of Regs. Section 18537

Opinions: In re Olson (2001) 15 FPPC Ops. 13

### **§ 85313. Officeholder Account. [Repealed]**

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

### **§ 85314. Special Elections and Special Runoff Elections as Separate Elections.**

The contribution limits of this chapter apply to special elections and apply to special runoff elections. A special election and a special runoff election are separate elections for purposes of the contribution and voluntary expenditure limits set forth in this chapter.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18537

### **§ 85315. Elected State Officer Recall Committees.**

(a) Notwithstanding any other provision of this chapter, an elected state officer may establish a committee to oppose the qualification of a recall measure, and the recall election. This committee may be established when the elected state officer receives a notice of intent to recall pursuant to Section 11021 of the Elections Code. An elected state officer may accept campaign contributions to oppose the qualification of a recall measure, and if qualification is successful, the recall election, without regard to the campaign contributions limits set forth in this chapter. The voluntary expenditure limits do not apply to expenditures made to oppose the qualification of a recall measure or to oppose the recall election.

(b) After the failure of a recall petition or after the recall election, the committee formed by the elected state officer shall wind down its activities and dissolve. Any remaining funds shall be treated as surplus funds and shall be expended within 30 days after the failure of the recall petition or after the recall election for a purpose specified in subdivision (b) of Section 89519.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.5  
2 Cal. Code of Regs. Section 18537

**§ 85316. Post-Election Fundraising Restrictions; State Officeholder Accounts.**

(a) Except as provided in subdivision (b), a contribution for an election may be accepted by a candidate for elective state office after the date of the election only to the extent that the contribution does not exceed net debts outstanding from the election, and the contribution does not otherwise exceed the applicable contribution limit for that election.

(b) Notwithstanding subdivision (a), an elected state officer may accept contributions after the date of the election for the purpose of paying expenses associated with holding the office provided that the contributions are not expended for any contribution to any state or local committee. Contributions received pursuant to this subdivision shall be deposited into a bank account established solely for the purposes specified in this subdivision.

(1) No person shall make, and no elected state officer shall receive from a person, a contribution pursuant to this subdivision totaling more than the following amounts per calendar year:

(A) Three thousand dollars (\$3,000) in the case of an elected state officer of the Assembly or Senate.

(B) Five thousand dollars (\$5,000) in the case of a statewide elected state officer other than the Governor.

(C) Twenty thousand dollars (\$20,000) in the case of the Governor.

(2) No elected state officer shall receive contributions pursuant to paragraph (1) that, in the aggregate, total more than the following amounts per calendar year:

(A) Fifty thousand dollars (\$50,000) in the case of an elected state officer of the Assembly or Senate.

(B) One hundred thousand dollars (\$100,000) in the case of a statewide elected state officer other than the Governor.

(C) Two hundred thousand dollars (\$200,000) in the case of the Governor.

(3) Any contribution received pursuant to this subdivision shall be deemed to be a contribution to that candidate for election to any state office that he or she may seek during the term of office to which he or she is currently elected, including, but not limited to, reelection to the office he or she currently holds, and shall be subject to any applicable contribution limit provided in this title. If a contribution received pursuant to this subdivision exceeds the allowable contribution limit for the office sought, the candidate shall return the amount exceeding the limit to the contributor on a basis to be determined by the Commission. None of the expenditures made by elected state officers pursuant to this subdivision shall

be subject to the voluntary expenditure limitations in Section 85400.

(4) The commission shall adjust the calendar year contribution limitations and aggregate contribution limitations set forth in this subdivision in January of every odd-numbered year to reflect any increase or decrease in the Consumer Price Index. Those adjustments shall be rounded to the nearest one hundred dollars (\$100).

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2006, Ch. 624, effective September 29, 2006; amended by Stats. 2007, Ch. 130.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18521.5  
2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18531.61  
2 Cal. Code of Regs. Section 18531.62  
2 Cal. Code of Regs. Section 18537  
2 Cal. Code of Regs. Section 18537.1  
2 Cal. Code of Regs. Section 18544  
2 Cal. Code of Regs. Section 18545

**§ 85317. Carry Over of Contributions.**

Notwithstanding subdivision (a) of Section 85306, a candidate for elective state office may carry over contributions raised in connection with one election for elective state office to pay campaign expenditures incurred in connection with a subsequent election for the same elective state office.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18531.61  
2 Cal. Code of Regs. Section 18537  
2 Cal. Code of Regs. Section 18537.1

**§ 85318. Contributions Received for Primary and General Elections.**

A candidate for elective state office may raise contributions for a general election prior to the primary election, and for a special general election prior to a special primary election, for the same elective state office if the candidate sets aside these contributions and uses these contributions for the general election or special general election. If the candidate for elective state office is defeated in the primary election or special primary election, or otherwise withdraws from the general election or special general election, the general election or special general election funds shall be refunded to the contributors on a pro rata basis less any expenses associated with the raising and administration of general election or special general election contributions. Notwithstanding Section 85201, candidates for elective state office may establish



separate campaign contribution accounts for the primary and general elections or special primary and special general elections.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18521  
2 Cal. Code of Regs. Section 18531.2  
2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18531.61  
2 Cal. Code of Regs. Section 18536  
2 Cal. Code of Regs. Section 18537

### **§ 85319. Returning Contributions.**

A candidate for state elective office may return all or part of any contribution to the donor who made the contribution at any time, whether or not other contributions are returned, except a contribution that the candidate made for state elective office to his or her own controlled committee.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2002, Ch. 212.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18537

### **§ 85320. Foreign Entities.**

(a) No foreign government or foreign principal shall make, directly or through any other person, any contribution, expenditure, or independent expenditure in connection with the qualification or support of, or opposition to, any state or local ballot measure.

(b) No person and no committee shall solicit or accept a contribution from a foreign government or foreign principal in connection with the qualification or support of, or opposition to, any state or local ballot measure.

(c) For the purposes of this section, a “foreign principal” includes the following:

(1) A foreign political party.

(2) A person outside the United States, unless either of the following is established:

(A) The person is an individual and a citizen of the United States.

(B) The person is not an individual and is organized under or created by the laws of the United States or of any state or other place subject to the jurisdiction of the United States and has its principal place of business within the United States.

(3) A partnership, association, corporation, organization, or other combination of persons organized under the laws of or having its principal place of business in a foreign country.

(4) A domestic subsidiary of a foreign corporation if the decision to contribute or expend

funds is made by an officer, director, or management employee of the foreign corporation who is neither a citizen of the United States nor a lawfully admitted permanent resident of the United States.

(d) This section shall not prohibit a contribution, expenditure, or independent expenditure made by a lawfully admitted permanent resident.

(e) Any person who violates this section shall be guilty of a misdemeanor and shall be fined an amount equal to the amount contributed or expended.

History: Added by Stats. 1997, Ch. 67; amended by Stats. 2000, Ch. 349.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18537

### **§ 85321. Post-Election Fundraising; Elections Held Prior to January 1, 2001.**

Notwithstanding any other provision of this chapter, if a candidate for elective state office or the candidate’s controlled committee had net debts resulting from an election held prior to January 1, 2001, contributions to that candidate or committee for that election are not subject to the limits of Sections 85301 and 85302.

History: Added by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.6  
2 Cal. Code of Regs. Section 18531.61  
2 Cal. Code of Regs. Section 18537

## **Article 4. Voluntary Expenditure Ceilings.**

### **§ 85400 - 85404**

§ 85400. Voluntary Expenditure Ceilings.

§ 85401. Candidate Acceptance or Rejection of Expenditure Ceilings.

§ 85402. Lifting Expenditure Limits; Opponent’s Use of Personal Funds.

§ 85403. Violations of Voluntary Expenditure Limits.

§ 85404. Expenditure Ceiling Lifted.  
[Repealed]

### **§ 85400. Voluntary Expenditure Ceilings.**

(a) A candidate for elective state office, other than the Board of Administration of the Public Employees’ Retirement System, who voluntarily accepts expenditure limits may not make campaign expenditures in excess of the following:

(1) For an Assembly candidate, four hundred thousand dollars (\$400,000) in the primary or special primary election and seven hundred thousand dollars (\$700,000) in the general or special general election.

(2) For a Senate candidate, six hundred thousand dollars (\$600,000) in the primary or special primary election and nine hundred thousand dollars (\$900,000) in the general or special general election.

(3) For a candidate for the State Board of Equalization, one million dollars (\$1,000,000) in the primary election and one million five hundred thousand dollars (\$1,500,000) in the general election.

(4) For a statewide candidate other than a candidate for Governor or the State Board of Equalization, four million dollars (\$4,000,000) in the primary election and six million dollars (\$6,000,000) in the general election.

(5) For a candidate for Governor, six million dollars (\$6,000,000) in the primary election and ten million dollars (\$10,000,000) in the general election.

(b) For purposes of this section, “campaign expenditures” has the same meaning as “election-related activities” as defined in clauses (i) to (vi), inclusive, and clause (viii) of subparagraph (C) of paragraph (2) of subdivision (b) of Section 82015.

(c) A campaign expenditure made by a political party on behalf of a candidate may not be attributed to the limitations on campaign expenditures set forth in this section.

History: Added by Proposition 73 of the June 1988 Statewide Primary Election. (Formerly titled “Limitations on Gifts and Honoraria”); repealed by Stats. 1990, Ch. 84; added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18540  
2 Cal. Code of Regs. Section 18542  
2 Cal. Code of Regs. Section 18543  
2 Cal. Code of Regs. Section 18544  
2 Cal. Code of Regs. Section 18545

#### **§ 85401. Candidate Acceptance or Rejection of Expenditure Ceilings.**

(a) Each candidate for elective state office shall file a statement of acceptance or rejection of the voluntary expenditure limits set forth in Section 85400 at the time he or she files the statement of intention specified in Section 85200.

(b) A candidate may, until the deadline for filing nomination papers set forth in Section 8020 of the Elections Code, change his or her statement of acceptance or rejection of voluntary; expenditure limits provided he or she has not exceeded the voluntary expenditure limits. A candidate may not change his or her statement of acceptance or rejection of voluntary expenditure limits more than twice after the candidate’s initial filing of the statement of intention for that election and office.

(c) Any candidate for elective state office who declined to accept the voluntary expenditure limits but who nevertheless does not exceed the limits in the primary, special primary, or special election, may file a statement of acceptance of the expenditure limits for a general or special runoff election within 14 days following the primary, special primary, or special election.

(d) Notwithstanding Section 81004.5 or any other provision of this title, a candidate may not change his or her statement of acceptance or rejection of voluntary expenditure limits other than as provided for by this section and Section 85402.

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2004, Ch. 9, effective January 22, 2004; amended by Stats. 2004, Ch. 207.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18542

#### **§ 85402. Lifting Expenditure Limits; Opponent’s Use of Personal Funds.**

(a) Any candidate for elective state office who has filed a statement accepting the voluntary expenditure limits is not bound by those limits if an opposing candidate contributes personal funds to his or her own campaign in excess of the limits set forth in Section 85400.

(b) The commission shall require by regulation timely notification by candidates for elective state office who make personal contributions to their own campaign.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Contribution Limits for Candidates Accepting Expenditure Ceilings”); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4  
2 Cal. Code of Regs. Section 18540  
2 Cal. Code of Regs. Section 18542  
2 Cal. Code of Regs. Section 18543

#### **§ 85403. Violations of Voluntary Expenditure Limits.**

Any candidate who files a statement of acceptance pursuant to Section 85401 and makes campaign expenditures in excess of the limits shall be subject to the remedies in Chapter 3 (commencing with Section 83100) and Chapter 11 (commencing with Section 91000).

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Time Periods for Expenditures”); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.4

**§ 85404. Expenditure Ceiling Lifted.  
[Repealed]**

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Time Periods for Expenditures"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**Article 5. Independent Expenditures.  
§ 85500-85505**

- § 85500. Independent Expenditures; 24-Hour Disclosure; Coordination.
- § 85501. Prohibition on Independent Expenditures by Candidate or Officeholder Controlled Committees.
- § 85505. Internet Display of Independent Expenditures; 24-Hour Disclosure Report.

**§ 85500. Independent Expenditures; 24-Hour Disclosure; Coordination.**

(a) In addition to any other report required by this title, a committee, including a political party committee, that is required to file reports pursuant to Section 84605 and that makes independent expenditures of one thousand dollars (\$1,000) or more during an election cycle in connection with a candidate for elective state office or state ballot measure, shall file online or electronically a report with the Secretary of State disclosing the making of the independent expenditure. This report shall disclose the same information required by subdivision (b) of Section 84204 and shall be filed within 24 hours of the time the independent expenditure is made.

(b) An expenditure may not be considered independent, and shall be treated as a contribution from the person making the expenditure to the candidate on whose behalf, or for whose benefit, the expenditure is made, if the expenditure is made under any of the following circumstances:

(1) The expenditure is made with the cooperation of, or in consultation with, the candidate on whose behalf, or for whose benefit, the expenditure is made, or any controlled committee or any agent of the candidate.

(2) The expenditure is made in concert with, or at the request or suggestion of, the candidate on whose behalf, or for whose benefit, the expenditure is made, or any controlled committee or any agent of the candidate.

(3) The expenditure is made under any arrangement, coordination, or direction with respect to the candidate or the candidate's agent and the person making the expenditure.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Independent Expenditures"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18116  
2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18225.7  
2 Cal. Code of Regs. Section 18550

**§ 85501. Prohibition on Independent Expenditures by Candidate or Officeholder Controlled Committees.**

A controlled committee of a candidate may not make independent expenditures and may not contribute funds to another committee for the purpose of making independent expenditures to support or oppose other candidates.

History: Added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Opinions: In re St. Croix (2005) 18 FPPC Ops. 1

**§ 85505. Internet Display of Independent Expenditures; 24-Hour Disclosure Report.**

(a) The Secretary of State shall include on the Internet Web site of the Secretary of State's office, as part of the campaign finance activity that is publicly disclosed, any independent expenditure, as defined in Section 82031, that is reported pursuant to Section 85500 with respect to a candidate for elective state office and a statewide ballot measure. This information shall be linked to the part of the Web site that the Secretary of State maintains concerning that candidate or ballot measure.

(b) It is the intent of the Legislature that all forms created for the purpose of filing the online or electronic report required pursuant to Section 85500 include a separate field for the filer to input the legislative district number and the number or letter of a statewide ballot measure.

History: Added by Stats. 2002, Ch. 511.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18550

**Article 6. Ballot Pamphlet.  
§ 85600-85602**

- § 85600. Ballot Pamphlet Designation.
- § 85601. Candidate Access to Ballot Pamphlet Statement.
- § 85602. Notification to Voters. [Repealed]

**§ 85600. Ballot Pamphlet Designation.**

The Secretary of State shall designate in the state ballot pamphlet those candidates for statewide elective office, as defined in Section 82053, who have voluntarily agreed to the expenditure limitations set forth in Section 85400. Local elections officers shall designate in the voter information portion of the sample ballot those candidates for State Senate and Assembly who have voluntarily agreed to the expenditure limitations set forth in Section 85400.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Candidate Access to State Ballot Pamphlet"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

**§ 85601. Candidate Access to Ballot Pamphlet Statement.**

(a) A candidate for statewide elective office, as defined in Section 82053, who accepts the voluntary expenditure limits set forth in Section 85400 may purchase the space to place a statement in the state ballot pamphlet that does not exceed 250 words. The statement may not make any reference to any opponent of the candidate. The statement shall be submitted in accordance with timeframes and procedures set forth by the Secretary of State for the preparation of the state ballot pamphlets.

(b) Notwithstanding subdivision (e) of Section 88001 of this code or subdivision (e) of Section 9084 of the Elections Code, on and after November 6, 2002, the Secretary of State may not include in the state ballot pamphlet a statement from a candidate who has not voluntarily agreed to the expenditure limitations set forth in Section 85400.

(c) A candidate for State Senate or Assembly who accepts the voluntary expenditure limits set forth in Section 85400 may purchase the space to place a statement in the voter information portion of the sample ballot that does not exceed 250 words. The statement may not make any reference to any opponent of the candidate. The statement shall be submitted in accordance with the timeframes and procedures set forth in the Elections Code for the preparation of the voter information portion of the sample ballot.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Candidate Access to Local Sample Ballot Materials"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

**§ 85602. Notification to Voters. [Repealed]**

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**Article 7. Additional Contribution Requirements.****§ 85700-85706**

- § 85700. Donor Information Requirements; Return of Contributions.
- § 85701. Laundered Contributions.
- § 85702. Contributions from Lobbyists.
- § 85703. Local Jurisdictions.
- § 85704. Prohibition on Earmarking.
- § 85705. Contributions from Governmental Employees. [Repealed]
- § 85706. Local Jurisdictions. [Repealed]

**§ 85700. Donor Information Requirements; Return of Contributions.**

(a) A candidate or committee shall return not later than 60 days of receipt by the candidate or committee any contribution of one hundred dollars (\$100) or more for which the candidate or committee does not have on file in the records of the candidate or committee the name, address, occupation, and employer of the contributor.

(b) A candidate or committee may return a contribution pursuant to subdivision (a) after the date that the candidate or committee has reported the contribution under any provision of this title.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Disclosure of Occupation and Employer"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18401  
2 Cal. Code of Regs. Section 18570

Opinions: In re Pelham (2001) 15 FPPC Ops. 1

**§ 85701. Laundered Contributions.**

Any candidate or committee that receives a contribution in violation of Section 84301 shall pay to the General Fund of the state the amount of the contribution.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled "Receipt of Laundered Contributions"); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Opinions: In re Pelham (2001) 15 FPPC Ops. 1

**§ 85702. Contributions from Lobbyists.**

An elected state officer or candidate for elected state office may not accept a contribution from a lobbyist, and a lobbyist may not make a contribution to an elected state officer or candidate for elected state office, if that lobbyist is registered to lobby the governmental agency for which the candidate is



seeking election or the governmental agency of the elected state officer.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Bundling of Contributions”); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18572

### **§ 85703. Local Jurisdictions.**

(a) Nothing in this act shall nullify contribution limitations or prohibitions of any local jurisdiction that apply to elections for local elective office, except that these limitations and prohibitions may not conflict with Section 85312. However, a local jurisdiction shall not impose any contribution limitations or prohibitions on an elected member of, or a candidate for election to, a county central committee of a qualified political party, or on a committee primarily formed to support or oppose a person seeking election to a county central committee of a qualified political party.

(b) Limitations and prohibitions imposed by a local jurisdiction on payments for a member communication, as defined in subdivision (c), that conflict with Section 85312 and which are thereby prohibited by subdivision (a) include, but are not limited to, any of the following:

(1) Source restrictions on payments for member communications that are not expressly made applicable to member communications by a state statute or by a regulation adopted by the Commission pursuant to Section 83112.

(2) Limitations on payments to a political party committee for a member communication that are not expressly made applicable to member communications by a state statute or by a regulation adopted by the Commission pursuant to Section 83112.

(3) Limitations on the scope of payments considered directly related to the making of a member communication, including costs associated with the formulation, design, production, and distribution of the communication such as surveys, list acquisition, and consulting fees that are not expressly made applicable to member communications by a state statute or by a regulation adopted by the Commission pursuant to Section 83112.

(c) For purposes of this section, “member communication” means a communication, within the meaning of Section 85312, to members, employees, shareholders, or families of members, employees, or shareholders of an organization, including a communication by a political party to a member who

is registered as expressing a preference for that party on his or her affidavit of registration pursuant to Sections 2150, 2151, and 2152 of the Elections Code.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Earmarking of Contributions Prohibited”); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2007, Ch. 708; amended by Stats. 2012, Ch. 3, effective February 10, 2012; amended by Stats. 2012, Ch. 502.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.7

### **§ 85704. Prohibition on Earmarking.**

A person may not make any contribution to a committee on the condition or with the agreement that it will be contributed to any particular candidate unless the contribution is fully disclosed pursuant to Section 84302.

History: Added by Proposition 208 of the November 1996 Statewide General Election. (Formerly titled “Contributions from Lobbyists”); repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

### **§ 85705. Contributions from Governmental Employees. [Repealed]**

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

### **§ 85706. Local Jurisdictions. [Repealed]**

History: Added by Proposition 208 of the November 1996 Statewide General Election; repealed by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

## **Article 8. Appropriation.**

### **§ 85802**

§ 85802. Appropriation to the Fair Political Practices Commission.

### **§ 85802. Appropriation to the Fair Political Practices Commission.**

There is hereby appropriated from the General Fund of the state to the Fair Political Practices Commission the sum of five hundred thousand dollars (\$500,000) annually above and beyond the appropriations established for the Commission in the fiscal year immediately prior to the effective date of this act, adjusted for cost-of-living changes, for expenditures to support the operations of the Commission pursuant to this act. If any provision of this act is successfully challenged, any attorney’s fees and costs shall be paid from the General Fund and the Commission’s budget shall not be reduced accordingly.

History: Added by Proposition 208 of the November 1996 Statewide General Election.

**Chapter 6. Lobbyists.  
§ 86100-86300**

- Article 1. Registration and Reporting.  
§ 86100 - 86118  
2. Prohibitions. § 86200 - 86206  
3. Exemptions. § 86300

**Article 1. Registration and Reporting.  
§ 86100-86118**

- § 86100. Registration.  
§ 86101. Registration; Time.  
§ 86102. Registration Fees.  
§ 86103. Lobbyist Certification;  
Requirements.  
§ 86104. Lobbying Firm; Registration  
Requirements.  
§ 86105. Lobbyist Employer; Registration  
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§ 86106. Renewal of Registration.  
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Amendment; Termination.  
  
§ 86108. Registration Statement; Publication.  
§ 86109. Directory of Lobbyists, Lobbying  
Firms, and Lobbyist Employers.  
§ 86109.5. Directory of Lobbyists, Lobbying  
Firms, and Lobbyist Employers;  
Online Version.  
§ 86110. Recordkeeping.  
§ 86111. Activity Expense; Agency Official.  
§ 86112. Activity Expenses; Reporting.  
§ 86112.3. Invitations.  
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§ 86113. Periodic Reports; Lobbyists;  
Contents.  
§ 86114. Periodic Reports; Lobbying Firms;  
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§ 86115. Periodic Reports; Employers and  
Others.  
§ 86116. Periodic Reports; Employers and  
Others; Contents.  
§ 86116.5. Periodic Reports; State and Local  
Government Agencies.  
§ 86117. Periodic Reports; Filing; Time.  
§ 86118. Periodic Reports; Where to File.

**§ 86100. Registration.**

(a) Individual lobbyists shall prepare lobbyist certifications pursuant to Section 86103 for filing with the Secretary of State as part of the registration of the lobbying firm in which the lobbyist is a partner, owner, officer, or employee or as part of the registration of the lobbyist employer by which the lobbyist is employed.

(b) Lobbying firms shall register with the Secretary of State.

(c) Lobbyist employers as defined in subdivision (a) of Section 82039.5 shall register with the Secretary of State.

(d) Lobbyist employers as defined in subdivision (b) of Section 82039.5 and persons described in subdivision (b) of Section 86115 are not required to register with the Secretary of State but shall file statements pursuant to this article.

(e) A registration statement shall be filed both by online or electronic means and physically, submitting the original statement and one copy, in paper format.

History: Amended by Stats. 1983, Chapter 209; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Registration with Secretary of State.") Amended by Stats 2010, Ch. 18.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18249  
2 Cal. Code of Regs. Section 18601

**§ 86101. Registration; Time.**

Every lobbying firm and lobbyist employer who is required to file a registration statement under this chapter shall register with the Secretary of State no later than 10 days after qualifying as a lobbying firm or lobbyist employer.

History: Repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Requirement of Registration.")

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18601

**§ 86102. Registration Fees.**

(a) The Secretary of State shall charge each lobbying firm and lobbyist employer required to file a registration statement under this chapter a fee of fifty dollars (\$50) per year for each lobbyist required to be listed on its registration statement.

(b) One-half of the moneys collected pursuant to this section shall be deposited in the Political Disclosure, Accountability, Transparency, and Access Fund, and the other one-half of the moneys shall be deposited in the General Fund.

History: Repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985 (Formerly titled "Renewal of Registration."); amended by Stats. 2012, Ch. 506.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18601

**§ 86103. Lobbyist Certification; Requirements.**

A lobbyist certification shall include all of the following:

(a) A recent photograph of the lobbyist, the size of which shall be prescribed by the Secretary of State.

(b) The full name, business address, and telephone number of the lobbyist.

(c) A statement that the lobbyist has read and understands the prohibitions contained in Sections 86203 and 86205.

(d) (1) In the case of a lobbyist who filed a completed lobbyist certification in connection with the last regular session of the Legislature, a statement that the lobbyist has completed, within the previous 12 months or will complete no later than June 30 of the following year, the course described in subdivision (b) of Section 8956. If the lobbyist certification states that the lobbyist will complete the course no later than June 30 of the following year, the certification shall be accepted on a conditional basis. Thereafter, if the lobbyist completes the course no later than June 30 of the following year, the lobbyist shall file a new lobbyist certification with the Secretary of State which shall replace the conditional lobbyist certification previously filed. If the lobbyist certification states that the lobbyist will complete the course no later than June 30 of the following year and the lobbyist fails to do so, the conditional lobbyist certification shall be void and the individual shall not act as a lobbyist pursuant to this title until he or she has completed the course and filed with the Secretary of State a lobbyist certification stating that he or she has completed the course and the date of completion. It shall be a violation of this section for any individual to act as a lobbyist pursuant to this title once his or her conditional certification is void.

(2) If, in the case of a new lobbyist certification, the lobbyist has not completed the course within the previous 12 months, the lobbyist certification shall include a statement that the lobbyist will complete a scheduled course within 12 months, and the lobbyist certification shall be accepted on a conditional basis. Following the lobbyist's completion of the ethics course, the lobbyist shall file a new lobbyist certification with the Secretary of State which shall replace the conditional lobbyist certification previously filed. If the new lobbyist certification states that the lobbyist will complete the course within 12 months and the lobbyist fails to do so, the conditional lobbyist certification shall be void and the individual shall not act as a lobbyist pursuant to this title until he or she has completed the course and filed with the Secretary of State a lobbyist certification stating he or she has completed the course and the date of completion. It shall be a violation of this section for any individual to act as a lobbyist pursuant to this title once his or her conditional certification is void.

(e) Any other information required by the Commission consistent with the purposes and provisions of this chapter.

History: Amended by Stats. 1984, Ch. 161; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Registration Statement; Amendment; Termination"); amended by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 391; amended by Stats. 1995, Ch. 346; amended by Stats. 1997, Ch. 574.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18601  
2 Cal. Code of Regs. Section 18603.1

Opinions: In re Evans (1978) 4 FPPC Ops. 54

#### **§ 86104. Lobbying Firm; Registration Requirements.**

The registration of a lobbying firm shall include:

(a) The full name, business address, and telephone number of the lobbying firm.

(b) A list of the lobbyists who are partners, owners, officers, or employees of the lobbying firm.

(c) The lobbyist certification of each lobbyist in the lobbying firm.

(d) For each person with whom the lobbying firm contracts to provide the following lobbying services.

(1) The full name, business address, and telephone number of the person.

(2) A written authorization signed by the person.

(3) The time period of the contract.

(4) Information sufficient to identify the nature and interests of the person including:

(A) If the person is an individual, the name and address of his or her employer, if any, or his or her principal place of business if the person is self-employed, and a description of the business activity in which the person or his or her employer is engaged.

(B) If the person is a business entity, a description of the business activity in which it is engaged.

(C) If the person is an industry, trade, or professional association, a description of the industry, trade, or profession which it represents including a specific description of any portion or faction of the industry, trade, or profession which the association exclusively or primarily represents and, if the association has not more than 50 members, the names of the members.

(D) If the person is not an individual, business entity, or industry, trade, or professional association, a statement of the person's nature and purposes, including a description of any industry, trade, profession, or other group with a common economic interest which the person principally represents or

from which its membership or financial support is principally derived.

(5) The lobbying interests of the person.

(6) A list of the state agencies whose legislative or administrative actions the lobbying firm will attempt to influence for the person.

(e) The name and title of a partner, owner, or officer of the lobbying firm who is responsible for filing statements and reports and keeping records required by this chapter on behalf of the lobbying firm, and a statement signed by the designated responsible person that he or she has read and understands the prohibitions contained in Sections 86203 and 86205.

(f) Any other information required by the Commission consistent with the purposes and provisions of this chapter.

History: Amended by Stats. 1976, Ch. 415, effective July 10, 1976; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Registration Statement; Publication."); amended by Stats. 1986, Ch. 905; amended by Stats. 1987, Ch. 459.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18601

#### **§ 86105. Lobbyist Employer; Registration Requirements.**

The registration of a lobbyist employer shall include:

(a) The full name, business address, and telephone number of the lobbyist employer.

(b) A list of the lobbyists who are employed by the lobbyist employer.

(c) The lobbyist certification of each lobbyist employed by the lobbyist employer.

(d) Information sufficient to identify the nature and interests of the filer, including:

(1) If the filer is an individual, the name and address of the filer's employer, if any, or his or her principal place of business if the filer is self-employed, and a description of the business activity in which the filer or his or her employer is engaged.

(2) If the filer is a business entity, a description of the business activity in which it is engaged.

(3) If the filer is an industry, trade, or professional association, a description of the industry, trade, or profession which it represents including a specific description of any portion or faction of the industry, trade, or profession which the association exclusively or primarily represents and, if the association has not more than 50 members, the names of the members.

(4) If the filer is not an individual, business entity, or industry, trade, or professional association,

a statement of the person's nature and purposes, including a description of any industry, trade, profession, or other group with a common economic interest which the person principally represents or from which its membership or financial support is principally derived.

(e) The lobbying interests of the lobbyist employer, and a list of the state agencies whose legislative or administrative actions the lobbyist employer will attempt to influence.

(f) Any other information required by the Commission consistent with the purposes and provisions of this chapter.

History: Amended by Stats. 1979, Ch. 592; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Accounts; Designation by Name; Deposits."); amended by Stats. 1987, Ch. 459.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117

#### **§ 86106. Renewal of Registration.**

Each registered lobbying firm and lobbyist employer which will be conducting activities which require registration shall renew its registration by filing photographs of its lobbyists, authorizations, and a registration statement between November 1 and December 31, of each even-numbered year. Each lobbyist shall renew his or her lobbyist certification in connection with the renewal of registration by the lobbyist's lobbying firm or employer.

History: Repealed by Stats. 1979, Ch. 592; (Formerly titled "Accounts; Payment of Expenses; Petty Cash"); added by Stats. 1985, Ch. 1183 effective September 29, 1985; amended by Stats. 1987, Ch. 936; amended by Stats. 1997, Ch. 574.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18603  
2 Cal. Code of Regs. Section 18603.1

#### **§ 86107. Registration Statement; Amendment; Termination.**

(a) If any change occurs in any of the information contained in a registration statement, an appropriate amendment shall be filed both by online or electronic means and physically, submitting the original and one copy of the amendment, in paper format, with the Secretary of State within 20 days after the change. However, if the change includes the name of a person by whom a lobbying firm is retained, the registration statement of the lobbying firm shall be amended and filed to show that change prior to the lobbying firm's attempting to influence any legislative or administrative action on behalf of that person. Lobbying firms and lobbyist employers that, during a regular session of the Legislature, cease all activity that required registration shall file a notice



of termination within 20 days after the cessation. Lobbying firms and lobbyist employers that, at the close of a regular session of the Legislature, cease all activity that required registration are not required to file a notice of termination.

(b) If any change occurs in any of the information contained in a lobbyist certification or if a lobbyist terminates all activity that required the certification, the lobbyist shall submit an amended certification or notice of termination to his or her lobbying firm or lobbyist employer for filing with the Secretary of State within the time limits specified in subdivision (a). A lobbyist who, at the close of a regular session of the Legislature, ceases all activity that required certification is not required to file a notice of termination.

(c) Lobbyists and lobbying firms are subject to Section 86203 for the earlier of six months after filing a notice of termination or six months after the close of a regular session of the Legislature at the close of which the lobbyist or lobbying firm ceased all activity that required certification or registration.

History: Amended by Stats. 1979, Ch. 592; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Contents of Periodic Reports."); amended by Stats. 1986, Ch. 905; amended by Stats. 1987, Ch. 936; amended by Stats. 2010, Ch. 18.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18601  
2 Cal. Code of Regs. Section 18603

#### **§ 86108. Registration Statement; Publication.**

All information listed on any registration statement and on any amendment, renewal, or notice of termination shall be printed by the Secretary of State and made public within 30 days after filing.

History: Amended by Stats. 1979, Ch. 592; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Periodic Reports; Employers and Others.")

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117

#### **§ 86109. Directory of Lobbyists, Lobbying Firms, and Lobbyist Employers.**

Within 140 days after the commencement of each regular session of the Legislature, the Secretary of State shall publish a directory of registered individual lobbyists, lobbying firms, and lobbyist employers. The Secretary of State shall publish, from time to time, such supplements to the directory as may be necessary.

History: Amended by Stats. 1984, Ch. 161; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Periodic Reports; Employers and Others; Contents."); amended by Stats. 1991, Ch. 391.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117

#### **§ 86109.5. Directory of Lobbyists, Lobbying Firms, and Lobbyist Employers; Online Version.**

(a) The Secretary of State shall establish and maintain on the Internet an online version of the Directory of Lobbyist, Lobbying Firms, and Lobbying Employers. The Secretary of State shall update the directory weekly.

(b) The Secretary of State shall also display on the Internet a list of the specific changes made to the Directory of Lobbyist, Lobbying Firms, and Lobbying Employers, including new registrations and listings, additions, deletions, and other revisions, during the seven days preceding the update required by subdivision (a).

(c) This section may not be implemented until July 1, 2001, unless otherwise authorized by the Department of Information Technology pursuant to Executive Order D-3-99.

(d) Notwithstanding any other provision of this title, the lobbying data made available on the Internet shall include the street name and building number of the persons or entity representatives listed on all the documents submitted to the Secretary of State pursuant to Chapter 6 (commencing with Section 86100).

History: Added by Stats. 1999, Ch. 855.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117

#### **§ 86110. Recordkeeping.**

Lobbyists, lobbying firms, and lobbyist employers which receive payments, make payments or incur expenses or expect to receive payments, make payments or incur expenses in connection with activities which are reportable pursuant to this chapter shall keep detailed accounts, records, bills, and receipts as shall be required by regulations adopted by the Commission to expedite the performance of all obligations imposed by this chapter.

History: Amended by Stats. 1979, Ch. 592; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled "Periodic Reports; Filing; Time.")

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18610  
2 Cal. Code of Regs. Section 18612  
2 Cal. Code of Regs. Section 18615

#### **§ 86111. Activity Expense; Agency Official.**

(a) "Activity expense" as used in this chapter means any expense incurred or payment made by a

lobbyist, lobbying firm, lobbyist employer or a person described in subdivision (b) of Section 86115, or arranged by a lobbyist or lobbying firm, which benefits in whole or in part any elective state official, legislative official, agency official, state candidate, or a member of the immediate family of one of these individuals. Activity expenses include gifts, honoraria, consulting fees, salaries, and any other form of compensation but do not include campaign contributions.

(b) “Agency official” as used in this chapter means any official of a state agency whose administrative actions the lobbyist, lobbying firm, lobbyist employer, or person described in subdivision (b) of Section 86115 has attempted or is attempting to influence.

History: Added by Stats. 1979, Ch. 592; amended by Stats. 1976, Ch. 415, effective July 10, 1976, repealed former Section 86111 titled “Periodic Reports; Publication”; repealed and reenacted as amended by Stats. 1985, Ch. 1183, effective September 29, 1985. (Formerly titled “Lobbying Reports and Statements; Where to File.”)

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18229.1  
2 Cal. Code of Regs. Section 18945  
2 Cal. Code of Regs. Section 18950

### **§ 86112. Activity Expenses; Reporting.**

When a person is required to report activity expenses pursuant to this article, the following information shall be provided:

(a) The date and amount of each activity expense.

(b) The full name and official position, if any, of the beneficiary of each expense, a description of the benefit, and the amount of benefit.

(c) The full name of the payee of each expense if other than the beneficiary.

(d) Any other information required by the Commission consistent with the purposes and provisions of this chapter.

History: Added by Stats. 1985, Ch. 1183, effective September 29, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18611  
2 Cal. Code of Regs. Section 18613  
2 Cal. Code of Regs. Section 18640

### **§ 86112.3. Invitations.**

(a) Each person filing a report pursuant to this article who sends any written or printed invitation to an elected state officer, candidate for elective state office, legislative official or agency official, shall include on the invitation or on a letter attached to the invitation the following typed, printed, or handwritten statement that is at least as large and

readable as 8-point Roman boldface type, in a color or print that contrasts with the background so as to be easily legible: Attendance at this event by a public official will constitute acceptance of a reportable gift.

(b) The notice specified in subdivision (a) shall not be required to appear on any invitation wherein attendance at the event described in the invitation will not constitute acceptance of a reportable gift by an elected state officer, candidate for elective state office, legislative official or agency official, pursuant to paragraph (1) of subdivision (a) of Section 87207.

(c) The remedies provided in Chapter 3 (commencing with Section 83100) constitute the exclusive penalty for a violation of this section. The remedies provided in Chapter 11 (commencing with Section 91000) do not apply to this section.

History: Added by Stats. 1993, Ch. 1140.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117

### **§ 86112.5. Notification to Beneficiary of a Gift.**

(a) Each person filing a report pursuant to this article shall provide each beneficiary of a gift listed within the report the following information:

(1) The date and amount of each gift reportable by the beneficiary.

(2) A description of the goods or services provided to the beneficiary.

(b) The information required to be disclosed pursuant to subdivision (a) shall be provided to the beneficiary within 30 days following the end of each calendar quarter in which the gift was provided. For the purposes of meeting the disclosure requirements of this section, a lobbyist firm or lobbyist employer may provide the beneficiary a copy of the activity expense section of the report submitted to the Secretary of State pursuant to this article.

(c) The remedies provided in Chapter 3 (commencing with Section 83100) constitute the exclusive penalty for a violation of this section. The remedies provided in Chapter 11 (commencing with Section 91000) do not apply to this section.

History: Added by Stats. 1991, Ch. 322.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18640

### **§ 86113. Periodic Reports; Lobbyists; Contents.**

(a) A lobbyist shall complete and verify a periodic report which contains:

(1) A report of all activity expenses by the lobbyist during the reporting period; and

(2) A report of all contributions of one hundred dollars (\$100) or more made or delivered by the lobbyist to any elected state officer or state candidate during the reporting period.

(b) A lobbyist shall provide the original of his or her periodic report to his or her lobbyist employer or lobbying firm within two weeks following the end of each calendar quarter.

History: Added by Stats. 1985, Ch. 1183, effective September 29, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18611  
2 Cal. Code of Regs. Section 18942

Opinions: In re Nida (1976) 2 FPPC Ops 1  
In re Atlantic-Richfield Co. (1975) 1 FPPC Ops. 147  
In re Witt (1975) 1 FPPC Ops. 145  
In re Horn (1975) 1 FPPC Ops. 126

In re Morrissey (1975) 1 FPPC Ops. 104  
In re Spellman (1975) 1 FPPC Ops. 16

#### **§ 86114. Periodic Reports; Lobbying Firms; Contents.**

(a) Lobbying firms shall file periodic reports containing all of the following:

(1) The full name, address, and telephone number of the lobbying firm.

(2) The full name, business address, and telephone number of each person who contracted with the lobbying firm for lobbying services, a description of the specific lobbying interests of the person, and the total payments, including fees and the reimbursement of expenses, received from the person for lobbying services during the reporting period.

(3) The total amount of payments received for lobbying services during the period.

(4) A periodic report completed and verified by each lobbyist in the lobbying firm pursuant to Section 86113.

(5) Each activity expense incurred by the lobbying firm including those reimbursed by a person who contracts with the lobbying firm for lobbying services. A total of all activity expenses of the lobbying firm and all of its lobbyists shall be included.

(6) If the lobbying firm subcontracts with another lobbying firm for lobbying services:

(A) The full name, address, and telephone number of the subcontractor.

(B) The name of the person for whom the subcontractor was retained to lobby.

(C) The total amount of all payments made to the subcontractor.

(7) The date, amount, and the name of the recipient of any contribution of one hundred dollars (\$100) or more made by the filer to an elected state officer, a state candidate, a committee controlled by an elected state officer or state candidate, or a committee primarily formed to support such officers or candidates. If this contribution is reported by the lobbying firm or by a committee sponsored by the lobbying firm in a campaign statement filed pursuant to Chapter 4 which is required to be filed with the Secretary of State, the filer may report only the name of the committee and the identification number of the committee.

(8) Any other information required by the Commission consistent with the purposes and provisions of this chapter.

(b) In addition to the information required by subdivision (a), lobbying firms which qualify pursuant to paragraph (2) of subdivision (a) of Section 82038.5 shall also report the name and title of each partner, owner, officer, and employee of the lobbying firm who, on at least five separate occasions during the reporting period, engaged in direct communication with any elective state official, legislative official, or agency official, for the purpose of influencing legislative or administrative action on behalf of a person who contracts with the lobbying firm for lobbying services. This does not include individuals whose actions were purely clerical.

History: Added by Stats. 1985, Ch. 1183, effective September 29, 1985; amended by Stats. 1986, Ch. 905.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18613  
2 Cal. Code of Regs. Section 18614  
2 Cal. Code of Regs. Section 18616.4

#### **§ 86115. Periodic Reports; Employers and Others.**

Subject to the exceptions in Section 86300, the following persons shall file the statements required by Section 86116:

(a) Any lobbyist employer; and

(b) Any person who directly or indirectly makes payments to influence legislative or administrative action of five thousand dollars (\$5,000) or more in value in any calendar quarter, unless all of the payments are of the type described in subdivision (c) of Section 82045.

History: Added by Stats. 1985, Ch. 1183, effective September 29, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18616  
2 Cal. Code of Regs. Section 18616.4

Opinions: In re Kovall (1978) 4 FPPC Ops. 95

In re Evans (1978) 4 FPPC Ops. 54  
In re Sloan (1976) 2 FPPC Ops. 105  
In re Gillies (1975) 1 FPPC Ops. 165  
In re Stern (1975) 1 FPPC Ops. 59  
In re Witt (1975) 1 FPPC Ops. 1

### **§ 86116. Periodic Reports; Employers and Others; Contents.**

Every person described in Section 86115 shall file periodic reports containing the following information:

(a) The name, business address, and telephone number of the lobbyist employer or other person filing the report.

(b) The total amount of payments to each lobbying firm.

(c) The total amount of all payments to lobbyists employed by the filer.

(d) A description of the specific lobbying interests of the filer.

(e) A periodic report completed and verified by each lobbyist employed by a lobbyist employer pursuant to Section 86113.

(f) Each activity expense of the filer. A total of all activity expenses of the filer shall be included.

(g) The date, amount, and the name of the recipient of any contribution of one hundred dollars (\$100) or more made by the filer to an elected state officer, a state candidate, or a committee controlled by an elected state officer or state candidate, or a committee primarily formed to support the officer or candidate. If this contribution is reported by the filer or by a committee sponsored by the filer in a campaign statement filed pursuant to Chapter 4 which is required to be filed with the Secretary of State, the filer may report only the name of the committee, and the identification number of the committee.

(h) (1) Except as set forth in paragraph (2), the total of all other payments to influence legislative or administrative action including overhead expenses and all payments to employees who spend 10 percent or more of their compensated time in any one month in activities related to influencing legislative or administrative action.

(2) A filer that makes payments to influence a ratemaking or quasi-legislative proceeding before the Public Utilities Commission, as defined in subdivision (b) or (c), respectively, of Section 82002, may, in lieu of reporting those payments pursuant to paragraph (1), report only the portion of those payments made to or for the filer's attorneys for time spent appearing as counsel and preparing to appear as counsel, or to or for the filer's witnesses for time spent testifying and preparing to testify, in

this type of Public Utilities Commission proceeding. This alternative reporting of these payments made during a calendar month is not required to include payments made to an attorney or witness who is an employee of the filer if less than 10 percent of his or her compensated time in that month was spent in appearing, testifying, or preparing to appear or testify before the Public Utilities Commission in a ratemaking or quasi-legislative proceeding. For the purposes of this paragraph, time spent preparing to appear or preparing to testify does not include time spent preparing written testimony.

(i) Any other information required by the commission consistent with the purposes and provisions of this chapter.

History: Added by Stats. 1985, Ch. 1183, effective September 29, 1985; amended by Stats. 1986, Ch. 905; amended by Stats. 1987, Ch. 459; amended by Stats. 2001, Ch. 921.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18614  
 2 Cal. Code of Regs. Section 18616  
 2 Cal. Code of Regs. Section 18616.4

Opinions: In re Evans (1978) 4 FPPC Ops. 54  
In re Herr (1977) 3 FPPC Ops. 11  
In re Sloan (1976) 2 FPPC Ops. 105  
In re Nida (1976) 2 FPPC Ops. 1  
In re Grunsky (1975) 1 FPPC Ops. 158  
In re Atlantic-Richfield Co. (1975) 1 FPPC Ops. 147  
In re Witt (1975) 1 FPPC Ops. 145  
In re Morrissey (1975) 1 FPPC Ops. 130  
In re Carothers (1975) 1 FPPC Ops. 122  
In re Wallace (1975) 1 FPPC Ops. 118  
In re Gillies (1975) 1 FPPC Ops. 110  
In re League of California Milk Producers (1975) 1 FPPC Ops. 13  
In re Witt (1975) 1 FPPC Ops. 1

### **§ 86116.5. Periodic Reports; State and Local Government Agencies.**

(a) In addition to the information required pursuant to Section 86116, all state and local agencies that file reports pursuant to Sections 86115 and 86116 shall disclose, except for overhead expenses, all payments of two hundred fifty dollars (\$250) or more made in a reporting period, including, but not limited to, all of the following:

(1) Goods and services used by a lobbyist or used to support or assist a lobbyist in connection with his or her activities as a lobbyist.

(2) Payments of any other expenses which would not have been incurred but for the filer's activities to influence or attempt to influence legislative or administrative action.

(3) Dues or similar payments made to any organization, including a federation, confederation, or trade, labor, or membership organization, that



makes expenditures equal to 10 percent of its total expenditures, or fifteen thousand dollars (\$15,000), or more, during any calendar quarter, to influence legislative or administrative action.

(b) Reports required pursuant to this section may be disclosed on a separate schedule and shall include all of the following information:

(1) The name and address of the payee.  
 (2) The total payments made during the reporting period.

(3) The cumulative amount paid during the calendar year.

(c) All statements required by this section shall be filed as specified by Sections 86117 and 86118.

History: Added by Stats. 1992, Ch. 214.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18616

#### **§ 86117. Periodic Reports; Filing; Time.**

(a) Reports required by Sections 86114 and 86116 shall be filed during the month following each calendar quarter. The period covered shall be from the first day of January of each new biennial legislative session through the last day of the calendar quarter prior to the month during which the report is filed, except as specified in subdivision (b), and except that the period covered shall not include any information reported in previous reports filed by the same person. When total amounts are required to be reported, totals shall be stated both for the period covered by the statement and for the entire legislative session to date.

(b) The period covered by the first report a person is required to file pursuant to Sections 86114 and 86116 shall begin with the first day of the calendar quarter in which the filer first registered or qualified. On the first report a person is required to file, the total amount shall be stated for the entire calendar quarter covered by the first report.

History: Added by Stats. 1985, Ch. 1183, effective September 29, 1985; amended by Stats. 1994, Ch. 1139.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18617

#### **§ 86118. Periodic Reports; Where to File.**

The original and one copy of each report required by Sections 86114 and 86116 shall be filed with the Secretary of State, unless filing in paper format is no longer required by Sections 84605 and 84606.

History: Added by Stats. 1986, Ch. 905; amended by Stats. 2010, Ch. 18.

### **Article 2. Prohibitions.**

#### **§ 86200 - 86206**

- § 86200. Contribution. [Repealed]
- § 86201. Gift.
- § 86202. Unlawful Contribution. [Repealed]
- § 86203. Unlawful Gifts.
- § 86204. Receipt of Unlawful Gift.
- § 86205. Acts Prohibited.
- § 86206. Placement Agent Fees.

#### **§ 86200. Contribution. [Repealed]**

History: Repealed by Stats. 1984, Ch. 161.

#### **§ 86201. Gift.**

“Gift” as used in this article means a gift made directly or indirectly to any state candidate, elected state officer, or legislative official, or to an agency official of any agency required to be listed on the registration statement of the lobbying firm or the lobbyist employer of the lobbyist.

History: Amended by Stats. 1985, Ch. 1183, effective September 29, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18624  
 2 Cal. Code of Regs. Section 18945  
 2 Cal. Code of Regs. Section 18946.2

Opinions: In re Goddard (1978) 4 FPPC Ops. 1  
In re Olson (1975) 1 FPPC Ops. 107  
In re Smithers (1975) 1 FPPC Ops. 42

#### **§ 86202. Unlawful Contribution. [Repealed]**

History: Repealed by Stats. 1984, Ch. 161.

#### **§ 86203. Unlawful Gifts.**

It shall be unlawful for a lobbyist, or lobbying firm, to make gifts to one person aggregating more than ten dollars (\$10) in a calendar month, or to act as an agent or intermediary in the making of any gift, or to arrange for the making of any gift by any other person.

History: Amended by Stats. 1985, Ch. 1183, effective September 29, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18624  
 2 Cal. Code of Regs. Section 18942  
 2 Cal. Code of Regs. Section 18945  
 2 Cal. Code of Regs. Section 18946.2

Opinions: In re Institute for Governmental Advocates (1982) 7 FPPC Ops. 1  
In re Goddard (1978) 4 FPPC Ops. 1  
In re Reinhardt (1977) 3 FPPC Ops. 83  
In re Zenz (1975) 1 FPPC Ops. 195  
In re Horn (1975) 1 FPPC Ops. 126  
In re Olson (1975) 1 FPPC Ops. 107  
In re Gilchrist (1975) 1 FPPC Ops. 82  
In re Smithers (1975) 1 FPPC Ops. 42  
In re Blenkle (1975) 1 FPPC Ops. 37

**§ 86204. Receipt of Unlawful Gift.**

It shall be unlawful for any person knowingly to receive any gift which is made unlawful by Section 86203.

History: Amended by Stats. 1984, Ch. 161.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18941

**§ 86205. Acts Prohibited.**

No lobbyist or lobbying firm shall:

(a) Do anything with the purpose of placing any elected state officer, legislative official, agency official, or state candidate under personal obligation to the lobbyist, the lobbying firm, or the lobbyist's or the firm's employer.

(b) Deceive or attempt to deceive any elected state officer, legislative official, agency official, or state candidate with regard to any material fact pertinent to any pending or proposed legislative or administrative action.

(c) Cause or influence the introduction of any bill or amendment thereto for the purpose of thereafter being employed to secure its passage or defeat.

(d) Attempt to create a fictitious appearance of public favor or disfavor of any proposed legislative or administrative action or to cause any communication to be sent to any elected state officer, legislative official, agency official, or state candidate in the name of any fictitious person or in the name of any real person, except with the consent of such real person.

(e) Represent falsely, either directly or indirectly, that the lobbyist or the lobbying firm can control the official action of any elected state officer, legislative official, or agency official.

(f) Accept or agree to accept any payment in any way contingent upon the defeat, enactment, or outcome of any proposed legislative or administrative action.

History: Amended by Stats. 1985, Ch. 1183, effective September 29, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18625

Opinions: In re Reinhardt (1977) 3 FPPC Ops. 83

**§ 86206. Placement Agent Fees.**

Nothing in this article prohibits the payment of fees for contractual services provided to an investment manager by a placement agent, as defined in Section 82047.3, who is registered with the Securities and Exchange Commission and regulated by the Financial Industry Regulatory Authority,

except as provided in subdivision (f) of Section 86205.

History: Added by Stats. 2010, Ch. 668

**Article 3. Exemptions.****§ 86300****§ 86300. Exemptions.**

The provisions of this chapter are not applicable to:

(a) Any elected public official acting in his official capacity, or any employee of the State of California acting within the scope of his employment; provided that, an employee of the State of California, other than a legislative official, who attempts to influence legislative action and who would be required to register as a lobbyist except for the provisions of this subdivision shall not make gifts of more than ten dollars (\$10) in a calendar month to an elected state officer or legislative official.

(b) Any newspaper or other periodical of general circulation, book publisher, radio or television station (including any individual who owns, publishes, or is employed by any such newspaper or periodical, radio or television station) which in the ordinary course of business publishes news items, editorials, or other comments, or paid advertisement, which directly or indirectly urge legislative or administrative action if such newspaper, periodical, book publisher, radio or television station or individual, engages in no further or other activities in connection with urging legislative or administrative action other than to appear before a committee of the Legislature or before a state agency in support of or in opposition to such action; or

(c) A person when representing a bona fide church or religious society solely for the purpose of protecting the public right to practice the doctrines of such church.

History: Amended by Stats. 1975, Ch. 1079.

References at the time of publication (see page 3):

Opinions: In re Herr (1977) 3 FPPC Ops. 11

In re Morgan (1975) 1 FPPC Ops. 177

**Chapter 7. Conflicts of Interests.****§ 87100-87500**

Article 1. General Prohibitions. § 87100 - 87105

2. Disclosure. § 87200 - 87210

3. Conflict of Interest Codes.

§ 87300 - 87314

3.5. Multiagency Filers. § 87350

4. Disqualification of Former Officers and Employees. § 87400 - 87410
- 4.5. Disqualification of State Officers and Employees. § 87450
- 4.6. Loans to Public Officials. § 87460-87462
5. Filing. § 87500 – 87505

2 Cal. Code of Regs. Section 18941  
 2 Cal. Code of Regs. Section 18942  
 2 Cal. Code of Regs. Section 18944  
 2 Cal. Code of Regs. Section 18945  
 2 Cal. Code of Regs. Section 18950.1

Opinions: In re Hanko (2002) 16 FPPC Ops. 1  
In re Galligan (2000) 14 FPPC Ops. 1

#### **Article 1. General Prohibitions. § 87100-87105**

- § 87100. Public Officials; State and Local.
- § 87100.1. Professional Engineers and Surveyors as Consultants.
- § 87101. Legally Required Participation in Governmental Decision.
- § 87102. Applicability of Enforcement Provisions; Additional Requirements.
- § 87102.5. Legislature; Use of Position to Influence Decisions.
- § 87102.6. Nongeneral Legislation; Definitions.
- § 87102.8. Elected State Officer; Use of Position to Influence Decisions.
- § 87103. Financial Interest.
- § 87103.5. Income from Retail Sales.
- § 87103.6. Source of Income; Payments to Government Agencies.
- § 87104. Prohibitions on Public Officials.
- § 87105. Manner of Disqualification.

#### **§ 87100. Public Officials; State and Local.**

No public official at any level of state or local government shall make, participate in making or in any way attempt to use his official position to influence a governmental decision in which he knows or has reason to know he has a financial interest.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18232  
 2 Cal. Code of Regs. Section 18700  
 2 Cal. Code of Regs. Section 18700.2  
 2 Cal. Code of Regs. Section 18700.3  
 2 Cal. Code of Regs. Section 18701  
 2 Cal. Code of Regs. Section 18701.1  
 2 Cal. Code of Regs. Section 18702.1  
 2 Cal. Code of Regs. Section 18702.2  
 2 Cal. Code of Regs. Section 18702.3  
 2 Cal. Code of Regs. Section 18702.4  
 2 Cal. Code of Regs. Section 18702.5  
 2 Cal. Code of Regs. Section 18703  
 2 Cal. Code of Regs. Section 18704  
 2 Cal. Code of Regs. Section 18705  
 2 Cal. Code of Regs. Section 18705.1  
 2 Cal. Code of Regs. Section 18705.2  
 2 Cal. Code of Regs. Section 18706  
 2 Cal. Code of Regs. Section 18707  
 2 Cal. Code of Regs. Section 18730.1  
 2 Cal. Code of Regs. Section 18940

#### **§ 87100.1. Professional Engineers and Surveyors as Consultants.**

(a) A registered professional engineer or licensed land surveyor who renders professional services as a consultant to a state or local government, either directly or through a firm in which he or she is employed or is a principal, does not have a financial interest in a governmental decision pursuant to Section 87100 where the consultant renders professional engineering or land surveying services independently of the control and direction of the public agency and does not exercise public agency decisionmaking authority as a contract city or county engineer or surveyor.

(b) For purposes of this section, the consultant renders professional engineering or land surveying services independently of the control and direction of the public agency when the consultant is in responsible charge of the work pursuant to Section 6703 or 8703 of the Business and Professions Code.

(c) Subdivision (a) does not apply to that portion of the work that constitutes the recommendation of the actual formula to spread the costs of an assessment district's improvements if both of the following apply:

(1) The engineer has received income of two hundred fifty dollars (\$250) or more for professional services in connection with any parcel included in the benefit assessment district within 12 months prior to the creation of the district.

(2) The district includes other parcels in addition to those parcels for which the engineer received the income.

The recommendation of the actual formula does not include preliminary site studies, preliminary engineering, plans, specifications, estimates, compliance with environmental laws and regulations, or the collection of data and information, utilized in applying the formula.

History: Added by Stats. 1991, Ch. 887.

#### **§ 87101. Legally Required Participation in Governmental Decision.**

Section 87100 does not prevent any public official from making or participating in the making of a governmental decision to the extent his participation is legally required for the action or decision to be made. The fact that an official's vote

is needed to break a tie does not make his participation legally required for purposes of this section.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18702  
2 Cal. Code of Regs. Section 18702.1  
2 Cal. Code of Regs. Section 18704  
2 Cal. Code of Regs. Section 18705  
2 Cal. Code of Regs. Section 18707  
2 Cal. Code of Regs. Section 18708

Opinions: In re Tobias (1999) 5 FPPC Ops. 5  
In re Brown (1978) 4 FPPC Ops. 19  
In re Hudson (1978) 4 FPPC Ops. 13  
In re Hopkins (1977) 3 FPPC Ops. 107  
In re Maloney (1977) 3 FPPC Ops. 69

### **§ 87102. Applicability of Enforcement Provisions; Additional Requirements.**

The requirements of Section 87100 are in addition to the requirements of Articles 2 (commencing with Section 87200) and 3 (commencing with Section 87300) and any Conflict of Interest Code adopted thereunder. Except as provided in Section 87102.5, the remedies provided in Chapters 3 (commencing with Section 83100) and 11 (commencing with Section 91000) shall not be applicable to elected state officers for violations or threatened violations of this article.

History: Amended by Stats. 1980, Ch. 1029; amended by Stats. 1990, Ch. 84.

### **§ 87102.5. Legislature; Use of Position to Influence Decisions.**

(a) The remedies provided in Chapter 3 (commencing with Section 83100) shall apply to any Member of the Legislature who makes, participates in making, or in any way attempts to use his or her official position to influence any of the following governmental decisions in which he or she knows or has reason to know that he or she has a financial interest:

(1) Any state governmental decision, other than any action or decision before the Legislature, made in the course of his or her duties as a member.

(2) Approval, modification, or cancellation of any contract to which either house or a committee of the Legislature is a party.

(3) Introduction as a lead author of any legislation that the member knows or has reason to know is nongeneral legislation.

(4) Any vote in a legislative committee or subcommittee on what the member knows or has reason to know is nongeneral legislation.

(5) Any rollcall vote on the Senate or Assembly floor on an item which the member knows is nongeneral legislation.

(6) Any action or decision before the Legislature in which all of the following occur:

(A) The member has received any salary, wages, commissions, or similar earned income within the preceding 12 months from a lobbyist employer.

(B) The member knows or has reason to know the action or decision will have a direct and significant financial impact on the lobbyist employer.

(C) The action or decision will not have an impact on the public generally or a significant segment of the public in a similar manner.

(7) Any action or decision before the Legislature on legislation that the member knows or has reason to know will have a direct and significant financial impact on any person, distinguishable from its impact on the public generally or a significant segment of the public, from whom the member has received any compensation within the preceding 12 months for the purpose of appearing, agreeing to appear, or taking any other action on behalf of that person, before any local board or agency.

(b) For purposes of this section, all of the following apply:

(1) "Any action or decision before the Legislature" means any vote in a committee or subcommittee, or any rollcall vote on the floor of the Senate or Assembly.

(2) "Financial interest" means an interest as defined in Section 87103.

(3) "Legislation" means a bill, resolution, or constitutional amendment.

(4) "Nongeneral legislation" means legislation that is described in Section 87102.6 and is not of a general nature pursuant to Section 16 of Article IV of the Constitution.

(5) A Member of the Legislature has reason to know that an action or decision will have a direct and significant financial impact on a person with respect to which disqualification may be required pursuant to subdivision (a) if either of the following apply:

(A) With the knowledge of the member, the person has attempted to influence the vote of the member with respect to the action or decision.

(B) Facts have been brought to the member's personal attention indicating that the action or decision will have a direct and significant impact on the person.

(6) The prohibitions specified in subdivision (a) do not apply to a vote on the Budget Bill as a whole, or to a vote on a consent calendar, a motion for reconsideration, a waiver of any legislative rule, or any purely procedural matter.

(7) A Member of the Legislature has reason to know that legislation is nongeneral legislation if facts



have been brought to his or her personal attention indicating that it is nongeneral legislation.

(8) Written advice given to a Member of the Legislature regarding his or her duties under this section by the Legislative Counsel shall have the same effect as advice given by the Commission pursuant to subdivision (b) of Section 83114 if both of the following apply:

(A) The member has made the same written request based on the same material facts to the Commission for advice pursuant to Section 83114 as to his or her duties under this section, as the written request and facts presented to the Legislative Counsel.

(B) The Commission has not provided written advice pursuant to the member's request prior to the time the member acts in good faith reliance on the advice of the Legislative Counsel.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1990, Ch. 1075.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18232  
2 Cal. Code of Regs. Section 18700.1  
2 Cal. Code of Regs. Section 18700.2  
2 Cal. Code of Regs. Section 18700.3  
2 Cal. Code of Regs. Section 18701  
2 Cal. Code of Regs. Section 18701.1  
2 Cal. Code of Regs. Section 18702  
2 Cal. Code of Regs. Section 18702.1  
2 Cal. Code of Regs. Section 18702.2  
2 Cal. Code of Regs. Section 18702.3  
2 Cal. Code of Regs. Section 18702.4  
2 Cal. Code of Regs. Section 18702.5  
2 Cal. Code of Regs. Section 18703  
2 Cal. Code of Regs. Section 18703.4  
2 Cal. Code of Regs. Section 18704  
2 Cal. Code of Regs. Section 18704.1  
2 Cal. Code of Regs. Section 18704.5  
2 Cal. Code of Regs. Section 18705  
2 Cal. Code of Regs. Section 18705.1  
2 Cal. Code of Regs. Section 18705.2  
2 Cal. Code of Regs. Section 18706

Opinions: In re Galligan (2000) 14 FPPC Ops. 1

#### **§ 87102.6. Nongeneral Legislation; Definitions.**

(a) "Nongeneral legislation" means legislation as to which both of the following apply:

(1) It is reasonably foreseeable that the legislation will have direct and significant financial impact on one or more identifiable persons, or one or more identifiable pieces of real property.

(2) It is not reasonably foreseeable that the legislation will have a similar impact on the public generally or on a significant segment of the public.

(b) For purposes of this section and Section 87102.5, all of the following apply:

(1) "Legislation" means a bill, resolution, or constitutional amendment.

(2) "Public generally" includes an industry, trade, or profession.

(3) Any recognized subgroup or specialty of the industry, trade, or profession constitutes a significant segment of the public.

(4) A legislative district, county, city, or special district constitutes a significant segment of the public.

(5) More than a small number of persons or pieces of real property is a significant segment of public.

(6) Legislation, administrative action, or other governmental action impacts in a similar manner all members of the public, or all members of a significant segment of the public, on which it has a direct financial effect, whether or not the financial effect on individual members of the public or the significant segment of the public is the same as the impact on the other members of the public or the significant segment of the public.

(7) The Budget Bill as a whole is not nongeneral legislation.

(8) Legislation that contains at least one provision that constitutes nongeneral legislation is nongeneral legislation, even if the legislation also contains other provisions that are general and do not constitute nongeneral legislation.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 2006, Ch. 538.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18232  
2 Cal. Code of Regs. Section 18700.1  
2 Cal. Code of Regs. Section 18700.2  
2 Cal. Code of Regs. Section 18700.3  
2 Cal. Code of Regs. Section 18701  
2 Cal. Code of Regs. Section 18701.1  
2 Cal. Code of Regs. Section 18702  
2 Cal. Code of Regs. Section 18702.1  
2 Cal. Code of Regs. Section 18702.2  
2 Cal. Code of Regs. Section 18702.3  
2 Cal. Code of Regs. Section 18702.4  
2 Cal. Code of Regs. Section 18702.5  
2 Cal. Code of Regs. Section 18703  
2 Cal. Code of Regs. Section 18704  
2 Cal. Code of Regs. Section 18704.1  
2 Cal. Code of Regs. Section 18704.5  
2 Cal. Code of Regs. Section 18705  
2 Cal. Code of Regs. Section 18705.1  
2 Cal. Code of Regs. Section 18705.2  
2 Cal. Code of Regs. Section 18706

Opinions: In re Galligan (2000) 14 FPPC Ops. 1

#### **§ 87102.8. Elected State Officer; Use of Position to Influence Decisions.**

(a) No elected state officer, as defined in subdivision (f) of Section 14 of Article V of the California Constitution, shall make or participate in the making of, or use his or her official position to influence, any governmental decision before the

agency in which the elected state officer serves, where he or she knows or has reason to know that he or she has a financial interest.

(b) An elected state officer knows or has reason to know that he or she has a financial interest in any action by, or a decision before the agency in which he or she serves where either of the following occur:

(1) The action or decision will have a direct and significant financial impact on a lobbyist employer from which the officer has received any salary, wages, commissions, or similar earned income within the preceding 12 months and the action or decision will not have an impact on the public generally or a significant segment of the public in a similar manner.

(2) The action or decision will have a direct and significant financial impact on any person, distinguishable from its impact on the public generally or a significant segment of the public, from whom the officer has received any compensation within the preceding 12 months for the purpose of appearing, agreeing to appear, or taking any other action on behalf of that person, before any local board or agency.

(c) The definitions of “public generally” and “significant segment of the public” contained in Section 87102.6 shall apply to this section.

(d) Notwithstanding Section 87102, the remedies provided in Chapter 3 (commencing with Section 83100) shall apply to violations of this section.

History: Added by Stats. 1990, Ch. 1075; amended by Stats. 1991, Ch. 674.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18232  
 2 Cal. Code of Regs. Section 18700.1  
 2 Cal. Code of Regs. Section 18700.2  
 2 Cal. Code of Regs. Section 18700.3  
 2 Cal. Code of Regs. Section 18701  
 2 Cal. Code of Regs. Section 18701.1  
 2 Cal. Code of Regs. Section 18702  
 2 Cal. Code of Regs. Section 18702.1  
 2 Cal. Code of Regs. Section 18702.2  
 2 Cal. Code of Regs. Section 18702.3  
 2 Cal. Code of Regs. Section 18702.4  
 2 Cal. Code of Regs. Section 18702.5  
 2 Cal. Code of Regs. Section 18703  
 2 Cal. Code of Regs. Section 18704  
 2 Cal. Code of Regs. Section 18704.1  
 2 Cal. Code of Regs. Section 18704.5  
 2 Cal. Code of Regs. Section 18705  
 2 Cal. Code of Regs. Section 18705.1  
 2 Cal. Code of Regs. Section 18705.2  
 2 Cal. Code of Regs. Section 18706

Opinions: In re Galligan (2000) 14 FPPC Ops. 1

### § 87103. Financial Interest.

A public official has a financial interest in a decision within the meaning of Section 87100 if it is reasonably foreseeable that the decision will have a material financial effect, distinguishable from its

effect on the public generally, on the official, a member of his or her immediate family, or on any of the following:

(a) Any business entity in which the public official has a direct or indirect investment worth two thousand dollars (\$2,000) or more.

(b) Any real property in which the public official has a direct or indirect interest worth two thousand dollars (\$2,000) or more.

(c) Any source of income, except gifts or loans by a commercial lending institution made in the regular course of business on terms available to the public without regard to official status, aggregating five hundred dollars (\$500) or more in value provided or promised to, received by, the public official within 12 months prior to the time when the decision is made.

(d) Any business entity in which the public official is a director, officer, partner, trustee, employee, or holds any position of management.

(e) Any donor of, or any intermediary or agent for a donor of, a gift or gifts aggregating two hundred fifty dollars (\$250) or more in value provided to, received by, or promised to the public official within 12 months prior to the time when the decision is made. The amount of the value of gifts specified by this subdivision shall be adjusted biennially by the Commission to equal the same amount determined by the Commission pursuant to subdivision (f) of Section 89503.

For purposes of this section, indirect investment or interest means any investment or interest owned by the spouse or dependent child of a public official, by an agent on behalf of a public official, or by a business entity or trust in which the official, the official’s agents, spouse, and dependent children own directly, indirectly, or beneficially a 10-percent interest or greater.

History: Amended by Stats. 1979, Ch. 686; amended by Stats. 1980, Ch. 183; amended by Stats. 1984, Ch. 931; amended by Stats. 1985, Ch. 611; amended by Stats. 1994, Ch. 386; amended by Stats. 1997, Ch. 455, effective September 24, 1997; amended by Stats. 2000, Ch. 130.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229  
 2 Cal. Code of Regs. Section 18229.1  
 2 Cal. Code of Regs. Section 18232  
 2 Cal. Code of Regs. Section 18700  
 2 Cal. Code of Regs. Section 18700.1  
 2 Cal. Code of Regs. Section 18700.2  
 2 Cal. Code of Regs. Section 18700.3  
 2 Cal. Code of Regs. Section 18702.5  
 2 Cal. Code of Regs. Section 18701  
 2 Cal. Code of Regs. Section 18701.1  
 2 Cal. Code of Regs. Section 18702  
 2 Cal. Code of Regs. Section 18702.1  
 2 Cal. Code of Regs. Section 18702.2  
 2 Cal. Code of Regs. Section 18702.3

2 Cal. Code of Regs. Section 18702.4  
 2 Cal. Code of Regs. Section 18702.5  
 2 Cal. Code of Regs. Section 18703  
 2 Cal. Code of Regs. Section 18704  
 2 Cal. Code of Regs. Section 18704.1  
 2 Cal. Code of Regs. Section 18704.5  
 2 Cal. Code of Regs. Section 18705  
 2 Cal. Code of Regs. Section 18705.1  
 2 Cal. Code of Regs. Section 18705.2  
 2 Cal. Code of Regs. Section 18706  
 2 Cal. Code of Regs. Section 18707  
 2 Cal. Code of Regs. Section 18730  
 2 Cal. Code of Regs. Section 18730.1  
 2 Cal. Code of Regs. Section 18940  
 2 Cal. Code of Regs. Section 18940.2  
 2 Cal. Code of Regs. Section 18941  
 2 Cal. Code of Regs. Section 18942  
 2 Cal. Code of Regs. Section 18942.1  
 2 Cal. Code of Regs. Section 18944  
 2 Cal. Code of Regs. Section 18945  
 2 Cal. Code of Regs. Section 18946.2  
 2 Cal. Code of Regs. Section 18950.1

Opinions: In re Roberts (2004) 17 FPPC Ops. 9  
In re Hanko (2002) 16 FPPC Ops. 1  
In re Galligan (2000) 14 FPPC Ops. 1  
In re Legan (1985) 9 FPPC Ops. 1  
In re Nord (1983) 8 FPPC Ops. 6  
In re Ferraro (1978) 4 FPPC Ops. 62  
In re Callanan, Sands and Hill (1978) 4 FPPC Ops. 33  
In re Brown (1978) 4 FPPC Ops. 19  
In re Hopkins (1977) 3 FPPC Ops. 107  
In re Gillmor (1977) 3 FPPC Ops. 38  
In re Moore (1977) 3 FPPC Ops. 33  
In re Thomas (1977) 3 FPPC Ops. 30  
In re Sherwood (1976) 2 FPPC Ops. 168  
In re Sankey (1976) 2 FPPC Ops. 157  
In re Owen (1976) 2 FPPC Ops. 77  
In re Thorner (1975) 1 FPPC Ops. 198  
In re Biondo (1975) 1 FPPC Ops. 54  
In re Presley (1975) 1 FPPC Ops. 39

### § 87103.5. Income from Retail Sales.

(a) Notwithstanding subdivision (c) of Section 87103, a retail customer of a business entity engaged in retail sales of goods or services to the public generally is not a source of income to an official who owns a 10-percent or greater interest in the entity if the retail customers of the business entity constitute a significant segment of the public generally, and the amount of income received by the business entity from the customer is not distinguishable from the amount of income received from its other retail customers.

(b) Notwithstanding subdivision (c) of Section 87103, in a jurisdiction with a population of 10,000 or less which is located in a county with 350 or fewer retail businesses, a retail customer of a business entity engaged in retail sales of goods or services to the public generally is not a source of income to an official of that jurisdiction who owns a 10-percent or greater interest in the entity, if the

retail customers of the business entity constitute a significant segment of the public generally, and the amount of income received by the business entity from the customer does not exceed one percent of the gross sales revenues that the business entity earned during the 12 months prior to the time the decision is made.

(c) For the purposes of subdivision (b):

(1) Population in a jurisdiction shall be established by the United States Census.

(2) The number of retail businesses in a county shall be established by the previous quarter's Covered Employment and Wages Report (ES-202) of the Labor Market Information Division of the California Employment Development Department.

History: Added by Stats. 1984, Ch. 931; amended by Stats. 2002, Ch. 654.

### § 87103.6. Source of Income; Payments to Government Agencies.

Notwithstanding subdivision (c) of Section 87103, any person who makes a payment to a state agency or local government agency to defray the estimated reasonable costs to process any application, approval, or any other action, including but not limited to, holding public hearings and evaluating or preparing any report or document, shall not by reason of the payments be a source of income to a person who is retained or employed by the agency.

History: Added by Stats. 1991, Ch. 887.

### § 87104. Prohibitions on Public Officials.

(a) No public official of a state agency shall, for compensation, act as an agent or attorney for, or otherwise represent, any other person by making any formal or informal appearance before, or any oral or written communication to, his or her state agency or any officer or employee thereof, if the appearance or communication is for the purpose of influencing a decision on a contract, grant, loan, license, permit, or other entitlement for use.

(b) For purposes of this section, "public official" includes a member, officer, employee, or consultant of an advisory body to a state agency, whether the advisory body is created by statute or otherwise, except when the public official is representing his or her employing state, local, or federal agency in an appearance before, or communication to, the advisory body.

History: Added by Stats. 1994, Ch. 414; amended by Stats. 1997, Ch. 145.

**§ 87105. Manner of Disqualification.**

(a) A public official who holds an office specified in Section 87200 who has a financial interest in a decision within the meaning of Section 87100 shall, upon identifying a conflict of interest or a potential conflict of interest and immediately prior to the consideration of the matter, do all of the following:

(1) Publicly identify the financial interest that gives rise to the conflict of interest or potential conflict of interest in detail sufficient to be understood by the public, except that disclosure of the exact street address of a residence is not required.

(2) Recuse himself or herself from discussing and voting on the matter, or otherwise acting in violation of Section 87100.

(3) Leave the room until after the discussion, vote, and any other disposition of the matter is concluded, unless the matter has been placed on the portion of the agenda reserved for uncontested matters.

(4) Notwithstanding paragraph (3), a public official described in subdivision (a) may speak on the issue during the time that the general public speaks on the issue.

(b) This section does not apply to Members of the Legislature.

History: Added by Stats. 2002, Ch. 233.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18702  
2 Cal. Code of Regs. Section 18702.1  
2 Cal. Code of Regs. Section 18702.5  
2 Cal. Code of Regs. Section 18707

**Article 2. Disclosure.****§ 87200 - 87210**

- § 87200. Applicability.
- § 87201. Candidates.
- § 87202. Officials - Elected, Appointed and Hold Over.
- § 87203. Officeholders; Annual Statements.
- § 87204. Leaving Office.
- § 87205. Persons Completing and Beginning Term of Office on the Same Day.
- § 87206. Disclosure of Investment or Interest in Real Property.
- § 87206.5. Interest in Real Property; Exclusion of Principal Residence. [Repealed]
- § 87207. Disclosure of Income.
- § 87208. Disclosure of Investments and Interest in Real Property; Incorporation by Reference.
- § 87209. Business Positions.

- § 87210. Gifts Made Through Intermediaries and Others - Disclosure Requirements.

**§ 87200. Applicability.**

This article is applicable to elected state officers, judges and commissioners of courts of the judicial branch of government, members of the Public Utilities Commission, members of the State Energy Resources Conservation and Development Commission, members of the Fair Political Practices Commission, members of the California Coastal Commission, members of the High-Speed Rail Authority, members of planning commissions, members of the board of supervisors, district attorneys, county counsels, county treasurers, and chief administrative officers of counties, mayors, city managers, city attorneys, city treasurers, chief administrative officers and members of city councils of cities, and other public officials who manage public investments, and to candidates for any of these offices at any election.

History: Amended by Stats. 1975, Ch. 797; effective September 16, 1975, operative September 5, 1975; amended by Stats. 1976, Ch. 129, effective May 5, 1976; amended by Stats. 1978, Ch. 537; amended by Stats. 1979, Ch. 674; amended by Stats. 1983, Ch. 214; amended by Stats. 1984, Ch. 727, effective July 1, 1985; amended by Stats. 1985, Ch. 611; amended by Stats. 1989, Ch. 403; amended by Stats. 2012, Ch. 626, effective September 27, 2012.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18700.3  
2 Cal. Code of Regs. Section 18701  
2 Cal. Code of Regs. Section 18702  
2 Cal. Code of Regs. Section 18702.1  
2 Cal. Code of Regs. Section 18702.5  
2 Cal. Code of Regs. Section 18707  
2 Cal. Code of Regs. Section 18723  
2 Cal. Code of Regs. Section 18724  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18753  
2 Cal. Code of Regs. Section 18940.1

**§ 87201. Candidates.**

Every candidate for an office specified in Section 87200 other than a justice of an appellate court or the Supreme Court shall file no later than the final filing date of a declaration of candidacy, a statement disclosing his or her investments, his or her interests in real property, and any income received during the immediately preceding 12 months.

This statement shall not be required if the candidate has filed, within 60 days prior to the filing of his or her declaration of candidacy, a statement for the same jurisdiction pursuant to Section 87202 or 87203.



History: Amended by Stats. 1977, Ch. 1193; amended by Stats. 1980, Ch. 928; amended by Stats. 1984, Ch. 931; amended by Stats. 1992, Ch. 1141.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18732.5

Opinions: In re Boreman (1975) 1 FPPC Ops. 101

### **§ 87202. Officials - Elected, Appointed and Hold Over.**

(a) Every person who is elected to an office specified in Section 87200 shall, within 30 days after assuming the office, file a statement disclosing his or her investments and his or her interests in real property held on the date of assuming office, and income received during the 12 months before assuming office. Every person who is appointed or nominated to an office specified in Section 87200 shall file such a statement not more than 30 days after assuming office, provided, however, that a person appointed or nominated to such an office who is subject to confirmation by the Commission on Judicial Appointments or the State Senate shall file such a statement no more than 10 days after the appointment or nomination.

The statement shall not be required if the person has filed, within 60 days prior to assuming office, a statement for the same jurisdiction pursuant to Section 87203.

(b) Every elected state officer who assumes office during the month of December or January shall file a statement pursuant to Section 87203 instead of this section, except that:

(1) The period covered for reporting investments and interests in real property shall begin on the date the person filed his or her declarations of candidacy.

(2) The period covered for reporting income shall begin 12 months prior to the date the person assumed office.

History: Amended by Stats. 1977, Ch. 1193; amended by Stats. 1978, Ch. 537; amended by Stats. 1989, Ch. 499; amended by Stats. 1997, Ch. 36.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18722  
2 Cal. Code of Regs. Section 18723  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18735

### **§ 87203. Officeholders; Annual Statements.**

Every person who holds an office specified in Section 87200 shall, each year at a time specified by Commission regulations, file a statement disclosing his investments, his interests in real property and his income during the period since the previous statement

filed under this section or Section 87202. The statement shall include any investments and interests in real property held at any time during the period covered by the statement, whether or not they are still held at the time of filing.

History: Amended by Stats. 1976, Ch. 1161.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18723  
2 Cal. Code of Regs. Section 18732.5

Opinions: In re Sampson (1975) 1 FPPC Ops. 183

### **§ 87204. Leaving Office.**

Every person who leaves an office specified in Section 87200 shall, within thirty days after leaving the office, file a statement disclosing his investments, his interests in real property, and his income during the period since the previous statement filed under Sections 87202 or 87203. The statement shall include any investments and interests in real property held at any time during the period covered by the statement, whether or not they are still held at the time of filing.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18722  
2 Cal. Code of Regs. Section 18723  
2 Cal. Code of Regs. Section 18732.5

### **§ 87205. Persons Completing and Beginning Term of Office on the Same Day.**

A person who completes a term of an office specified in Section 87200 and within 45 days begins a term of the same office or another such office of the same jurisdiction is deemed not to assume office or leave office.

History: Amended by Stats. 1977, Ch. 1193; amended by Stats. 1997, Ch. 145; amended by Stats. 2005, Ch. 200.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
2 Cal. Code of Regs. Section 18732.5

### **§ 87206. Disclosure of Investment or Interest in Real Property.**

If an investment or an interest in real property is required to be disclosed under this article, the statement shall contain:

(a) A statement of the nature of the investment or interest.

(b) The name of the business entity in which each investment is held, and a general description of the business activity in which the business entity is engaged.

(c) The address or other precise location of the real property.

(d) A statement whether the fair market value of the investment or interest in real property equals or

exceeds two thousand dollars (\$2,000) but does not exceed ten thousand dollars (\$10,000), whether it exceeds ten thousand dollars (\$10,000) but does not exceed one hundred thousand dollars (\$100,000), whether it exceeds one hundred thousand dollars (\$100,000), but does not exceed one million dollars (\$1,000,000) or whether it exceeds one million dollars (\$1,000,000).

(e) In the case of a statement filed under Sections 87203 or 87204, if the investment or interest in real property was partially or wholly acquired or disposed of during the period covered by the statement, the date of acquisition or disposal.

(f) For purposes of disclosure under this article, “interest in real property” does not include the principal residence of the filer or any other property which the filer utilizes exclusively as the personal residence of the filer.

History: Amended by Stats. 1980, Ch. 1000; amended by Stats. 1984, Ch. 931; amended by Stats. 2000, Ch. 130.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18233  
2 Cal. Code of Regs. Section 18729  
2 Cal. Code of Regs. Section 18732.5

Opinions: In re Schabarum (1975) 1 FPPC Ops. 95

#### **§ 87206.5. Interest in Real Property; Exclusion of Principal Residence. [Repealed]**

History: Added by Stats. 1976, Ch. 1161; repealed by Stats. 1980, Ch. 1000. (Now contained in Section 87206.)

#### **§ 87207. Disclosure of Income.**

(a) If income is required to be reported under this article, the statement shall contain, except as provided in subdivision (b):

(1) The name and address of each source of income aggregating five hundred dollars (\$500) or more in value, or fifty dollars (\$50) or more in value if the income was a gift, and a general description of the business activity, if any, of each source.

(2) A statement whether the aggregate value of income from each source, or in the case of a loan, the highest amount owed to each source, was at least five hundred dollars (\$500) but did not exceed one thousand dollars (\$1,000), whether it was in excess of one thousand dollars (\$1,000) but was not greater than ten thousand dollars (\$10,000), whether it was greater than ten thousand dollars (\$10,000) but not greater than one hundred thousand dollars (\$100,000), or whether it was greater than one hundred thousand dollars (\$100,000).

(3) A description of the consideration, if any, for which the income was received.

(4) In the case of a gift, the amount and the date on which the gift was received and the travel

destination for purposes of a gift that is a travel payment, advance, or reimbursement.

(5) In the case of a loan, the annual interest rate, the security, if any, given for the loan, and the term of the loan.

(b) If the filer’s pro rata share of income to a business entity, including income to a sole proprietorship, is required to be reported under this article, the statement shall contain:

(1) The name, address, and a general description of the business activity of the business entity.

(2) The name of every person from whom the business entity received payments if the filer’s pro rata share of gross receipts from that person was equal to or greater than ten thousand dollars (\$10,000) during a calendar year.

(c) If a payment, including an advance or reimbursement, for travel is required to be reported pursuant to this section, it may be reported on a separate travel reimbursement schedule which shall be included in the filer’s statement of economic interest. A filer who chooses not to use the travel schedule shall disclose payments for travel as a gift, unless it is clear from all surrounding circumstances that the services provided were equal to or greater in value than the payments for the travel, in which case the travel may be reported as income.

History: Amended by Stats. 1975, Ch. 915, effective September 20, 1995, operative January 7, 1975; amended by Stats. 1979, Ch. 674; superseded by Stats. 1979, Ch. 686; amended by Stats. 1980, Ch. 1000; amended by Stats. 1982, Ch. 29; amended by Stats. 1984, Ch. 931; amended by Stats. 1990, Ch. 1075; amended by Stats. 1997, Ch. 638; amended by Stats. 2000, Ch. 130; amended by Stats. 2015, Ch. 757, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18704  
2 Cal. Code of Regs. Section 18728.5  
2 Cal. Code of Regs. Section 18730.1  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18740  
2 Cal. Code of Regs. Section 18940  
2 Cal. Code of Regs. Section 18941  
2 Cal. Code of Regs. Section 18942  
2 Cal. Code of Regs. Section 18942.1  
2 Cal. Code of Regs. Section 18942.2  
2 Cal. Code of Regs. Section 18942.3  
2 Cal. Code of Regs. Section 18944  
2 Cal. Code of Regs. Section 18945  
2 Cal. Code of Regs. Section 18945.2  
2 Cal. Code of Regs. Section 18946  
2 Cal. Code of Regs. Section 18946.1  
2 Cal. Code of Regs. Section 18946.2  
2 Cal. Code of Regs. Section 18946.3  
2 Cal. Code of Regs. Section 18946.4  
2 Cal. Code of Regs. Section 18946.5  
2 Cal. Code of Regs. Section 18946.6  
2 Cal. Code of Regs. Section 18950  
2 Cal. Code of Regs. Section 18950.1

Opinions: In re Riemer (2013) 21 FPPC Ops. 1  
In re Rosenstiel (2012) 20 FPPC Ops. 1

In re Taylor (2004) 17 FPPC Ops. 1  
In re Hopkins (1977) 3 FPPC Ops. 107  
In re Carey (1977) 3 FPPC Ops. 99  
In re Gutierrez (1977) 3 FPPC Ops. 44  
In re Thomas (1977) 3 FPPC Ops. 30  
In re Cory (1976) 2 FPPC Ops. 48  
In re Hayes (1975) 1 FPPC Ops. 210  
In re Russel (1975) 1 FPPC Ops. 191  
In re Cory (1975) 1 FPPC Ops. 153  
In re Brown (1975) 1 FPPC Ops. 67

**§ 87208. Disclosure of Investments and Interests in Real Property; Incorporation by Reference.**

Except in statements required by Section 87203, investments and interests in real property which have been disclosed on a statement of economic interests filed in the same jurisdiction within the previous 60 days may be incorporated by reference.

History: Added by Stats. 1976, Ch. 1161.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5

**§ 87209. Business Positions.**

When a statement is required to be filed under this article, every person specified in Section 87200 shall disclose any business positions held by that person. For purposes of this section, “business position” means any business entity in which the filer is a director, officer, partner, trustee, employee, or holds any position of management, if the business entity or any parent, subsidiary, or otherwise related business entity has an interest in real property in the jurisdiction, or does business or plans to do business in the jurisdiction or has done business in the jurisdiction at any time during the two years prior to the date the statement is required to be filed.

History: Added by Stats. 1997, Ch. 455, effective September 24, 1997.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18230  
 2 Cal. Code of Regs. Section 18732.5

**§ 87210. Gifts Made Through Intermediaries and Others - Disclosure Requirements.**

No person shall make a gift totaling fifty dollars (\$50) or more in a calendar year to a person described in Article 2 on behalf of another, or while acting as the intermediary or agent of another, without disclosing to the recipient of the gift both his own full name, street address, and business activity, if any, and the full name, street address, and business activity, if any, of the actual donor. The recipient of the gift shall include in his Statement of Economic Interests the full name, street address, and business activity, if any, of the intermediary or agent and the actual donor.

History: Added by Stats. 1978, Ch. 640; amended by Stats. 1982, Ch. 29.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5  
 2 Cal. Code of Regs. Section 18945

**Article 3. Conflict of Interest Codes.  
 § 87300 - 87314**

- § 87300. Agency Requirement.
- § 87301. Formulation.
- § 87302. Required Provisions.
- § 87302.3. Disclosure by Candidates for Elective Office.
- § 87302.6. Disclosure by Members of Boards and Commissions of Newly Created Agencies.
- § 87303. Submission; Code Reviewing Body.
- § 87304. Failure to Submit, Adopt or Amend a Proposed Code.
- § 87305. Order to Adopt; Superior Court.
- § 87306. Amendments for Changed Circumstances.
- § 87306.5. Conflict of Interest Code; Local Agency Review.
- § 87307. Amendments to Code by Agency; Failure to Act.
- § 87308. Judicial Review.
- § 87309. Requirements for Approval.
- § 87310. Designated Employee; Broad or Indefinable Duties.
- § 87311. Review and Preparation; Administrative Procedure Act.
- § 87311.5. Review and Preparation; Judicial Branch Agencies.
- § 87312. Commission Assistance.
- § 87313. Gifts Made Through Intermediaries and Others - Disclosure Requirements.
- § 87314. Code Requirement for Public Pension and Retirement System Agencies.

**§ 87300. Agency Requirement.**

Every agency shall adopt and promulgate a Conflict of Interest Code pursuant to the provisions of this article. A Conflict of Interest Code shall have the force of law and any violation of a Conflict of Interest Code by a designated employee shall be deemed a violation of this chapter.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18329.5  
 2 Cal. Code of Regs. Section 18351  
 2 Cal. Code of Regs. Section 18730  
 2 Cal. Code of Regs. Section 18730.1  
 2 Cal. Code of Regs. Section 18732.5  
 2 Cal. Code of Regs. Section 18750  
 2 Cal. Code of Regs. Section 18751  
 2 Cal. Code of Regs. Section 18754  
 2 Cal. Code of Regs. Section 18755  
 2 Cal. Code of Regs. Section 18940.1

Opinions: In re Vonk (1981) 6 FPPC Ops. 1  
In re Leach (1978) 4 FPPC Ops. 48  
In re Siegel (1977) 3 FPPC Ops. 62

### § 87301. Formulation.

It is the policy of this act that Conflict of Interest Codes shall be formulated at the most decentralized level possible, but without precluding intra-departmental review. Any question of the level of a department which should be deemed an “agency” for purposes of Section 87300 shall be resolved by the code reviewing body.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18329.5  
 2 Cal. Code of Regs. Section 18730  
 2 Cal. Code of Regs. Section 18732.5  
 2 Cal. Code of Regs. Section 18751  
 2 Cal. Code of Regs. Section 18754

### § 87302. Required Provisions.

Each Conflict of Interest Code shall contain the following provisions:

(a) Specific enumeration of the positions within the agency, other than those specified in Section 87200, which involve the making or participation in the making of decisions which may foreseeably have a material effect on any financial interest and for each such enumerated position, the specific types of investments, business positions, interests in real property, and sources of income which are reportable. An investment, business position, interest in real property, or source of income shall be made reportable by the Conflict of Interest Code if the business entity in which the investment or business position is held, the interest in real property, or the income or source of income may foreseeably be affected materially by any decision made or participated in by the designated employee by virtue of his or her position.

(b) Requirements that each designated employee, other than those specified in Section 87200, file statements at times and under circumstances described in this section, disclosing reportable investments, business positions, interests in real property and income. The information disclosed with respect to reportable investments, interests in real property, and income shall be the same as the information required by Sections 87206 and 87207. The first statement filed under a Conflict of Interest Code by a designated employee shall disclose any reportable investments, business positions, interests in real property, and income. An initial statement shall be filed by each designated employee within 30 days after the effective date of the Conflict of Interest Code, disclosing investments,

business positions, and interests in real property held on the effective date of the Conflict of Interest Code and income received during the 12 months before the effective date of the Conflict of Interest Code. Thereafter, each new designated employee shall file a statement within 30 days after assuming office, or if subject to State Senate confirmation, 30 days after being appointed or nominated, disclosing investments, business positions, and interests in real property held on, and income received during the 12 months before, the date of assuming office or the date of being appointed or nominated, respectively. Each designated employee shall file an annual statement, at the time specified in the Conflict of Interest Code, disclosing reportable investments, business positions, interest in real property and income held or received at any time during the previous calendar year or since the date the designated employee took office if during the calendar year. Every designated employee who leaves office shall file, within 30 days of leaving office, a statement disclosing reportable investments, business positions, interests in real property, and income held or received at any time during the period between the closing date of the last statement required to be filed and the date of leaving office.

(c) Specific provisions setting forth any circumstances under which designated employees or categories of designated employees must disqualify themselves from making, participating in the making, or using their official position to influence the making of any decision. Disqualification shall be required by the Conflict of Interest Code when the designated employee has a financial interest as defined in Section 87103, which it is reasonably foreseeable may be affected materially by the decision. No designated employee shall be required to disqualify himself or herself with respect to any matter which could not legally be acted upon or decided without his or her participation.

(d) For any position enumerated pursuant to subdivision (a), an individual who resigns the position within 12 months following initial appointment or within 30 days of the date of a notice mailed by the filing officer of the individual’s filing obligation, whichever is earlier, is not deemed to assume or leave office, provided that during the period between appointment and resignation, the individual does not make, participate in making, or use the position to influence any decision of the agency or receive, or become entitled to receive, any form of payment by virtue of being appointed to the position. Within 30 days of the date of a notice mailed by the filing officer, the individual shall do both of the following:



(1) File a written resignation with the appointing power.

(2) File a written statement with the filing officer on a form prescribed by the Commission and signed under penalty of perjury stating that the individual, during the period between appointment and resignation, did not make, participate in the making, or use the position to influence any decision of the agency or receive, or become entitled to receive, any form of payment by virtue of being appointed to the position.

History: Amended by Stats. 1978, Ch. 537; amended by Stats. 1979, Ch. 674; amended by Stats. 1980, Ch. 765; amended by Stats. 1987, Ch. 1188; amended by Stats. 1989, Ch. 499; amended by Stats. 1991, Ch. 857; amended by Stats. 1992, Ch. 441.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18329.5  
 2 Cal. Code of Regs. Section 18351  
 2 Cal. Code of Regs. Section 18700.3  
 2 Cal. Code of Regs. Section 18704  
 2 Cal. Code of Regs. Section 18722  
 2 Cal. Code of Regs. Section 18730  
 2 Cal. Code of Regs. Section 18730.1  
 2 Cal. Code of Regs. Section 18732  
 2 Cal. Code of Regs. Section 18732.5  
 2 Cal. Code of Regs. Section 18733  
 2 Cal. Code of Regs. Section 18734  
 2 Cal. Code of Regs. Section 18735  
 2 Cal. Code of Regs. Section 18736  
 2 Cal. Code of Regs. Section 18736.1  
 2 Cal. Code of Regs. Section 18737  
 2 Cal. Code of Regs. Section 18751  
 2 Cal. Code of Regs. Section 18754  
 2 Cal. Code of Regs. Section 18940  
 2 Cal. Code of Regs. Section 18940.1  
 2 Cal. Code of Regs. Section 18941  
 2 Cal. Code of Regs. Section 18942  
 2 Cal. Code of Regs. Section 18944  
 2 Cal. Code of Regs. Section 18945  
 2 Cal. Code of Regs. Section 18946  
 2 Cal. Code of Regs. Section 18946.1  
 2 Cal. Code of Regs. Section 18946.2  
 2 Cal. Code of Regs. Section 18946.3  
 2 Cal. Code of Regs. Section 18946.4  
 2 Cal. Code of Regs. Section 18946.5  
 2 Cal. Code of Regs. Section 18946.6  
 2 Cal. Code of Regs. Section 18950  
 2 Cal. Code of Regs. Section 18950.1

Opinions: In re Alperin (1977) 3 FPPC Ops. 77

### **§ 87302.3. Disclosure by Candidates for Elective Office.**

(a) Every candidate for an elective office that is designated in a conflict of interest code shall file a statement disclosing his or her investments, business positions, interests in real property, and income received during the immediately preceding 12 months, as enumerated in the disclosure requirements for that position. The statement shall be filed with the

election official with whom the candidate's declaration of candidacy or other nomination documents to appear on the ballot are required to be filed and shall be filed no later than the final filing date for the declaration or nomination documents.

(b) This section does not apply to either of the following:

(1) A candidate for an elective office designated in a conflict of interest code who has filed an initial, assuming office, or annual statement pursuant to that conflict of interest code within 60 days before the deadline specified in subdivision (a).

(2) A candidate for an elective office who has filed a statement for the office pursuant to Section 87302.6 within 60 days before the deadline specified in subdivision (a).

History: Added by Stats. 2007, Ch. 348.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18751

### **§ 87302.6. Disclosure by Members of Boards and Commissions of Newly Created Agencies.**

Notwithstanding Section 87302, a member of a board or commission of a newly created agency shall file a statement at the same time and in the same manner as those individuals required to file pursuant to Section 87200. A member shall file his or her statement pursuant to Section 87302 once the agency adopts an approved conflict-of-interest code.

History: Added by Stats. 2002, Ch. 264.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18117  
 2 Cal. Code of Regs. Section 18329.5  
 2 Cal. Code of Regs. Section 18732.5  
 2 Cal. Code of Regs. Section 18751  
 2 Cal. Code of Regs. Section 18754

### **§ 87303. Submission; Code Reviewing Body.**

No conflict of interest code shall be effective until it has been approved by the code reviewing body. Each agency shall submit a proposed conflict of interest code to the code reviewing body by the deadline established for the agency by the code reviewing body. The deadline for a new agency shall be not later than six months after it comes into existence. Within 90 days after receiving the proposed code or receiving any proposed amendments or revisions, the code reviewing body shall do one of the following:

(a) Approve the proposed code as submitted.

(b) Revise the proposed code and approve it as revised.

(c) Return the proposed code to the agency for revision and resubmission within 60 days. The code reviewing body shall either approve the revised code

or revise it and approve it. When a proposed conflict of interest code or amendment is approved by the code reviewing body, it shall be deemed adopted and shall be promulgated by the agency.

History: Amended by Stats. 1975, Ch. 915, effective September 20, 1975, operative January 7, 1975; amended by Stats. 1979, Ch. 686; amended by Stats. 1997, effective September 24, 1997.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18329.5  
2 Cal. Code of Regs. Section 18351  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18750  
2 Cal. Code of Regs. Section 18751  
2 Cal. Code of Regs. Section 18755

#### **§ 87304. Failure to Submit, Adopt or Amend a Proposed Code.**

If any agency fails to submit a proposed conflict of interest code or amendments, or if any state agency fails to report amendments pursuant to subdivision (b) of Section 87306 within the time limits prescribed pursuant to Section 87303 or 87306, the code reviewing body may issue any appropriate order directed to the agency or take any other appropriate action, including the adoption of a conflict of interest code for the agency. If the code reviewing body does not issue an appropriate order or take other action within 90 days of the deadline imposed on the agency as prescribed in Section 87303 or 87306, the Commission may issue any appropriate order directed to the agency or take any other appropriate action, including the adoption of a conflict of interest code for the agency. The Commission shall consult with the agency before ordering the adoption of a conflict of interest code for the agency.

History: Amended by Stats. 1988, Ch. 923; amended by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 491.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18329.5  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18751

#### **§ 87305. Order to Adopt; Superior Court.**

If after six months following the deadline for submission of the proposed Conflict of Interest Code to the code reviewing body no Conflict of Interest Code has been adopted and promulgated, the superior court may, in an action filed by the Commission, the agency, the code reviewing body, any officer, employee, member or consultant of the agency, or any resident of the jurisdiction, prepare a Conflict of Interest Code and order its adoption by the agency or grant any other appropriate relief. The agency and the code reviewing body shall be parties to any action filed pursuant to this section.

History: Amended by Stats. 1980, Ch. 765.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18329.5  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18751

#### **§ 87306. Amendments for Changed Circumstances.**

(a) Every agency shall amend its Conflict of Interest Code, subject to the provisions of Section 87303, when change is necessitated by changed circumstances, including the creation of new positions which must be designated pursuant to subdivision (a) of Section 87302 and relevant changes in the duties assigned to existing positions. Amendments or revisions shall be submitted to the code reviewing body within 90 days after the changed circumstances necessitating the amendments have become apparent. If after nine months following the occurrence of those changes the Conflict of Interest Code has not been amended or revised, the superior court may issue any appropriate order in an action brought under the procedures set forth in Section 87305.

(b) Notwithstanding subdivision (a), every state agency shall submit to the code reviewing body a biennial report identifying changes in its code, including, but not limited to, all new positions designated pursuant to subdivision (a) of Section 87302, changes in the list of reportable sources of income, and relevant changes in the duties assigned to existing positions. These reports shall be submitted no later than March 1 of each odd-numbered year.

History: Amended by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 491.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18329.5  
2 Cal. Code of Regs. Section 18351  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18736  
2 Cal. Code of Regs. Section 18750  
2 Cal. Code of Regs. Section 18751  
2 Cal. Code of Regs. Section 18755

#### **§ 87306.5. Conflict of Interest Code; Local Agency Review.**

(a) No later than July 1 of each even-numbered year, the code reviewing body shall direct every local agency which has adopted a Conflict of Interest Code in accordance with this title to review its Conflict of Interest Code and, if a change in its code is necessitated by changed circumstances, submit an amended Conflict of Interest Code in accordance with subdivision (a) of Section 87302 and Section 87303 to the code reviewing body.

(b) Upon review of its code, if no change in the code is required, the local agency head shall submit a written statement to that effect to the code reviewing body no later than October 1 of the same year.

History: Added by Stats. 1990, Ch. 1075.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18736.1  
2 Cal. Code of Regs. Section 18751

#### **§ 87307. Amendments to Code by Agency; Failure to Act.**

An agency may at any time amend its Conflict of Interest Code, subject to the provisions of Section 87303, either upon its own initiative or in response to a petition submitted by an officer, employee, member or consultant of the agency, or a resident of the jurisdiction. If the agency fails to act upon such a petition within ninety days, the petition shall be deemed denied. Within thirty days after the denial of a petition, the petitioner may appeal to the code reviewing body. The code reviewing body shall either dismiss the appeal or issue an appropriate order to the agency within ninety days.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18737  
2 Cal. Code of Regs. Section 18751

#### **§ 87308. Judicial Review.**

Judicial review of any action of a code reviewing body under this chapter may be sought by the Commission, by the agency, by an officer, employee, member or consultant of the agency, or by a resident of the jurisdiction.

History: Amended by Stats. 1980, Ch. 765.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18751

#### **§ 87309. Requirements for Approval.**

No Conflict of Interest Code or amendment shall be approved by the code reviewing body or upheld by a court if it:

(a) Fails to provide reasonable assurance that all foreseeable potential conflict of interest situations will be disclosed or prevented;

(b) Fails to provide to each affected person a clear and specific statement of his duties under the Code; or

(c) Fails to adequately differentiate between designated employees with different powers and responsibilities.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18730.1

2 Cal. Code of Regs. Section 18732.5

2 Cal. Code of Regs. Section 18751

Opinions: In re Alperin (1977) 3 FPPC Ops. 77

#### **§ 87310. Designated Employee; Broad or Indefinable Duties.**

If the duties of a designated employee are so broad or indefinable that the requirements of Section 87309 cannot be complied with, the Conflict of Interest Code shall require the designated employee to comply with the requirements of Article 2 of this chapter.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18751

#### **§ 87311. Review and Preparation; Administrative Procedure Act.**

The review of proposed Conflict of Interest Codes by the Commission and by the Attorney General and the preparation of proposed Conflict of Interest Codes by state agencies shall be subject to the Administrative Procedure Act. The review and preparation of Conflict of Interest Codes by local government agencies shall be carried out under procedures which guarantee to officers, employees, members, and consultants of the agency and to residents of the jurisdiction adequate notice and a fair opportunity to present their views.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18351  
2 Cal. Code of Regs. Section 18732.5

#### **§ 87311.5. Review and Preparation; Judicial Branch Agencies.**

(a) Notwithstanding the provisions of Section 87311, the review of the Conflict of Interest Code of an agency in the judicial branch of government shall not be subject to the provisions of the Administrative Procedure Act. The review and preparation of Conflict of Interest Codes by these agencies shall be carried out under procedures which guarantee to officers, employees, members, and consultants of the agency and to residents of the jurisdiction adequate notice and a fair opportunity to present their views.

(b) Conflict of Interest Codes of the Judicial Council, the Commission on Judicial Performance, and the Board of Governors and designated employees of the State Bar of California shall not be subject to the provisions of subdivision (c) of Section 87302.

History: Added by Stats. 1984, Ch. 727, effective July 1, 1985.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5

**§ 87312. Commission Assistance.**

The Commission shall, upon request, provide technical assistance to agencies in the preparation of Conflict of Interest Codes. Such assistance may include the preparation of model provisions for various types of agencies. Nothing in this section shall relieve each agency of the responsibility for adopting a Conflict of Interest Code appropriate to its individual circumstances.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5

**§ 87313. Gifts Made Through Intermediaries and Others - Disclosure Requirements.**

No person shall make a gift of fifty dollars (\$50) or more in a calendar month on behalf of another, or while acting as the intermediary or agent of another to a person whom he knows or has reason to know may be required to disclose the gift pursuant to a conflict of interest code, without disclosing to the recipient of the gift both his own full name, street address, and business activity, if any, and the full name, street address, and business activity, if any, of the actual donor. The recipient of the gift shall include in his Statement of Economic Interests the full name, street address, and business activity, if any, of the intermediary or agent and the actual donor.

History: Added by Stats. 1978, Ch. 640; amended by Stats. 1984, Ch. 931.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18945

**§ 87314. Code Requirement for Public Pension and Retirement System Agencies.**

(a) A board, commission, or agency of a public pension or retirement system shall attach to its Conflict of Interest Code an appendix entitled "Agency Positions that Manage Public Investments for Purposes of Section 87200 of the Government Code." The appendix shall list each position with the board, commission, or agency for which an individual occupying the position is required to file a Statement of Economic Interests as a public official who manages public investments within the meaning of Section 87200. The board, commission, or agency shall post the appendix on its Internet Web site in a manner that makes it easily identifiable and accessible by persons who view that Web site.

(b) (1) For purposes of this section, "public official who manages public investments" includes a salaried or unsalaried member of a committee, board, commission, or other entity that exists as, or within, a governmental agency and that possesses decisionmaking authority.

(2) A committee, board, commission, or other entity possesses decisionmaking authority for purposes of this section if any of the following apply:

(A) The entity may make a final governmental decision.

(B) The entity may compel a governmental decision or prevent a governmental decision, either by virtue of possessing exclusive power to initiate the decision or by having veto authority that may not be overridden.

(C) The entity makes substantive recommendations that are, and over an extended period of time have been, regularly approved, without significant amendment or modification, by another public official or governmental agency.

(3) A committee, board, commission, or other entity does not possess decisionmaking authority for purposes of this section if it is formed for the sole purpose of researching a subject and preparing a report or recommendation for submission to another governmental entity that has final decisionmaking authority.

History: Added by Stats. 2010, Ch. 702.

**Article 3.5. Multiagency Filers.  
§ 87350****§ 87350. Multiagency Filers.**

Notwithstanding any other provision of this title, a person required to file more than one assuming office statement, statement of economic interests, or leaving office statement, due to his or her status as a designated employee for more than one joint powers insurance agency, may elect to file a multiagency statement disclosing all investments in entities doing business in the state, all interests in real property located within the state, and all income received during the applicable time period, in lieu of filing the disclosure statements for each agency.

The filer shall notify the Commission of his or her decision to become a multiagency filer. This status shall continue until revoked by the filer.

History: Added by Stats. 1990, Ch. 69.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18735.5

**Article 4. Disqualification of Former Officers and Employees.  
§ 87400 - 87410**

§ 87400. Definitions.

§ 87401. Restrictions on Activities of Former State Officers.

§ 87402. Restrictions on Activities of Former State Officers; Assisting Others.



- § 87403. Exemptions.
- § 87404. Proceedings to Exclude Former State Officers.
- § 87405. Application of Requirements.
- § 87406. Milton Marks Postgovernmental Employment Restrictions Act.
- § 87406.1. Postgovernmental Employment Restrictions for Districts and District Boards.
- § 87406.3. Postgovernmental Employment Restrictions for Local Officials.
- § 87407. Influencing Prospective Employment.
- § 87408. Postgovernmental Employment Restrictions for Board of Administration of the Public Employees' Retirement System and Teachers' Retirement Board.
- § 87409. Restrictions on Activities of Former Investment Officials; Assisting Others.
- § 87410. Postgovernmental Ban on Placement Agent Activities.

#### § 87400. Definitions.

Unless the contrary is stated or clearly appears from the context, the definitions set forth in this section shall govern the interpretation of this article.

(a) "State administrative agency" means every state office, department, division, bureau, board and commission, but does not include the Legislature, the courts or any agency in the judicial branch of government.

(b) "State administrative official" means every member, officer, employee or consultant of a state administrative agency who as part of his or her official responsibilities engages in any judicial, quasi-judicial or other proceeding in other than a purely clerical, secretarial or ministerial capacity.

(c) "Judicial, quasi-judicial or other proceeding" means any proceeding, application, request for a ruling or other determination, contract, claim, controversy, investigation, charge, accusation, arrest or other particular matter involving a specific party or parties in any court or state administrative agency, including but not limited to any proceeding governed by Chapter 5 (commencing with Section 11500) of Division 3 of Title 2 of the Government Code.

(d) "Participated" means to have taken part personally and substantially through decision, approval, disapproval, formal written recommendation, rendering advice on a substantial basis, investigation or use of confidential information as an officer or employee, but excluding approval,

disapproval or rendering of legal advisory opinions to departmental or agency staff which do not involve a specific party or parties.

History: Added by Stats. 1980, Ch. 66.

#### § 87401. Restrictions on Activities of Former State Officers.

No former state administrative official, after the termination of his or her employment or term of office, shall for compensation act as agent or attorney for, or otherwise represent, any other person (other than the State of California) before any court or state administrative agency or any officer or employee thereof by making any formal or informal appearance, or by making any oral or written communication with the intent to influence, in connection with any judicial, quasi-judicial or other proceeding if both of the following apply:

(a) The State of California is a party or has a direct and substantial interest.

(b) The proceeding is one in which the former state administrative official participated.

History: Added by Stats. 1980, Ch. 66; amended by Stats. 1985, Ch. 775.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18741.1  
2 Cal. Code of Regs. Section 18746.2  
2 Cal. Code of Regs. Section 18746.4

Opinions: In re Lucas (2000) 14 FPPC Ops. 14

#### § 87402. Restrictions on Activities of Former State Officers; Assisting Others.

No former state administrative official, after the termination of his or her employment or term of office shall for compensation aid, advise, counsel, consult or assist in representing any other person (except the State of California) in any proceeding in which the official would be prohibited from appearing under Section 87401.

History: Added by Stats. 1980, Ch. 66.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18741.1  
2 Cal. Code of Regs. Section 18746.4

Opinions: In re Lucas (2000) 14 FPPC Ops. 14

#### § 87403. Exemptions.

The prohibitions contained in Sections 87401 and 87402 shall not apply:

(a) To prevent a former state administrative official from making or providing a statement, which is based on the former state administrative official's own special knowledge in the particular area that is the subject of the statement, provided that no compensation is thereby received other than that

regularly provided for by law or regulation for witnesses; or

(b) To communications made solely for the purpose of furnishing information by a former state administrative official if the court or state administrative agency to which the communication is directed makes findings in writing that:

(1) The former state administrative official has outstanding and otherwise unavailable qualifications;

(2) The former state administrative official is acting with respect to a particular matter which requires such qualifications; and

(3) The public interest would be served by the participation of the former state administrative official; or

(c) With respect to appearances or communications in a proceeding in which a court or state administrative agency has issued a final order, decree, decision or judgment but has retained jurisdiction if the state administrative agency of former employment gives its consent by determining that:

(1) At least five years have elapsed since the termination of the former state administrative official's employment or term of office; and

(2) The public interest would not be harmed.

History: Added by Stats. 1980, Ch. 66.

#### **§ 87404. Proceedings to Exclude Former State Officers.**

Upon the petition of any interested person or party, the court or the presiding or other officer, including but not limited to a hearing officer serving pursuant to Section 11512 of the Government Code, in any judicial, quasi-judicial or other proceeding, including but not limited to any proceeding pursuant to Chapter 5 (commencing with Section 11500) of Part 1 of Division 3 of Title 2 of the Government Code may, after notice and an opportunity for a hearing, exclude any person found to be in violation of this article from further participation, or from assisting or counseling any other participant, in the proceeding then pending before such court or presiding or other officer.

History: Added by Stats. 1980, Ch. 66.

#### **§ 87405. Application of Requirements.**

The requirements imposed by this article shall not apply to any person who left government service prior to the effective date of this article except that any such person who returns to government service on or after the effective date of this article shall thereafter be covered thereby.

History: Added by Stats. 1980, Ch. 66.

#### **§ 87406. Milton Marks Postgovernmental Employment Restrictions Act.**

(a) This section shall be known, and may be cited, as the Milton Marks Postgovernment Employment Restrictions Act of 1990.

(b) No Member of the Legislature, for a period of one year after leaving office, shall, for compensation, act as agent or attorney for, or otherwise represent, any other person by making any formal or informal appearance, or by making any oral or written communication, before the Legislature, any committee or subcommittee thereof, any present Member of the Legislature, or any officer or employee thereof, if the appearance or communication is made for the purpose of influencing legislative action.

(c) No elected state officer, other than a Member of the Legislature, for a period of one year after leaving office, shall, for compensation, act as agent or attorney for, or otherwise represent, any other person by making any formal or informal appearance, or by making any oral or written communication, before any state administrative agency, or any officer or employee thereof, if the appearance or communication is for the purpose of influencing administrative action, or influencing any action or proceeding involving the issuance, amendment, awarding, or revocation of a permit, license, grant, or contract, or the sale or purchase of goods or property. For purposes of this subdivision, an appearance before a "state administrative agency" does not include an appearance in a court of law, before an administrative law judge, or before the Workers' Compensation Appeals Board.

(d) (1) No designated employee of a state administrative agency, any officer, employee, or consultant of a state administrative agency who holds a position which entails the making, or participation in the making, of decisions which may foreseeably have a material effect on any financial interest, and no member of a state administrative agency, for a period of one year after leaving office or employment, shall, for compensation, act as agent or attorney for, or otherwise represent, any other person, by making any formal or informal appearance, or by making any oral or written

communication, before any state administrative agency, or officer or employee thereof, for which he or she worked or represented during the 12 months before leaving office or employment, if the appearance or communication is made for the purpose of influencing administrative or legislative action, or influencing any action or proceeding involving the issuance, amendment, awarding, or

revocation of a permit, license, grant, or contract, or the sale or purchase of goods or property. For purposes of this paragraph, an appearance before a state administrative agency does not include an appearance in a court of law, before an administrative law judge, or before the Workers' Compensation Appeals Board. The prohibition of this paragraph shall only apply to designated employees employed by a state administrative agency on or after January 7, 1991.

(2) For purposes of paragraph (1), a state administrative agency of a designated employee of the Governor's office includes any state administrative agency subject to the direction and control of the Governor.

(e) The prohibitions contained in subdivisions (b), (c), and (d) shall not apply to any individual subject to this section who is or becomes any of the following:

(1) An officer or employee of another state agency, board, or commission if the appearance or communication is for the purpose of influencing legislative or administrative action on behalf of the state agency, board, or commission.

(2) An official holding an elective office of a local government agency if the appearance or communication is for the purpose of influencing legislative or administrative action on behalf of the local government agency.

(f) This section shall become operative on January 1, 1991, but only if Senate Constitutional Amendment No. 32 of the 1989-90 Regular Session is approved by the voters. With respect to Members of the Legislature whose current term of office on January 1, 1991, began in December 1988, this section shall not apply until January 1, 1993.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1990, Ch. 1075; amended by Stats. 1993, Ch. 230; amended by Stats. 1999, Ch. 10, effective April 15, 1999.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18746.1  
2 Cal. Code of Regs. Section 18746.2  
2 Cal. Code of Regs. Section 18746.4

#### **§ 87406.1. Postgovernmental Employment Restrictions for Districts and District Boards.**

(a) For purposes of this section, "district" means an air pollution control district or air quality management district and "district board" means the governing body of an air pollution control district or an air quality management district.

(b) No former member of a district board, and no former officer or employee of a district who held a position which entailed the making, or participation

in the making, of decisions which may foreseeably have a material effect on any financial interest, shall, for a period of one year after leaving that office or employment, act as agent or attorney for, or otherwise represent, for compensation, any other person, by making any formal or informal appearance before, or by making any oral or written communication to, that district board, or any committee, subcommittee, or present member of that district board, or any officer or employee of the district, if the appearance or communication is made for the purpose of influencing regulatory action.

(c) Subdivision (b) shall not apply to any individual who is, at the time of the appearance or communication, a board member, officer, or employee of another district or an employee or representative of a public agency.

(d) This section applies to members and former members of district hearing boards.

History: Added by Stats. 1994, Ch. 747.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18746.2

#### **§ 87406.3. Postgovernmental Employment Restrictions for Local Officials.**

(a) A local elected official, chief administrative officer of a county, city manager, or general manager or chief administrator of a special district who held a position with a local government agency as defined in Section 82041 shall not, for a period of one year after leaving that office or employment, act as agent or attorney for, or otherwise represent, for compensation, any other person, by making any formal or informal appearance before, or by making any oral or written communication to, that local government agency, or any committee, subcommittee, or present member of that local government agency, or any officer or employee of the local government agency, if the appearance or communication is made for the purpose of influencing administrative or legislative action, or influencing any action or proceeding involving the issuance, amendment, awarding, or revocation of a permit, license, grant, or contract, or the sale or purchase of goods or property.

(b) Subdivision (a) shall not apply to any individual who is, at the time of the appearance or communication, a board member, officer, or employee of another local government agency or an employee or representative of a public agency and is appearing or communicating on behalf of that agency.

(c) Nothing in this section shall preclude a local

government agency from adopting an ordinance or policy that restricts the appearance of a former local official before that local government agency if that ordinance or policy is more restrictive than subdivision (a).

(d) Notwithstanding Sections 82002 and 82037, the following definitions shall apply for purposes of this section only:

(1) "Administrative action" means the proposal, drafting, development, consideration, amendment, enactment, or defeat by any local government agency of any matter, including any rule, regulation, or other action in any regulatory proceeding, whether quasi-legislative or quasi-judicial. Administrative action does not include any action that is solely ministerial.

(2) "Legislative action" means the drafting, introduction, modification, enactment, defeat, approval, or veto of any ordinance, amendment, resolution, report, nomination, or other matter by the legislative body of a local government agency or by any committee or subcommittee thereof, or by a member or employee of the legislative body of the local government agency acting in his or her official capacity.

(e) This section shall become operative on July 1, 2006.

History: Added by Stats. 2005, Ch. 680, operative July 1, 2006.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18746.2  
2 Cal. Code of Regs. Section 18746.3  
2 Cal. Code of Regs. Section 18746.4

#### **§ 87407. Influencing Prospective Employment.**

No public official shall make, participate in making, or use his or her official position to influence, any governmental decision directly relating to any person with whom he or she is negotiating, or has any arrangement concerning, prospective employment.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 2003, Ch. 778.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18747

#### **§ 87408. Postgovernmental Employment Restrictions for Board of Administration of the Public Employees' Retirement System and Teachers' Retirement Board.**

(a) A member of the Board of Administration of the Public Employees' Retirement System, an individual in a position designated in subdivision (a) or (e) of Section 20098, or an information technology or health benefits manager with a career executive

assignment designation with the Public Employees' Retirement System, for a period of four years after leaving that office or position, shall not, for compensation, act as an agent or attorney for, or otherwise represent, any other person, except the state, by making a formal or informal appearance before, or an oral or written communication to, the Public Employees' Retirement System, or an officer or employee thereof, if the appearance or communication is made for the purpose of influencing administrative or legislative action, or influencing an action or proceeding involving the issuance, amendment, awarding, or revocation of a permit, license, grant, or contract, or the sale or purchase of goods or property.

(b) A member of the Teachers' Retirement Board, an individual in a position designated in subdivision (a) or (d) of Section 22212.5 of the Education Code, or an information technology manager with a career executive assignment designation with the State Teachers' Retirement System, for a period of four years after leaving that office or position, shall not, for compensation, act as an agent or attorney for, or otherwise represent, any other person, except the state, by making a formal or informal appearance before, or an oral or written communication to, the State Teachers' Retirement System, or an officer or employee thereof, if the appearance or communication is made for the purpose of influencing administrative or legislative action, or influencing an action or proceeding involving the issuance, amendment, awarding, or revocation of a permit, license, grant, or contract, or the sale or purchase of goods or property.

History: Added by Stats. 2011, Ch. 551.

#### **§ 87409. Restrictions on Activities of Former Investment Officials; Assisting Others.**

(a) A member of the Board of Administration of the Public Employees' Retirement System, an individual in a position designated in subdivision (a) or (e) of Section 20098, or an information technology or health benefits manager with a career executive assignment designation with the Public Employees' Retirement System, for a period of two years after leaving that office or position, shall not, for compensation, aid, advise, consult with, or assist a business entity in obtaining the award of, or in negotiating, a contract or contract amendment with the Public Employees' Retirement System.

(b) A member of the Teachers' Retirement Board, an individual in a position designated in subdivision (a) or (d) of Section 22212.5 of the Education Code, or an information technology manager with a career executive assignment



designation with the State Teachers' Retirement System, for a period of two years after leaving that office or position, shall not, for compensation, aid, advise, consult with, or assist a business entity in obtaining the award of, or in negotiating, a contract or contract amendment with the State Teachers' Retirement System.

(c) For purposes of this section, "business entity" has the same meaning as set forth in Section 82005, and includes a parent or subsidiary of a business entity.

History: Added by Stats. 2011, Ch. 551.

#### **§ 87410. Postgovernmental Ban on Placement Agent Activities.**

(a) A member of the Board of Administration of the Public Employees' Retirement System or an individual in a position designated in subdivision (a) or (e) of Section 20098, for a period of 10 years after leaving that office or position, shall not accept compensation for providing services as a placement agent in connection with investments or other business of the Public Employees' Retirement System or the State Teachers' Retirement System.

(b) A member of the Teachers' Retirement Board or an individual in a position designated in subdivision (a) or (d) of Section 22212.5 of the Education Code, for a period of 10 years after leaving that office or position, shall not accept compensation for providing services as a placement agent in connection with investments or other business of the State Teachers' Retirement System or the Public Employees' Retirement System.

History: Added by Stats. 2011, Ch. 551.

#### **Article 4.5. Disqualification of State Officers and Employees.** **§ 87450**

§ 87450. Restrictions in Participation of State Officers in Decisions Relating to Contracts.

#### **§ 87450. Restrictions in Participation of State Officers in Decisions Relating to Contracts.**

(a) In addition to the provisions of Article 1 (commencing with Section 87100), no state administrative official shall make, participate in making, or use his or her official position to influence any governmental decision directly relating to any contract where the state administrative official knows or has reason to know that any party to the contract is a person with whom the state administrative official, or any member of his or her immediate family, has engaged in any business transaction or transactions on terms not available to members of the public, regarding

any investment or interest in real property, or the rendering of goods or services totaling in value one thousand dollars (\$1,000) or more within 12 months prior to the time the official action is to be performed.

(b) As used is subdivision (a), "state administrative official" has the same meaning as defined in Section 87400.

History: Added by Stats. 1986, Ch. 653.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1

#### **Article 4.6. Loans to Public Officials.** **§ 87460-87462**

§ 87460. Loans to Public Officials.

§ 87461. Loan Terms.

§ 87462. Personal Loans.

#### **§ 87460. Loans to Public Officials.**

(a) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the elected officer holds office or over which the elected officer's agency has direction and control.

(b) No public official who is required to file a statement of economic interests pursuant to Section 87200 and no public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the public official holds office or over which the public official's agency has direction and control. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(c) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status.

(d) No public official who is required to file a statement of economic interests pursuant to Section 87200 and no public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(e) This section shall not apply to the following:

(1) Loans made to the campaign committee of an elected officer or candidate for elective office.

(2) Loans made by a public official's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such persons, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.

(3) Loans from a person which, in the aggregate, do not exceed two hundred fifty dollars (\$250) at any given time.

(4) Loans made, or offered in writing, before the operative date of this section.

History: Added by Stats. 1997, Ch. 638.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229

Opinions: In re Roberts (2004) 17 FPPC Ops. 9

#### **§ 87461. Loan Terms.**

(a) Except as set forth in subdivision (b), no elected officer of a state or local government agency shall, from the date of his or her election to office through the date he or she vacates office, receive a personal loan of five hundred dollars (\$500) or more, except when the loan is in writing and clearly states the terms of the loan, including the parties to the loan agreement, date of the loan, amount of the loan, term of the loan, date or dates when payments shall be due on the loan and the amount of the payments, and the rate of interest paid on the loan.

(b) This section shall not apply to the following types of loans:

(1) Loans made to the campaign committee of the elected officer.

(2) Loans made to the elected officer by his or her spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.

(3) Loans made, or offered in writing, before the operative date of this section.

(c) Nothing in this section shall exempt any person from any other provisions of this title.

History: Added by Stats. 1997, Ch. 638.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229

Opinions: In re Roberts (2004) 17 FPPC Ops. 9

#### **§ 87462. Personal Loans.**

(a) Except as set forth in subdivision (b), a personal loan shall become a gift to the debtor for the purposes of this title in the following circumstances:

(1) If the loan has a defined date or dates for repayment, when the statute of limitations for filing an action for default has expired.

(2) If the loan has no defined date or dates for repayment, when one year has elapsed from the later of the following:

(A) The date the loan was made.

(B) The date the last payment of one hundred dollars (\$100) or more was made on the loan.

(C) The date upon which the debtor has made payments on the loan aggregating to less than two hundred fifty dollars (\$250) during the previous 12 months.

(b) This section shall not apply to the following types of loans:

(1) A loan made to the campaign committee of an elected officer or a candidate for elective office.

(2) A loan that would otherwise not be a gift as defined in this title.

(3) A loan that would otherwise be a gift as set forth under paragraph (a), but on which the creditor has taken reasonable action to collect the balance due.

(4) A loan that would otherwise be a gift as set forth under paragraph (a), but on which the creditor, based on reasonable business considerations, has not undertaken collection action. Except in a criminal action, a creditor who claims that a loan is

not a gift on the basis of this paragraph has the burden of proving that the decision for not taking collection action was based on reasonable business considerations.

(5) A loan made to a debtor who has filed for bankruptcy and the loan is ultimately discharged in bankruptcy.

(c) Nothing in this section shall exempt any person from any other provisions of this title.

History: Added by Stats. 1997, Ch. 638.

**Article 5. Filing.**  
**§ 87500-87505**

§ 87500. Statements of Economic Interests- Where to File.

§ 87500.1. Statements of Economic Interests- Electronic Filing; Pilot Program.

§ 87500.2. Statements of Economic Interests- Electronic Filing.

§ 87500.3. Statements of Economic Interests- Development of Electronic Filing System for the Commission.

§ 87500.4. Statements of Economic Interests- Specifying Persons Authorized to File Electronically with the Commission.

§ 87505. Web Site Notification.

**§ 87500. Statements of Economic Interests – Where to File.**

Statements of economic interests required by this chapter shall be filed as follows:

(a) Statewide elected officer – one original with the agency, which shall make and retain a copy and forward the original to the Commission. The Commission shall be the filing officer.

(b) Candidates for statewide elective office – one original and one copy with the person with whom the candidate's declaration of candidacy is filed, who shall forward the original to the Commission. The Commission shall be the filing officer.

(c) Members of the Legislature and State Board of Equalization – one original with the agency, which shall make and retain a copy and forward the original to the Commission. The Commission shall be the filing officer.

(d) Candidates for the Legislature or the State Board of Equalization – one original and one copy with the person with whom the candidate's declaration of candidacy is filed, who shall forward the original to the Commission. The Commission shall be the filing officer.

(e) Persons holding the office of chief administrative officer and candidates for and persons holding the office of district attorney, county counsel, county treasurer, and member of the board of supervisors – one original with the county clerk, who shall make and retain a copy and forward the original to the Commission, which shall be the filing officer.

(f) Persons holding the office of city manager or, if there is no city manager, the chief administrative officer, and candidates for and persons holding the office of city council member, city treasurer, city attorney, and mayor – one original with the city clerk, who shall make and retain a copy and forward the original to the Commission, which shall be the filing officer.

(g) Members of the Public Utilities Commission, members of the State Energy Resources Conservation and Development Commission, planning commissioners, and members of the California Coastal Commission – one original with the agency, which shall make and retain a copy and forward the original to the Commission, which shall be the filing officer.

(h) Persons appointed to other state boards, commissions, or similar multimember bodies of the state—one original with the respective board, commission, or body. The original shall be handled as set forth in the Conflict of Interest Code of the respective board, commission, or body. If the board, commission, or body is not required by its Conflict of Interest Code to send the original to the Commission, it shall forward a copy to the Commission.

(i) Members of the Fair Political Practices Commission – one original with the Commission, which shall make and retain a copy and forward the original to the office of the Attorney General, which shall be the filing officer.

(j) Judges and court commissioners – one original with the clerk of the court, who shall make and retain a copy and forward the original to the Commission, which shall be the filing officer. Original statements of candidates for the office of judge shall be filed with the person with whom the candidate's declaration of candidacy is filed, who shall retain a copy and forward the original to the Commission, which shall be the filing officer.

(k) Except as provided for in subdivision (l), heads of agencies, members of boards or commissions not under a department of state government, and members of boards or commissions not under the jurisdiction of a local legislative body – one original with the agency, which shall make and retain a copy and forward the original to the code reviewing body, which shall be the filing officer. The code reviewing body may provide that the original be filed directly

with the code reviewing body and that no copy be retained by the agency.

(l) Heads of local government agencies and members of local government boards or commissions, for which the Fair Political Practices Commission is the code reviewing body – one original to the agency or board or commission, which shall be the filing officer, unless, at its discretion, the Fair Political Practices Commission elects to act as the filing officer. In this instance, the original shall be filed with the agency, board, or commission, which shall make and retain a copy and forward the original to the Fair Political Practices Commission.

(m) Designated employees of the Legislature – one original with the house of the Legislature by which the designated employee is employed. Each house of the Legislature may provide that the originals of statements filed by its designated employees be filed directly with the Commission, and that no copies be retained by that house.

(n) Designated employees under contract to more than one joint powers insurance agency and who elect to file a multiagency statement pursuant to Section 87350 – the original of the statement with the Commission, which shall be the filing officer, and, with each agency with which they are under contract, a statement declaring that their statement of economic interests is on file with the Commission and available upon request.

(o) Members of a state licensing or regulatory board, bureau, or commission – one original with the agency, which shall make and retain a copy and forward the original to the Commission, which shall be the filing officer.

(p) Persons not mentioned above – one original with the agency or with the code reviewing body, as provided by the code reviewing body in the agency's conflict of interest code.

History: Added by Stats. 1979, Ch. 674; amended by Stats. 1983, Ch. 214; amended by Stats. 1984, Ch. 1368; amended by Stats. 1985, Ch. 611; amended by Stats. 1988, Ch. 708; amended by Stats. 1990, Ch. 69; amended by Stats. 1992, Ch. 405; amended by Stats. 1993, Ch. 1140; amended by Stats. 1996, Ch. 289; amended by Stats. 2005, Ch. 200; amended by Stats. 2007, Ch. 348; amended by Stats. 2011, Ch. 252.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18115  
2 Cal. Code of Regs. Section 18227  
2 Cal. Code of Regs. Section 18732.5  
2 Cal. Code of Regs. Section 18735.5  
2 Cal. Code of Regs. Section 18753

#### **§ 87500.1. Statements of Economic Interests – Electronic Filing; Pilot Program.**

(a) The Counties of Los Angeles, Merced, Orange, Santa Clara, Stanislaus, and Ventura and the

City of Long Beach may permit the electronic filing of a statement of economic interests required by Article 3 (commencing with Section 87300) in accordance with regulations adopted by the Commission. Each participating county shall use the standard form for electronic filing found online, as required by the Commission.

(b) A public official subject to Article 2 (commencing with Section 87200) shall not participate in the pilot program.

(c) A statement filed electronically shall include an electronic transmission that is submitted under penalty of perjury and that conforms to subdivision (b) of Section 1633.11 of the Civil Code.

(d)(1) The filing officer shall issue to a person who electronically files his or her statement of economic interests or amendment electronic confirmation that notifies the filer that his or her statement of economic interests or amendment was received. The confirmation shall include the date and the time that the statement of economic interests or amendment was received by the filing officer and the method by which the filer may view and print the data received by the filing officer.

(2) A paper copy retained by the filer of a statement of economic interests or amendment that was electronically filed and the confirmation issued pursuant to paragraph (1) that shows that the filer timely filed his or her statement of economic interests or amendment shall create a rebuttable presumption that the filer filed his or her statement of economic interests or amendment on time.

(e) The filing officer shall utilize a system that includes firewalls, data encryption, secure authentication, and all necessary hardware and software and industry best practices to ensure that the security and integrity of the data and information contained in the statement of economic interests are not jeopardized or compromised.

(f) The filing officer shall provide the public with a copy of an official's statement of economic interests upon request, in accordance with Section 81008. The paper copy of the electronically filed statement of economic interests shall be identical to the statement of economic interests published by the Commission and shall include the date that the statement was filed.

(g)(1) The pilot program shall commence on or after January 1, 2009, and shall be completed by December 31, 2012. The pilot program shall include the reporting periods of 2008 through 2011. A city or county participating in the pilot program shall submit a report to the Commission not later than July 1, 2011. The report shall include the following:



(A) A listing and estimate of associated operational efficiencies and related savings.

(B) A listing and estimate of associated costs from implementing and operating the pilot program.

(C) A listing of safety, security, or privacy issues encountered and explanation of how those issues were addressed.

(D) Available information relating to feedback from electronic filing participants.

(E) Any other relevant information on the implementation of the pilot program.

(2) The Commission shall transmit the city and county reports received, as well as any comments on the reports, to the Legislative Analyst's Office not later than August 15, 2011. The Legislative Analyst's Office shall provide a report to the Legislature evaluating the pilot program not later than February 1, 2012.

(h) The Commission, in conjunction with the Legislative Analyst's Office, may develop additional criteria for the report to be submitted to the Commission by participating city and counties pursuant to paragraph (1) of subdivision (g).

(i) This section shall remain in effect until December 31, 2012, and as of that date is repealed, unless a later enacted statute, which is enacted before December 31, 2012, deletes or extends that date.

History: Added by Stats. 2008, Ch. 498; amended by Stats. 2009, Ch. 139; amended by Stats. 2010, Ch. 58; amended by Stats. 2011, Ch. 96.

#### **§ 87500.2. Statements of Economic Interests – Electronic Filing.**

(a) An agency may permit the electronic filing of a statement of economic interests required by Article 2 (commencing with Section 87200) or Article 3 (commencing with Section 87300), including amendments, in accordance with regulations adopted by the Commission.

(b) In consultation with interested agencies, the Commission shall use common database integration features in developing database design requirements for all electronic filings that may be used.

(c)(1) An agency that intends to permit electronic filing of a statement of economic interests shall submit a proposal, which shall include a description of the electronic filing system that the agency proposes to use, to the Commission for approval and certification. An agency that submits a proposal shall include a fee of one thousand dollars (\$1,000) that is payable to the Commission for the costs of approving and certifying the proposal. However, the Counties of Los Angeles, Orange, Santa Clara, and Ventura and the City of Long Beach, which participated in the pilot program pursuant to Section 87500.1, shall not be required to

pay the one thousand dollar (\$1,000) fee.

(2) An agency shall not charge a person to electronically file a statement of economic interests.

(3) The Commission shall review an agency's proposal for compliance with the system requirement regulations adopted pursuant to subdivisions (a) and (b) and the requirements of subdivision (d). If the proposed system complies with these requirements, the Commission shall approve and certify the agency's electronic filing system as soon as practicable after receiving the agency's submitted proposal.

(d) An agency's proposed electronic filing system shall meet the following requirements:

(1) A statement of economic interests filed electronically shall include an electronic transmission that is submitted under penalty of perjury and that conforms to subdivision (b) of Section 1633.11 of the Civil Code.

(2)(A) The agency's filing officer shall issue to a person who electronically files his or her statement of economic interests or amendment an electronic confirmation that notifies the filer that his or her statement of economic interests or amendment was received. The confirmation shall include the date and the time that the statement of economic interests or amendment was received by the filing officer and the method by which the filer may view and print the data received by the filing officer.

(B) A copy retained by the filer of a statement of economic interests or amendment that was electronically filed and the confirmation issued pursuant to subparagraph (A) that shows that the filer timely filed his or her statement of economic interests or amendment shall create a rebuttable presumption that the filer timely filed his or her statement of economic interests or amendment.

(3) The agency shall utilize an electronic filing system that includes layered security to ensure data integrity. The system shall have the capability to uniquely identify a filer electronically when he or she accesses the electronic filing system. The operational process for the system shall include industry best practices to ensure that the security and integrity of the data and information contained in the statement of economic interests are not jeopardized or compromised.

(4) The agency shall provide the public with a copy of an official's statement of economic interests upon request, in accordance with Section 81008. The copy of the electronically filed statement of economic interests shall be identical to the statement of economic interests published by the Commission and shall include the date that the statement was filed.

(e) The Commission may adopt regulations to

require that an agency redact information on a statement of economic interests prior to posting the statement of economic interests on the Internet.

(f) The Commission may conduct discretionary audits of an agency's approved and certified electronic filing system to evaluate its performance and compliance with the requirements of this section.

(g) The Commission shall accept an electronic copy of a statement of economic interests that is forwarded to it by an agency that has received an electronically filed statement from a filer pursuant to this section.

(h) A city or county that developed an electronic filing system pursuant to the pilot program established by Section 87500.1 may continue to use that system for purposes of this section, including, but not limited to, the time during which the Commission is adopting the regulations required by this section. However, after the Commission's regulations take effect, the city or county shall submit a description of its electronic filing system to the Commission for approval and certification, within a reasonable time to be determined by the Commission. A city or county shall not continue to use an electronic filing system originally developed for purposes of Section 87500.1 if the Commission does not approve and certify that electronic filing system as complying with the requirements of the Commission's regulations and the other requirements of this section.

History: Added by Stats. 2012, Ch. 500, effective September 24, 2012.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18756

### **§ 87500.3. Statements of Economic Interests – Development of Electronic Filing System for the Commission.**

(a) The Commission may develop and operate an online system for filing statements of economic interests required by Article 2 (commencing with Section 87200) and Article 3 (commencing with Section 87300). Consistent with Section 87500.4, the online system shall enable a filer to comply with the requirements of this chapter relating to the filing of statements of economic interests and shall include, but not be limited to, both of the following:

(1) A means or method whereby a filer may electronically file, free of charge, a statement of economic interests that includes an electronic transmission that is submitted under penalty of perjury in conformity with Section 81004 of this code and subdivision (b) of Section 1633.11 of the Civil Code.

(2) Security safeguards that include firewalls, data encryption, secure authentication, and all

necessary hardware and software and industry best practices to ensure that the security and integrity of the data and information contained in each statement of economic interests are not jeopardized or compromised.

(b)(1) A system developed pursuant to subdivision (a) shall issue to a person who electronically files his or her statement of economic interests, or an amendment to a statement of economic interests, an electronic confirmation that notifies the filer that his or her statement of economic interests or amendment was received. The confirmation shall include the date and the time that the statement of economic interests or amendment was received and the method by which the filer may view and print the data received.

(2) A paper copy retained by the filer of a statement of economic interests or amendment that was electronically filed and the confirmation issued pursuant to paragraph (1) that shows that the filer timely filed his or her statement of economic interests or amendment shall create a rebuttable presumption that the filer filed his or her statement of economic interests or amendment on time.

(c) If the Commission develops an online system pursuant to subdivision (a), it shall conduct public hearings to receive input on the implementation of that system, maintain ongoing coordination among affected state and local agencies as necessary, and develop training and assistance programs for state and local filing officers and filers regarding use of the online system for filing statements of economic interests.

(d)(1) Except as provided in paragraph (2), the Commission may make all the data filed on a system developed pursuant to subdivision (a) available on the Commission's Internet Web site in an easily understood format that provides the greatest public access, and shall provide assistance to those seeking public access to the information.

(2) The Commission shall redact private information, including, but not limited to, the signatures of filers, from the data that is made available on the Internet pursuant to this subdivision. The Commission shall develop and implement a policy regarding redaction of private information for the purposes of this paragraph, and shall conduct one or more public hearings to receive input on the development of that policy.

History: Added by Stats. 2013, Ch. 643, effective October 8, 2013.

**§ 87500.4. Statements of Economic Interests – Specifying Persons Authorized to File Electronically with the Commission.**

(a) If the Commission establishes an online system pursuant to Section 87500.3, the Commission shall specify which categories of persons described in Section 87500 may file statements of economic interests electronically through the online system established by the Commission.

(b)(1) If the Commission, pursuant to subdivision (a), specifies that persons described in Section 87500 may file statements of economic interests electronically through the online system established by the Commission, the Commission, upon authorization by the filing officer designated by Section 87500, shall assume the duties of the filing officer for each filer within each category of filers authorized to file electronically through the online system, irrespective of whether the filer elects to file his or her statement of economic interests electronically or on paper with the Commission. A filing officer who does not authorize the Commission to assume his or her duties as described in this paragraph shall continue to perform the duties prescribed in Section 81010. The filing officer duties assumed by the Commission with respect to each filer in each authorized category shall include, but not be limited to, all of the following:

(A) Notifying the filer of his or her filing obligation.

(B) Receiving the filer's statement of economic interests.

(C) Ensuring compliance with filing requirements in the event the filer fails to file in a timely manner or is required to amend his or her statement of economic interests.

(D) Distributing to filing officers copies of the completed statement of economic interests of a person who is required by this chapter to file more than one statement of economic interests for each period, and who, despite being authorized to file the statement with the Commission electronically, elects to file the statement with the Commission using a paper form.

(2) If the Commission assumes the duties of a filing officer pursuant to this subdivision, the filing officer whose duties are assumed shall provide to the Commission, in a manner prescribed by the Commission, the name and contact information for each filer in the filing officer's jurisdiction.

(c) The Commission shall notify a filing officer who may be affected by a determination of the Commission pursuant to this section to authorize a category of filers to file electronically, no later than

six months before the implementation of that determination, in order to allow adequate preparation for implementation.

(d) A person who is required by this chapter to file more than one statement of economic interests for each reporting period and who files his or her statements of economic interests with the Commission electronically after being authorized to do so pursuant to Section 87500.3 is not required to file a statement of economic interests with any other person or agency. If a filer authorized to file electronically with the Commission files with the Commission on paper, the Commission shall distribute copies of the statement to any other filing officers pursuant to subparagraph (D) of paragraph (1) of subdivision (b).

(e)(1) After the Commission makes an initial determination pursuant to subdivision (a) regarding which categories of persons described in Section 87500 are permitted to file statements of economic interests electronically through the online system established by the Commission, the Commission may subsequently revise its determination at any time.

(2) In accordance with Section 87500.3, the Commission shall continue to conduct public hearings and receive input on the implementation of the online system, and that input shall inform any decision by the Commission to revise, pursuant to paragraph (1), its determination of which categories of persons described in Section 87500 are permitted to file statements of economic interests electronically through the online system established by the Commission.

History: Added by Stats. 2013, Ch. 643, effective October 8, 2013.

**§ 87505. Web Site Notification.**

Each city clerk or county clerk who maintains an Internet Web site shall post on that Internet Web site a notification that includes all of the following:

(a) A list of the elected officers identified in Section 87200 who file statements of economic interests with that city clerk or county clerk pursuant to Section 87500.

(b) A statement that copies of the statements of economic interests filed by the elected officers described in subdivision (a) may be obtained by visiting the offices of the Commission or that city clerk or county clerk, as appropriate. The statement shall include the physical address for the Commission's office and the city clerk's office or the county clerk's office, as appropriate.

(c) A link to the Commission's Internet Web site and a statement that statements of economic interests for some state and local government agency elected

officers may be available in an electronic format on the Commission's Internet Web site.

History: Added by Stats. 2012, Ch. 498.

## **Chapter 8. Ballot Pamphlet.**

### **§ 88000-88007**

- § 88000. Responsibility.
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#### **§ 88000. Responsibility.**

There shall be a state ballot which shall be prepared by the Secretary of State.

#### **§ 88001. Contents.**

The ballot pamphlet shall contain all of the following:

- (a) A complete copy of each state measure.
- (b) A copy of the specific constitutional or statutory provision, if any, that would be repealed or revised by each state measure.
- (c) A copy of the arguments and rebuttals for and against each state measure.
- (d) A copy of the analysis of each state measure.
- (e) Tables of contents, indexes, art work, graphics and other materials that the Secretary of State determines will make the ballot pamphlet easier to understand or more useful for the average voter.
- (f) A notice, conspicuously printed on the cover of the ballot pamphlet, indicating that additional copies of the ballot pamphlet will be mailed by the county elections official upon request.
- (g) A written explanation of the judicial retention procedure as required by Section 9083 of the Elections Code.
- (h) The Voter Bill of Rights pursuant to Section 2300 of the Elections Code.
- (i) If the ballot contains an election for the office of United States Senator, information on candidates for United States Senator. A candidate for United States Senator may purchase the space to place a statement in the state ballot pamphlet that does not exceed 250 words. The statement may not make any reference to any opponent of the candidate. The statement shall be submitted in accordance with timeframes and procedures set forth by the Secretary of State for the

preparation of the state ballot pamphlet.

(j) If the ballot contains a question as to the confirmation or retention of a justice of the Supreme Court, information on justices of the Supreme Court who are subject to confirmation or retention.

(k) If the ballot contains an election for the offices of President and Vice President of the United States, a notice that refers voters to the Secretary of State's Internet Web site for information about candidates for the offices of President and Vice President of the United States.

(l) A written explanation of the appropriate election procedures for party-nominated, voter-nominated, and nonpartisan offices as required by Section 9083.5 of the Elections Code.

(m) A written explanation of the top 10 contributor lists required by Section 84223, including a description of Internet Web sites where those lists are available to the public.

History: Amended by Stats. 1977, Ch. 520; amended by Stats. 1991, Ch. 491; amended by Stats. 1994, Ch. 923; amended by Stats. 2008, Ch. 137; amended by Stats. 2009, Ch. 1; amended by Stats. 2014, Ch. 16, effective July 1, 2014.

References at the time of publication (see page 3):

Opinions: In re Miller (1978) 4 FPPC Ops. 26  
In re Bunyan (1976) 2 FPPC Ops. 10

#### **§ 88002. Format.**

The ballot pamphlet shall contain as to each state measure to be voted upon, the following in the order set forth in this section:

(a) Upon the top portion of the first page and not exceeding one-third of the page shall appear:

- (1) The identification of the measure by number and title.
- (2) The official summary prepared by the Attorney General.
- (3) The total number of votes cast for and against the measure in both the State Senate and Assembly if the measure was passed by the Legislature.

(b) Beginning at the top of the right page shall appear the analysis prepared by the Legislative Analyst, provided that the analysis fits on single page. If it does not fit on a single page, then the analysis shall begin on the lower portion of the first left page and shall continue on subsequent pages until it is completed.

(c) Immediately below the analysis prepared by the Legislative Analyst shall appear a printed statement that refers voters to the Secretary of State's Internet Web site for a list of committees primarily formed to support or oppose a ballot measure, and information on how to access the committee's top 10 contributors.



(d) Arguments for and against the measure shall be placed on the next left and right pages, respectively, following the page on which the analysis of the Legislative Analyst ends. The rebuttals shall be placed immediately below the arguments.

(e) If no argument against the measure has been submitted, the argument for the measure shall appear on the right page facing the analysis.

(f) The complete text of each measure shall appear at the back of the pamphlet. The text of the measure shall contain the provisions of the proposed measure and the existing provisions of law repealed or revised by the measure. The provisions of the proposed measure differing from the existing provisions of law affected shall be distinguished in print, so as to facilitate comparison.

(g) The following statement shall be printed at the bottom of each page where arguments appear: "Arguments printed on this page are the opinions of the authors and have not been checked for accuracy by any official agency."

History: Amended by Stats. 1990, Ch. 1430; amended by Stats. 2014, Ch. 920.

#### **§ 88002.5. Summary.**

(a) The ballot pamphlet shall also contain a section, located near the front of the pamphlet, that provides a concise summary of the general meaning and effect of "yes" and "no" votes on each state measure.

(b) The summary statements required by this section shall be prepared by the Legislative Analyst. These statements are not intended to provide comprehensive information on each measure. The Legislative Analyst shall be solely responsible for determining the contents of these statements. The statements shall be available for public examination and amendment pursuant to Section 88006.

History: Added by Stats. 1993, Ch. 156; amended by Stats. 1999, Ch. 312.

#### **§ 88003. Duties of Legislative Analyst.**

The Legislative Analyst shall prepare an impartial analysis of the measure describing the measure and including a fiscal analysis of the measure showing the amount of any increase or decrease in revenue or cost to state or local government. Any estimate of increased cost to local governments shall be set out in boldface print in the ballot pamphlet. The analysis shall be written in clear and concise terms which will easily be understood by the average voter, and shall avoid the use of technical terms wherever possible. The analysis may contain background information,

including the effect of the measure on existing law and the effect of enacted legislation which will become effective if the measure is adopted, and shall generally set forth in an impartial manner the information which the average voter needs to understand the measure adequately. The Legislative Analyst may contract with professional writers, educational specialists or other persons for assistance in writing an analysis that fulfills the requirements of this section, including the requirement that the analysis be written so that it will be easily understood by the average voter. The Legislative Analyst may also request the assistance of any state department, agency, or official in preparing his or her analysis. Prior to submission of the analysis to the Secretary of State, the Legislative Analyst shall submit the analysis to a committee of five persons appointed by the Legislative analyst for the purpose of reviewing the analysis to confirm its clarity and easy comprehension to the average voter. The committee shall be drawn from the public at large, and one member shall be a specialist in education, one shall be bilingual, and one shall be a professional writer. Members of the committee shall be reimbursed for reasonable and necessary expenses incurred in performing their duties. Within five days of the submission of the analysis to the committee, the committee shall make such recommendations to the Legislative Analyst as it deems appropriate to guarantee that the analysis can be easily understood by the average voter. The Legislative Analyst shall consider the committee's recommendations, and he or she shall incorporate in the analysis those changes recommended by the committee that he or she deems to be appropriate. The Legislative Analyst is solely responsible for determining the content of the analysis required by this section. The title of the measure which appears on the ballot shall be amended to contain a summary of the Legislative Analyst's estimate of the net state and local government financial impact.

History: Amended by Stats. 1975, Ch. 486, effective September 2, 1975; amended by Stats. 1992, Ch. 232.

#### **§ 88004. Manner, Form of Printing Measures.**

Measures shall be printed in the ballot pamphlet, so far as possible, in the same order, manner and form in which they are designated upon the ballot.

#### **§ 88005. Printing Specifications.**

The ballot pamphlet shall be printed according to the following specifications:

(a) The pages of the pamphlet shall be not smaller than 8 x 11 inches in size;

(b) It shall be printed in clear readable type, no less than 10-point, except that the text of any measure may be set forth in 8-point type;

(c) It shall be printed on a quality and weight of paper which in the judgment of the Secretary of State best serves the voters;

(d) The pamphlet shall contain a certificate of correctness by the Secretary of State.

References at the time of publication (see page 3):

Opinions: In re Miller (1978) 4 FPPC Ops. 26.

#### **§ 88005.5. Duties of Legislative Counsel.**

The Legislative Counsel shall prepare and proofread the texts of all measures and the provisions which are repealed or revised.

#### **§ 88006. Public Examination of Pamphlet.**

Not less than 20 days before he or she submits the copy for the ballot pamphlet to the State Printer, the Secretary of State shall make the copy available for public examination. Any elector may seek a writ of mandate requiring the copy to be amended or deleted from the ballot pamphlet. A peremptory writ of mandate shall issue only upon clear and convincing proof that the copy in question is false, misleading or inconsistent with the requirements of this chapter or the Elections Code, and that issuance of the writ will not substantially interfere with the printing and distribution of the ballot pamphlet as required by law. Venue for a proceeding under this section shall be exclusively in Sacramento County. The Secretary of State shall be named as the respondent and the State Printer and the person or official who authored the copy in question shall be named as real parties in interest. If the proceeding is initiated by the Secretary of State, the State Printer shall be named as the respondent.

History: Amended by Stats. 1996, Ch. 724.

#### **§ 88007. Amendment of Chapter by Legislature.**

Notwithstanding the provisions of Section 81012, the Legislature may without restriction amend this chapter to add to the ballot pamphlet information regarding candidates or any other information.

### **Chapter 9. Incumbency.**

#### **§ 89000-89001**

§ 89000. Order of Names on Ballot.

§ 89001. Newsletter or Mass Mailing.

#### **§ 89000. Order of Names on Ballot.**

Any provision of law to the contrary notwithstanding, the order of names of candidates on

the ballot in every election shall be determined without regard to whether the candidate is an incumbent.

#### **§ 89001. Newsletter or Mass Mailing.**

No newsletter or other mass mailing shall be sent at public expense.

History: Amended by Stats. 1986, Ch. 654; amended by Stats. 1987, Ch. 230; amended by Prop. 73 of the June 1988 statewide primary election, effective June 8, 1988.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18901  
2 Cal. Code of Regs. Section 18901.1

Opinions: In re Miller (1978) 4 FPPC Ops. 26

### **Chapter 9.5. Ethics.**

#### **§ 89500-89522**

- Article 1. Honoraria. § 89500 - 89503.5  
2. Gifts. § 89504 - 89505.5  
3. Travel. § 89506 - 89507  
4. Campaign Funds. § 89510 - 89522

#### **Article 1. Honoraria.**

##### **§ 89500-89503.5**

- § 89500. Chapter Title.  
§ 89501. Statements of Economic Interests - Where to File; Regulatory or Licensing Boards, Bureaus or Commissions.  
§ 89501. Honoraria.  
§ 89502. Honorarium.  
§ 89503. Gift Limits.  
§ 89503.5. Operation of Article. [Repealed]

#### **§ 89500. Chapter Title.**

This chapter shall be known and may be cited as the Ethics in Government Act of 1990.

History: Added by Stats. 1990, Ch. 84.

#### **§ 89501. Statements of Economic Interests - Where to File; Regulatory or Licensing Boards, Bureaus or Commissions.**

History: Added by Stats. 1991, Ch. 857; repealed and renumbered § 87500(n), Stats. 1992, Ch. 405.

#### **§ 89501. Honoraria.**

(a) For purposes of this chapter, "honorarium" means, except as provided in subdivision (b), any payment made in consideration for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering.

(b) The term "honorarium" does not include:

(1) Earned income for personal services which are customarily provided in connection with the

practice of a bona fide business, trade, or profession, such as teaching, practicing law, medicine, insurance, real estate, banking, or building contracting, unless the sole or predominant activity of the business, trade, or profession is making speeches. The Commission shall adopt regulations to implement this subdivision.

(2) Any honorarium which is not used and, within 30 days after receipt, is either returned to the donor or delivered to the State Controller for donation to the General Fund, or in the case of a public official for local government agency, delivered to his or her agency for donation to an equivalent fund, without being claimed as a deduction from income for tax purposes.

(c) Section 89506 shall apply to all payments, advances, or reimbursements for travel and related lodging and subsistence.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1994, Ch. 36; amended by Stats. 1994, Ch. 1105; repealed and new section added by Stats. 1995, Ch. 690.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18730  
 2 Cal. Code of Regs. Section 18930  
 2 Cal. Code of Regs. Section 18931.1  
 2 Cal. Code of Regs. Section 18931.2  
 2 Cal. Code of Regs. Section 18931.3  
 2 Cal. Code of Regs. Section 18932  
 2 Cal. Code of Regs. Section 18932.1  
 2 Cal. Code of Regs. Section 18932.2  
 2 Cal. Code of Regs. Section 18932.3  
 2 Cal. Code of Regs. Section 18932.4  
 2 Cal. Code of Regs. Section 18932.5  
 2 Cal. Code of Regs. Section 18933  
 2 Cal. Code of Regs. Section 18940  
 2 Cal. Code of Regs. Section 18944  
 2 Cal. Code of Regs. Section 18945.1  
 2 Cal. Code of Regs. Section 18946.2  
 2 Cal. Code of Regs. Section 18946.5  
 2 Cal. Code of Regs. Section 18946.6  
 2 Cal. Code of Regs. Section 18950  
 2 Cal. Code of Regs. Section 18950.1  
 2 Cal. Code of Regs. Section 18950.2

#### **§ 89502. Honorarium.**

(a) No elected state officer, elected officer of a local government agency, or other individual specified in Section 87200 shall accept any honorarium.

(b) (1) No candidate for elective state office, for judicial office, or for elective office in a local government agency shall accept any honorarium. A person shall be deemed a candidate for purposes of this subdivision when the person has filed a statement of organization as a committee for election to a state or local office, a declaration of intent, or a declaration of candidacy, whichever occurs first. A person shall not be deemed a candidate for purposes of this subdivision after he or she is sworn into the elective office, or, if

the person lost the election after the person has terminated his or her campaign statement filing obligations for that office pursuant to Section 84214 or after certification of the election results, whichever is earlier.

(2) Paragraph (1) shall not apply to any person who is a candidate as described in paragraph (1) for judicial office on or before December 31, 1996.

(c) No member of a state board or commission and no designated employee of a state or local government agency shall accept an honorarium from any source if the member or employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests.

(d) This section shall not apply to a person in his or her capacity as judge. This section shall not apply to a person in his or her capacity as a part-time member of the governing board of any public institution of higher education unless that position is an elective office.

History: Added by Stats. 1990, Ch. 84; repealed and new section added by Stats. 1995, Ch. 690; amended by Stats. 1996, Ch. 1056.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18730  
 2 Cal. Code of Regs. Section 18736  
 2 Cal. Code of Regs. Section 18930  
 2 Cal. Code of Regs. Section 18931.1  
 2 Cal. Code of Regs. Section 18931.2  
 2 Cal. Code of Regs. Section 18931.3  
 2 Cal. Code of Regs. Section 18932  
 2 Cal. Code of Regs. Section 18932.1  
 2 Cal. Code of Regs. Section 18932.2  
 2 Cal. Code of Regs. Section 18932.3  
 2 Cal. Code of Regs. Section 18932.4  
 2 Cal. Code of Regs. Section 18932.5  
 2 Cal. Code of Regs. Section 18933  
 2 Cal. Code of Regs. Section 18940  
 2 Cal. Code of Regs. Section 18944  
 2 Cal. Code of Regs. Section 18945.1  
 2 Cal. Code of Regs. Section 18946.2  
 2 Cal. Code of Regs. Section 18946.5  
 2 Cal. Code of Regs. Section 18946.6  
 2 Cal. Code of Regs. Section 18950  
 2 Cal. Code of Regs. Section 18950.1  
 2 Cal. Code of Regs. Section 18950.2

#### **§ 89503. Gift Limits.**

(a) No elected state officer, elected officer of a local government agency, or other individual specified in Section 87200 shall accept gifts from any single source in any calendar year with a total value of more than two hundred fifty dollars (\$250).

(b) (1) No candidate for elective state office, for judicial office, or for elective office in a local government agency shall accept gifts from any single source in any calendar year with a total value of more

than two hundred fifty dollars (\$250). A person shall be deemed a candidate for purposes of this subdivision when the person has filed a statement of organization as a committee for election to a state or local office, a declaration of intent, or a declaration of candidacy, whichever occurs first. A person shall not be deemed a candidate for purposes of this subdivision after he or she is sworn into the elective office, or, if the person lost the election, after the person has terminated his or her campaign statement filing obligations for that office pursuant to Section 84214 or after certification of the election results, whichever is earlier.

(2) Paragraph (1) shall not apply to any person who is a candidate as described in paragraph (1) for judicial office on or before December 31, 1996.

(c) No member of a state board or commission or designated employee of a state or local government agency shall accept gifts from any single source in any calendar year with a total value of more than two hundred fifty (\$250) if the member or employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests.

(d) This section shall not apply to a person in his or her capacity as judge. This section shall not apply to a person in his or her capacity as a part-time member of the governing board of any public institution of higher education unless that position is an elective office.

(e) This section shall not prohibit or limit the following:

(1) Payments, advances, or reimbursements for travel and related lodging and subsistence permitted by Section 89506.

(2) Wedding gifts and gifts exchanged between individuals on birthdays, holidays, and other similar occasions, provided that the gifts exchanged are not substantially disproportionate in value.

(f) Beginning on January 1, 1993, the Commission shall adjust the gift limitation in this section on January 1 of each odd-numbered year to reflect changes in the Consumer Price Index, rounded to the nearest ten dollars (\$10).

(g) The limitations in this section are in addition to the limitations on gifts in Section 86203.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1993, Ch. 769; repealed and new section added by Stats. 1995, Ch. 690; amended by Stats. 1996, Ch. 1056.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18730  
2 Cal. Code of Regs. Section 18730.1  
2 Cal. Code of Regs. Section 18736  
2 Cal. Code of Regs. Section 18932.4  
2 Cal. Code of Regs. Section 18940  
2 Cal. Code of Regs. Section 18940.2

2 Cal. Code of Regs. Section 18941  
2 Cal. Code of Regs. Section 18942  
2 Cal. Code of Regs. Section 18942.1  
2 Cal. Code of Regs. Section 18942.2  
2 Cal. Code of Regs. Section 18942.3  
2 Cal. Code of Regs. Section 18944  
2 Cal. Code of Regs. Section 18945  
2 Cal. Code of Regs. Section 18945.1  
2 Cal. Code of Regs. Section 18946  
2 Cal. Code of Regs. Section 18946.2  
2 Cal. Code of Regs. Section 18946.4  
2 Cal. Code of Regs. Section 18946.5  
2 Cal. Code of Regs. Section 18946.6  
2 Cal. Code of Regs. Section 18950  
2 Cal. Code of Regs. Section 18950.1  
2 Cal. Code of Regs. Section 18950.2

Opinions: In re Solis (2000) 14 FPPC Ops. 7

### **§ 89503.5. Operation of Article. [Repealed]**

History: Added by Stats. 1990, Ch. 84; repealed by Stats. 1991, Ch. 857.

## **Article 2. Gifts.**

### **§ 89504-89505.5**

§ 89504. Gifts; Limitations. [Repealed]

§ 89505. Gifts; Prohibitions. [Repealed]

§ 89505.5. Operation of Article. [Repealed]

### **§ 89504. Gifts; Limitations. [Repealed]**

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1994, Ch. 1105; repealed by Stats. 1995, Ch. 690.

### **§ 89505. Gifts; Prohibitions. [Repealed]**

History: Added by Stats. 1990, Ch. 84; repealed by Stats. 1995, Ch. 690.

### **§ 89505.5. Operation of Article. [Repealed]**

History: Added by Stats. 1990, Ch. 84; repealed by Stats. 1991, Ch. 857.

## **Article 3. Travel.**

### **§ 89506 - 89507**

§ 89506. Travel Payments, Advances and Reimbursements.

§ 89507. Operation of Article. [Repealed]

### **§ 89506. Travel Payments, Advances and Reimbursements.**

(a) Payments, advances, or reimbursements for travel, including actual transportation and related lodging and subsistence that is reasonably related to a legislative or governmental purpose, or to an issue of state, national, or international public policy, are not prohibited or limited by this chapter if either of the following applies:

(1) The travel is in connection with a speech given by the elected state officer, local elected officeholder, candidate for elective state office or local elective office, an individual specified in Section 87200, member of a state board or



commission, or designated employee of a state or local government agency, the lodging and subsistence expenses are limited to the day immediately preceding, the day of, and the day immediately following the speech, and the travel is within the United States.

(2) The travel is provided by a government, a governmental agency, a foreign government, a governmental authority, a bona fide public or private educational institution, as defined in Section 203 of the Revenue and Taxation Code, a nonprofit organization that is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code, or by a person domiciled outside the United States who substantially satisfies the requirements for tax-exempt status under Section 501(c)(3) of the Internal Revenue Code.

(b) Gifts of travel not described in subdivision (a) are subject to the limits in Section 89503.

(c) Subdivision (a) applies only to travel that is reported on the recipient's statement of economic interests.

(d) For purposes of this section, a gift of travel does not include any of the following:

(1) Travel that is paid for from campaign funds, as permitted by Article 4 (commencing with Section 89510), or that is a contribution.

(2) Travel that is provided by the agency of a local elected officeholder, an elected state officer, member of a state board or commission, an individual specified in Section 87200, or a designated employee.

(3) Travel that is reasonably necessary in connection with a bona fide business, trade, or profession and that satisfies the criteria for federal income tax deduction for business expenses in Sections 162 and 274 of the Internal Revenue Code, unless the sole or predominant activity of the business, trade, or profession is making speeches.

(4) Travel that is excluded from the definition of a gift by any other provision of this title.

(e) This section does not apply to payments, advances, or reimbursements for travel and related lodging and subsistence permitted or limited by Section 170.9 of the Code of Civil Procedure.

(f) (1) A nonprofit organization that regularly organizes and hosts travel for elected officials and that makes payments, advances, or reimbursements that total more than ten thousand dollars (\$10,000) in a calendar year, or that total more than five thousand dollars (\$5,000) in a calendar year for a single person, for travel by an elected state officer or local elected officeholder as described in subdivision (a) shall disclose to the Commission the names of donors who did both of the following in the preceding year:

(A) Donated one thousand dollars (\$1,000) or more to the nonprofit organization.

(B) Accompanied an elected state officer or local elected officeholder, either personally or through an agent, employee, or representative, for any portion of travel described in subdivision (a).

(2) For purposes of this subdivision, an organization "regularly organizes and hosts travel for elected officials" if the sum of the organization's expenses that relate to any of the following types of activities with regard to elected officials was greater than one-third of its total expenses reflected on the organization's Internal Revenue Service Form 990, or the equivalent, filed most recently within the last 12 months:

(A) Travel.

(B) Study tours.

(C) Conferences, conventions, and meetings.

(3) This subdivision does not preclude a finding that a nonprofit organization is acting as an intermediary or agent of the donor. If the nonprofit organization is acting as an intermediary or agent of the donor, all of the following apply:

(A) The donor to the nonprofit organization is the source of the gift.

(B) The donor shall be identified as a financial interest under Section 87103.

(C) The gift shall be reported as required by Section 87207.

(D) The gift shall be subject to the limitations on gifts specified in Section 89503.

(4) For purposes of this subdivision, a nonprofit organization includes an organization that is exempt from taxation under Section 501(c)(3) or Section 501(c)(4) of the Internal Revenue Code.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 674; amended by Stats. 1994, Ch. 1105; amended by Stats. 1995, Ch. 690; amended by Stats. 1997, Ch. 455, effective September 24, 1997; amended by Stats. 2015, Ch. 757, effective January 1, 2016.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18930  
 2 Cal. Code of Regs. Section 18931.1  
 2 Cal. Code of Regs. Section 18931.2  
 2 Cal. Code of Regs. Section 18931.3  
 2 Cal. Code of Regs. Section 18932  
 2 Cal. Code of Regs. Section 18932.1  
 2 Cal. Code of Regs. Section 18932.2  
 2 Cal. Code of Regs. Section 18932.3  
 2 Cal. Code of Regs. Section 18932.4  
 2 Cal. Code of Regs. Section 18932.5  
 2 Cal. Code of Regs. Section 18933  
 2 Cal. Code of Regs. Section 18940  
 2 Cal. Code of Regs. Section 18940.2  
 2 Cal. Code of Regs. Section 18944  
 2 Cal. Code of Regs. Section 18945.1  
 2 Cal. Code of Regs. Section 18946.2  
 2 Cal. Code of Regs. Section 18946.5

2 Cal. Code of Regs. Section 18946.6  
 2 Cal. Code of Regs. Section 18950  
 2 Cal. Code of Regs. Section 18950.1  
 2 Cal. Code of Regs. Section 18950.2

**§ 89507. Operation of Article. [Repealed]**

History: Added by Stats. 1990, Ch. 84; Repealed by Stats. 1991, Ch. 1271.

**Article 4. Campaign Funds.**  
**§ 89510 - 89522**

- § 89510. Contributions Held in Trust.
- § 89511. Campaign Funds Held by Candidates and Committees.
- § 89511.5. Use of Personal Funds for Incumbent Elected Officers.
- § 89512. Expenditures Associated with Seeking or Holding Office.
- § 89512.5. Expenditures by Committees not Controlled by Candidates.
- § 89513. Use of Campaign Funds for Specific Activities.
- § 89514. Use of Campaign Funds for Attorney's Fees.
- § 89515. Use of Campaign Funds for Donations and Loans.
- § 89516. Use of Campaign Funds for Vehicle Expenses.
- § 89517. Use of Campaign Funds for Real Property, Appliances or Equipment.
- § 89517.5. Use of Campaign Funds for Security System.
- § 89518. Use of Campaign Funds for Compensation.
- § 89519. Use of Surplus Campaign Funds.
- § 89519.5. Use of Campaign Funds Held by an Officeholder Convicted of Certain Felonies of the Elections Code.
- § 89520. Violations.
- § 89521. Unlawful Honorarium, Gift or Expenditure.
- § 89522. Campaign Funds; Prohibited Use Under Elections Code.

**§ 89510. Contributions Held in Trust.**

(a) A candidate for elective state office may only accept contributions within the limits provided in Chapter 5 (commencing with Section 85100).

(b) All contributions deposited into the campaign account shall be deemed to be held in trust for expenses associated with the election of the candidate or for expenses associated with holding office.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2001, Ch. 241, effective September 4, 2001.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.7

**§ 89511. Campaign Funds Held by Candidates and Committees.**

(a) This article applies to campaign funds held by candidates for elective office, elected officers, controlled committees, ballot measure committees, committees opposed to a candidate or measure, and any committee which qualifies as a committee pursuant to subdivision (a) of Section 82013.

(b) (1) For purposes of this chapter, "campaign funds" includes any contributions, cash, cash equivalents, and other assets received or possessed by a committee as defined by subdivision (a) of Section 82013.

(2) For purposes of this chapter, "committee" means a controlled committee, ballot measure committee, committee opposed to a candidate or measure, and any committee which qualifies as a committee pursuant to subdivision (a) of Section 82013.

(3) For purposes of this chapter, "substantial personal benefit" means an expenditure of campaign funds which results in a direct personal benefit with a value of more than two hundred dollars (\$200) to a candidate, elected officer, or any individual or individuals with authority to approve the expenditure of campaign funds held by a committee.

(4) For purposes of this article, "household" includes the candidate's or elected officer's spouse, dependent children, and parents who reside with the candidate or elected officer.

(5) (A) For purposes of this article, "attorney's fees and other costs" includes only the following:

(i) Attorney's fees and other legal costs related to the defense of the candidate or officer.

(ii) Administrative costs directly related to compliance with the requirements of this title.

(B) "Attorney's fees and other costs" does not include expenses for fundraising, media or political consulting fees, mass mailing or other advertising, or, except as expressly authorized by subdivision (c) of Section 89513, a payment or reimbursement for a fine, penalty, judgment or settlement, or a payment to return or disgorge contributions made to any other committee controlled by the candidate or officer.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 546; amended by Stats. 2000, Ch. 130; amended by Stats. 2014, Ch. 884.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229  
 2 Cal. Code of Regs. Section 18229.1  
 2 Cal. Code of Regs. Section 18421.7  
 2 Cal. Code of Regs. Section 18960

Opinions: In re Roberts (2004) 17 FPPC Ops. 9

**§ 89511.5. Use of Personal Funds for Incumbent Elected Officers.**

(a) An incumbent elected officer may utilize his or her personal funds for expenditures authorized by subdivision (b) of Section 89510 without first depositing those funds in his or her controlled committee's campaign bank account, if both of the following conditions are met:

(1) The expenditures are not campaign expenses.

(2) The treasurer of the committee is provided with a dated receipt and a written description of the expenditure.

(b) An incumbent elected officer may be reimbursed for expenditures of his or her personal funds, from either the controlled committee campaign bank account established pursuant to Section 85201 with respect to election to the incumbent term of office, or from a controlled committee campaign bank account established pursuant to Section 85201 with respect to election to a future term of office, if all of the following conditions are met:

(1) The expenditures are not campaign expenses.

(2) The incumbent elected officer, prior to reimbursement, provides the treasurer of the committee with a dated receipt and a written description of each expenditure.

(3) Reimbursement is paid within 90 days of the expenditure, in the case of a cash expenditure, or within 90 days of the end of the billing period in which it was included, in the case of an expenditure charged to a credit card or charge account.

(c) When the elected officer's controlled committee is notified that expenditures totaling one hundred dollars (\$100) or more in a fiscal year have been made by the incumbent elected officer, the committee shall report, pursuant to subdivision (k) of Section 84211, the expenditures on the campaign statement for the period in which the expenditures were made and the reimbursements on the campaign statement for the period in which the reimbursements were made.

(d) If reimbursement is not paid within the time authorized by this section, the expenditure shall be reported on the campaign statement as a nonmonetary contribution received on the 90th day after the expenditure is paid, in the case of a cash expenditure, or within 90 days of the end of the billing period in which it was included, in the case of an expenditure charged to a credit card or charge account.

(e) This section shall not be construed to authorize an incumbent elected officer to make expenditures from any campaign bank account for

expenses other than those expenses associated with his or her election to the specific office for which the account was established and expenses associated with holding that office.

History: Added by Stats. 1990, Ch. 1075; amended by Stats. 2007, Ch. 348.

**§ 89512. Expenditures Associated with Seeking or Holding Office.**

(a) An expenditure to seek office is within the lawful execution of the trust imposed by Section 89510 if it is reasonably related to a political purpose. An expenditure associated with holding office is within the lawful execution of the trust imposed by Section 89510 if it is reasonably related to a legislative or governmental purpose. Expenditures which confer a substantial personal benefit shall be directly related to a political, legislative, or governmental purpose.

(b) Except as expressly authorized by this article, an expenditure for a fine, penalty, judgment, or settlement is not within the lawful execution of the trust imposed by Section 89510.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 2014, Ch. 884..

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18421.7

**§ 89512.5. Expenditures by Committees not Controlled by Candidates.**

(a) Subject to the provisions of subdivision (b), any expenditure by a committee not subject to the trust imposed by subdivision (b) of Section 89510 shall be reasonably related to a political, legislative, or governmental purpose of the committee.

(b) Any expenditure by a committee that confers a substantial personal benefit on any individual or individuals with authority to approve the expenditure of campaign funds held by the committee, shall be directly related to a political, legislative, or governmental purpose of the committee.

History: Added by Stats. 1991, Ch. 546.

**§ 89513. Use of Campaign Funds for Specific Activities.**

This section governs the use of campaign funds for the specific expenditures set forth in this section. It is the intent of the Legislature that this section guide the interpretation of the standard imposed by Section 89512 as applied to other expenditures not specifically set forth in this section.

(a)(1) Campaign funds shall not be used to pay or reimburse the candidate, the elected officer, or any individual or individuals with authority to approve the expenditure of campaign funds held by a committee,

or employees or staff of the committee, or the elected officer's governmental agency for travel expenses and necessary accommodations except when these expenditures are directly related to a political, legislative, or governmental purpose.

(2) For the purposes of this section, payments or reimbursements for travel and necessary accommodations shall be considered as directly related to a political, legislative, or governmental purpose if the payments would meet standards similar to the standards of the Internal Revenue Service pursuant to Sections 162 and 274 of the Internal Revenue Code for deductions of travel expenses under the federal income tax law.

(3) For the purposes of this section, payments or reimbursement for travel by the household of a candidate or elected officer when traveling to the same destination in order to accompany the candidate or elected officer shall be considered for the same purpose as the candidate's or elected officer's travel.

(4) Whenever campaign funds are used to pay or reimburse a candidate, elected officer, his or her representative, or a member of the candidate's household for travel expenses and necessary accommodations, the expenditure shall be reported as required by Section 84211.

(5) Whenever campaign funds are used to pay or reimburse for travel expenses and necessary accommodations, any mileage credit that is earned or awarded pursuant to an airline bonus mileage program shall be deemed personally earned by or awarded to the individual traveler. Neither the earning or awarding of mileage credit, nor the redeeming of credit for actual travel, shall be subject to reporting pursuant to Section 84211.

(b)(1) Campaign funds shall not be used to pay for or reimburse the cost of professional services unless the services are directly related to a political, legislative, or governmental purpose.

(2) Expenditures by a committee to pay for professional services reasonably required by the committee to assist it in the performance of its administrative functions are directly related to a political, legislative, or governmental purpose.

(3) Campaign funds shall not be used to pay health-related expenses for a candidate, elected officer, or any individual or individuals with authority to approve the expenditure of campaign funds held by a committee, or members of his or her household. "Health-related expenses" includes, but is not limited to, examinations by physicians, dentists, psychiatrists, psychologists, or counselors, expenses for medications, treatments or medical equipment, and expenses for hospitalization, health club dues, and

special dietary foods. However, campaign funds may be used to pay employer costs of health care benefits of a bona fide employee or independent contractor of the committee.

(c)(1) Campaign funds shall not be used to pay or reimburse fines, penalties, judgments, or settlements, except those resulting from either of the following:

(A) Parking citations incurred in the performance of an activity that was directly related to a political, legislative, or governmental purpose.

(B) Any other action for which payment of attorney's fees from contributions would be permitted pursuant to this title. However, campaign funds shall not be used to pay a fine, penalty, judgment, or settlement relating to an expenditure of campaign funds that resulted in either of the following:

(i) A personal benefit to the candidate or officer if it is determined that the expenditure was not reasonably related to a political, legislative, or governmental purpose.

(ii) A substantial personal benefit to the candidate or officer if it is determined that the expenditure was not directly related to a political, legislative, or governmental purpose.

(2) Campaign funds shall not be used to pay a restitution fine imposed under Section 86 of the Penal Code.

(d) Campaign funds shall not be used for campaign, business, or casual clothing except specialty clothing that is not suitable for everyday use, including, but not limited to, formal wear, if this attire is to be worn by the candidate or elected officer and is directly related to a political, legislative, or governmental purpose.

(e)(1) Except where otherwise prohibited by law, campaign funds may be used to purchase or reimburse for the costs of purchase of tickets to political fundraising events for the attendance of a candidate, elected officer, or his or her immediate family, or an officer, director, employee, or staff of the committee or the elected officer's governmental agency.

(2) Campaign funds shall not be used to pay for or reimburse for the costs of tickets for entertainment or sporting events for the candidate, elected officer, or members of his or her immediate family, or an officer, director, employee, or staff of the committee, unless their attendance at the event is directly related to a political, legislative, or governmental purpose.

(3) The purchase of tickets for entertainment or sporting events for the benefit of persons other than the candidate, elected officer, or his or her immediate family are governed by subdivision (f).



(f)(1) Campaign funds shall not be used to make personal gifts unless the gift is directly related to a political, legislative, or governmental purpose. The refund of a campaign contribution does not constitute the making of a gift.

(2) Nothing in this section shall prohibit the use of campaign funds to reimburse or otherwise compensate a public employee for services rendered to a candidate or committee while on vacation, leave, or otherwise outside of compensated public time.

(3) An election victory celebration or similar campaign event, or gifts with a total cumulative value of less than two hundred fifty dollars (\$250) in a single year made to an individual employee, a committee worker, or an employee of the elected officer's agency, are considered to be directly related to a political, legislative, or governmental purpose. For purposes of this paragraph, a gift to a member of a person's immediate family shall be deemed to be a gift to that person.

(g) Campaign funds shall not be used to make loans other than to organizations pursuant to Section 89515, or, unless otherwise prohibited, to a candidate for elective office, political party, or committee.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1990, Ch. 1075; amended by Stats. 1991, Ch. 546; amended by Stats. 2006, Ch. 155; amended by Stats. 2006, Ch. 538; amended by Stats. 2007, Ch. 130; amended by Stats. 2014, Ch. 881 and 884. References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
2 Cal. Code of Regs. Section 18421.7

#### **§ 89514. Use of Campaign Funds for Attorney's Fees.**

Expenditures of campaign funds for attorney's fees and other costs in connection with administrative, civil, or criminal litigation are not directly related to a political, legislative, or governmental purpose except where the litigation is directly related to activities of a committee that are consistent with its primary objectives or arises directly out of a committee's activities or out of a candidate's or elected officer's activities, duties, or status as a candidate or elected officer, including, but not limited to, an action to enjoin defamation, defense of an action to enjoin defamation, defense of an action brought for a violation of state or local campaign, disclosure, or election laws, and an action arising from an election contest or recount.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 546.

#### **§ 89515. Use of Campaign Funds for Donations and Loans.**

Campaign funds may be used to make donations or loans to bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit

organizations, where no substantial part of the proceeds will have a material financial effect on the candidate, elected officer, campaign treasurer, or any individual or individuals with authority to approve the expenditure of campaign funds held by a committee, or member of his or her immediate family, and where the donation or loan bears a reasonable relation to a political, legislative, or governmental purpose.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 546.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1

#### **§ 89516. Use of Campaign Funds for Vehicle Expenses.**

Notwithstanding Sections 89512 and 89513, this section governs the use of campaign funds for vehicle expenses.

(a) Campaign funds shall not be used to purchase a vehicle unless both of the following apply:

(1) Title to the vehicle is held by the committee and not the candidate, elected officer, campaign treasurer, or any other individual or individuals with authority to approve the expenditure of campaign funds held by a committee, or a member of his or her immediate family.

(2) The use of the vehicle is directly related to a political, legislative, or governmental purpose.

(b) Campaign funds shall not be used to lease a vehicle unless both of the following apply:

(1) The lessee is the committee, or a state or local government agency and not the candidate, elected officer, or a member of his or her immediate family; or the lessor is a state or local government agency.

(2) The use of the vehicle is directly related to a political, legislative, or governmental purpose.

(c) Campaign funds may be used to pay for or reimburse the operating costs, including, but not limited to, insurance, maintenance, and repairs, for any vehicle for which campaign funds may be spent pursuant to this section.

(d) Campaign funds may be used to reimburse a candidate, elected officer, his or her immediate family, or any individual or individuals with authority to approve the expenditure of campaign funds held by a committee, or an employee or member of the staff of the committee or of the elected officer's governmental agency, for the use of his or her vehicle at the rate approved by the Internal Revenue Service pursuant to Section 162 of the Internal Revenue Code in connection with deductible mileage expenses under the federal income tax law, if both of the following requirements are met:

(1) The vehicle use for which reimbursement is sought is directly related to political, governmental, or legislative purposes.

(2) The specific purpose and mileage in connection with each expenditure is documented in a manner approved by the Internal Revenue Service in connection with deductible mileage expenses.

(e) For the purposes of this section, use of a vehicle is considered to be directly related to a political, legislative, or governmental purpose as long as its use for other purposes is only incidental to its use for political, legislative, or governmental purposes.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 546.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
2 Cal. Code of Regs. Section 18961

#### **§ 89517. Use of Campaign Funds for Real Property, Appliances or Equipment.**

(a) Campaign funds shall not be used for payment or reimbursement for the lease of real property or for the purchase, lease, or refurbishment of any appliance or equipment, where the lessee or sublessor is, or the legal title resides, in whole or in part, in a candidate, elected officer, campaign treasurer, or any individual or individuals with authority to approve the expenditure of campaign funds, or member of his or her immediate family.

(b) Campaign funds shall not be used to purchase real property. Except as prohibited by subdivision (a), campaign funds may be used to lease real property for up to one year at a time where the use of that property is directly related to political, legislative, or governmental purposes.

(c) For the purposes of this section, real property, appliance, or equipment is considered to be directly related to a political, legislative, or governmental purpose as long as its use for other purposes is only incidental to its use for political, legislative, or governmental purposes.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 546.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
2 Cal. Code of Regs. Section 18961

#### **§ 89517.5. Use of Campaign Funds for Security System.**

Notwithstanding Section 89517, campaign funds may be used to pay, or reimburse the state, for the costs of installing and monitoring an electronic security system in the home or office, or both, of a candidate or elected officer who has received threats to his or her physical safety, provided that the threats

arise from his or her activities, duties, or status as a candidate or elected officer and that the threats have been reported to and verified by an appropriate law enforcement agency. Verification shall be determined solely by the law enforcement agency to which the threat was reported. The candidate or elected officer shall report any expenditure of campaign funds made pursuant to this section to the Commission. The report to the Commission shall include the date that the candidate or elected officer informed the law enforcement agency of the threat, the name and phone number of the law enforcement agency, and a brief description of the threat. No more than five thousand dollars (\$5,000) in campaign funds may be used, cumulatively, by a candidate or elected officer pursuant to this subdivision. The candidate or elected officer shall reimburse the campaign fund account for the costs of the security system upon sale of the property where the security equipment is installed, based on the fair market value of the security equipment at the time the property is sold.

History: Added by Stats. 1993, Ch. 1143.

#### **§ 89518. Use of Campaign Funds for Compensation.**

(a) Campaign funds shall not be used to compensate a candidate or elected officer for the performance of political, legislative, or governmental activities, except for reimbursement of out-of-pocket expenses incurred for political, legislative, or governmental purposes.

(b) Campaign funds shall not be used to compensate any individual or individuals with authority to approve the expenditure of campaign funds for the performance of political, legislative, or governmental activities, except as provided in subdivision (b) of Section 89513 and for reimbursement of out-of-pocket expenses incurred for political, legislative, or governmental purposes.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 546.

#### **§ 89519. Use of Surplus Campaign Funds.**

(a) Upon the 90<sup>th</sup> day after leaving an elective office, or the 90<sup>th</sup> day following the end of the postelection reporting period following the defeat of a candidate for elective office, whichever occurs last, campaign funds under the control of the former candidate or elected officer shall be considered surplus campaign funds and shall be disclosed pursuant to Chapter 4 (commencing with Section 84100).

(b) Surplus campaign funds shall be used only for the following purposes:

(1) The payment of outstanding campaign debts or elected officer's expenses.

(2) The repayment of contributions.

(3) Donations to any bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit organization, where no substantial part of the proceeds will have a material financial effect on the former candidate or elected officer, any member of his or her immediate family, or his or her campaign treasurer.

(4) Contributions to a political party committee, provided the campaign funds are not used to support or oppose candidates for elective office. However, the campaign funds may be used by a political party committee to conduct partisan voter registration, partisan get-out-the-vote activities, and slate mailers as that term is defined in Section 82048.3.

(5) Contributions to support or oppose any candidate for federal office, any candidate for elective office in a state other than California, or any ballot measure.

(6) The payment for professional services reasonably required by the committee to assist in the performance of its administrative functions, including payment for attorney's fees for litigation that arises directly out of a candidate's or elected officer's activities, duties, or status as a candidate or elected officer, including, but not limited to, an action to enjoin defamation, defense of an action brought for a violation of state or local campaign, disclosure, or election laws, and an action from an election contest or recount.

(c) For purposes of this section, the payment for, or the reimbursement to the state of, the costs of installing and monitoring an electronic security system in the home or office, or both, of a candidate or elected officer who has received threats to his or her physical safety shall be deemed an outstanding campaign debt or elected officer's expense, provided that the threats arise from his or her activities, duties, or status as a candidate or elected officer and that the threats have been reported to and verified by an appropriate law enforcement agency. Verification shall be determined solely by the law enforcement agency to which the threat was reported. The candidate or elected officer shall report any expenditure of campaign funds made pursuant to this section to the commission. The report to the commission shall include the date that the candidate or elected officer informed the law enforcement agency of the threat, the name and the telephone number of the law enforcement agency, and a brief description of the threat. No more than five thousand dollars (\$5,000) in surplus campaign funds may be used, cumulatively, by a candidate or elected

officer pursuant to this subdivision. Payments made pursuant to this subdivision shall be made during the two years immediately following the date upon which the campaign funds become surplus campaign funds. The candidate or elected officer shall reimburse the surplus fund account for the fair market value of the security system no later than two years immediately following the date upon which the campaign funds became surplus campaign funds. The campaign funds become surplus campaign funds upon sale of the property on which the system is installed, or prior to the closing of the surplus campaign fund account, whichever comes first. The electronic security system shall be the property of the campaign committee of the candidate or elected officer.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 1991, Ch. 546; amended by Stats. 1993, Ch. 1143; amended by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election]; amended by Stats. 2013, Ch. 9, effective July 1, 2014; amended by Stats. 2014, Ch. 884.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18229.1  
2 Cal. Code of Regs. Section 18530.4  
2 Cal. Code of Regs. Section 18531.2  
2 Cal. Code of Regs. Section 18951

Opinions: In re Pirayou (2006) 19 FPPC Ops. 1

#### **§ 89519.5. Use of Campaign Funds Held by an Officeholder Convicted of Certain Felonies of the Election Code.**

(a) An officeholder who is convicted of a felony enumerated in Section 20 of the Elections Code, and whose conviction has become final, shall use funds held by the officeholder's candidate controlled committee only for the following purposes:

(1) The payment of outstanding campaign debts or elected officer's expenses.

(2) The repayment of contributions.

(b) Six months after the conviction becomes final, the officeholder shall forfeit any remaining funds subject to subdivision (a), and these funds shall be deposited in the General Fund.

(c) This section does not apply to funds held by a ballot measure committee or in a legal defense fund formed pursuant to Section 85304.

History: Added by Stats. 2016, Ch. 837.

#### **§ 89520. Violations.**

The remedies provided in Chapter 11 (commencing with Section 91000) shall not apply to violations of this chapter.

History: Added by Stats. 1990, Ch. 84.

**§ 89521. Unlawful Honorarium, Gift or Expenditure.**

Any person who makes or receives an honorarium, gift, or expenditure in violation of this chapter is liable in a civil action brought by the Commission for an amount of up to three times the amount of the unlawful honorarium, gift, or expenditure.

History: Added by Stats. 1990, Ch. 84; amended by Stats. 2014, Ch. 884.

**§ 89522. Campaign Funds; Prohibited Use Under Elections Code.**

This chapter shall not be construed to permit an expenditure of campaign funds prohibited by Section 18680 of the Elections Code.

History: Added by Stats. 1991, Ch. 546; amended by Stats. 1994, Ch. 923

**Chapter 10. Auditing.  
§ 90000-90007**

- § 90000. Responsibility.
- § 90001. Mandatory Audits and Investigations.
- § 90002. Audits and Investigations; Time.
- § 90003. Discretionary Audits.
- § 90004. Periodic Reports; Public Documents.
- § 90005. Confidentiality; Exception.
- § 90006. Audit and Investigation by Commission.
- § 90007. Auditing Guidelines and Standards.
- § 90008. Preelection Auditing.
- § 90009. Injunction to Compel Disclosure.

**§ 90000. Responsibility.**

Except as provided in Section 90006, the Franchise Tax Board shall make audits and field investigations with respect to the following:

(a) Reports and statements filed with the Secretary of State under Chapter 4 (commencing with Section 84100), Chapter 5 (commencing with Section 85100), and Chapter 6 (commencing with Section 86100).

(b) Local candidates and their controlled committees selected for audit pursuant to subdivision (i) of Section 90001.

History: Amended by Stats. 1987, Ch. 230; amended by Stats. 2004, Ch. 483.

References at the time of publication (see page 3):

- Regulations: 2 Cal. Code of Regs. Section 18531.62
- 2 Cal. Code of Regs. Section 18993
- 2 Cal. Code of Regs. Section 18994
- 2 Cal. Code of Regs. Section 18995

**§ 90001. Mandatory Audits and Investigations.**

Audits and investigations shall be made pursuant to Section 90000 with respect to the reports and statements of:

(a) Each lobbying firm and each lobbyist employer who employs one or more lobbyists shall be subject to an audit on a random basis with these lobbying firms or lobbyist employers having a 25-percent chance of being audited. When a lobbying firm or lobbyist employer is audited, the individual lobbyists who are employed by the lobbying firm or the lobbyist employer shall also be audited.

(b) Each statewide, Supreme Court, court of appeal, or Board of Equalization candidate in a direct primary or general election for whom it is determined that twenty-five thousand dollars (\$25,000) or more in contributions have been raised or twenty-five thousand dollars (\$25,000) or more in expenditures have been made, whether by the candidate or by a committee or committees controlled by the candidate or whose participation in the direct primary or general election is primarily in support of his or her candidacy. Each statewide candidate whose contributions and expenditures are less than twenty-five thousand dollars (\$25,000) shall be subject to an audit on a random basis of 10 percent of the number of such candidates.

(c) Each candidate for the Legislature or superior court judge in a direct primary or general election shall be subject to audit by random selection if it is determined that fifteen thousand dollars (\$15,000) or more in contributions have been received or fifteen thousand dollars (\$15,000) or more in expenditures have been made, whether by the candidate or by a committee or committees controlled by the candidate or primarily supporting his or her candidacy. Random selection shall be made of 25 percent of the Senate districts, 25 percent of the Assembly districts and 25 percent of the judicial offices contested in an election year.

(d) Each candidate for the Legislature in a special primary or special runoff election for whom it is determined that fifteen thousand dollars (\$15,000) or more in contributions have been raised or fifteen thousand dollars (\$15,000) or more in expenditures have been made, whether by the candidate or by a committee or committees controlled by the candidate or primarily supporting his or her candidacy.

(e) Each controlled committee of any candidate who is being audited pursuant to subdivision (b), (c), or (d).



(f) Each committee, other than a committee specified in subdivision (c) of Section 82013, primarily supporting or opposing a candidate who is being audited pursuant to subdivision (b), (c), or (d) if it is determined that the committee has expended more than ten thousand dollars (\$10,000).

(g) Each committee, other than a committee specified in subdivision (c) of Section 82013, whose participation is primarily in support of or in opposition to a state measure or state measures if it is determined that the committee has expended more than ten thousand dollars (\$10,000) on such measure or measures.

(h) Each committee, other than a committee defined in subdivision (c) of Section 82013, a controlled committee or a committee primarily supporting or opposing a state candidate or measure, if it is determined that the committee has raised or expended more than ten thousand dollars (\$10,000) supporting or opposing state candidates or state measures during any calendar year, except that if the Commission determines from an audit report that a committee is in substantial compliance with the provisions of the act, the committee thereafter shall be subject to an audit on a random basis with each such committee having a 25-percent chance of being audited.

(i) (1) With respect to local candidates and their controlled committees, the Commission shall promulgate regulations which provide a method of selection for these audits.

(2) With respect to candidates for the Board of Administration of the Public Employees' Retirement System, the Commission shall promulgate regulations that provide a method for selection of these audits. The Public Employees' Retirement System shall reimburse the Commission for all reasonable expenses incurred pursuant to this section.

(j) In accordance with subdivisions (a), (b), (c), and (h), the Fair Political Practices Commission shall select by lot the persons or districts to be audited on a random basis. For campaign audits the selection shall be made in public after the last date for filing the first report or statement following the general or special election for which the candidate ran, or following the election at which the measure was adopted or defeated. For lobbying firm and lobbyist employer audits, the selection shall be made in public in February of odd-numbered years.

History: Amended by Stats. 1978, Ch. 1411; amended by Stats. 1979, Ch. 551; amended by Stats. 1984, Ch. 1368; amended by Stats. 1985, Ch. 1183, effective September 29, 1985; amended by Stats. 1986, Ch. 835; amended by Stats. 1994, Ch. 1139; amended by Stats. 1998, Ch. 923.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.62  
2 Cal. Code of Regs. Section 18601  
2 Cal. Code of Regs. Section 18991  
2 Cal. Code of Regs. Section 18992  
2 Cal. Code of Regs. Section 18993  
2 Cal. Code of Regs. Section 18994  
2 Cal. Code of Regs. Section 18995  
2 Cal. Code of Regs. Section 18997

#### **§ 90002. Audits and Investigations; Time.**

(a) Audits and investigations of lobbying firms and lobbyist employers shall be performed on a biennial basis and shall cover reports filed during a period of two years.

(b) If a lobbying firm or lobbyist employer keeps a separate account for all receipts and payments for which reporting is required by this chapter, the requirement of an audit under subdivision (a) of Section 90001 shall be satisfied by an audit of that account and the supporting documentation required to be maintained by Section 86110.

History: Amended by Stats. 1976, Ch. 564; amended by Stats. 1977, Ch. 492; amended by Stats. 1978, Ch. 1411; amended by Stats. 1980, Ch. 289; operative January 1, 1982; amended by Stats. 1985, Ch. 1456; amended by Stats. 1986, Ch. 905; amended by Stats. 1988, Ch. 442; amended by Stats. 1994, Ch. 1139; amended by Stats. 2013, Ch. 9, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.62  
2 Cal. Code of Regs. Section 18996

#### **§ 90003. Discretionary Audits.**

In addition to the audits and investigations required by Section 90001, the Franchise Tax Board and the Commission may make investigations and audits with respect to any reports or statements required by this title.

History: Amended by Stats. 2004, Ch. 483; amended by Stats. 2013, Ch. 9, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.62  
2 Cal. Code of Regs. Section 18996

#### **§ 90004. Periodic Reports; Public Documents.**

(a) The Franchise Tax Board shall periodically prepare reports, which, except as otherwise provided in this section, shall be sent to the Commission, the Secretary of State, and the Attorney General. If the reports relate to candidates for or committees supporting or opposing candidates for the office of Attorney General, the reports shall be sent to the Commission, the Secretary of State, and the District Attorneys of the Counties of Los Angeles, Sacramento, and San Francisco. If the reports relate to local candidates and their controlled committees, the reports shall be sent to the Commission, the local

filing officer with whom the candidate or committee is required to file the originals of campaign reports pursuant to Section 84215, and the district attorney for the candidate's county of domicile.

(b) The Franchise Tax Board shall complete its report of any audit conducted on a random basis pursuant to Section 90001 within two years after the person or entity subject to the audit is selected by the Commission to be audited.

(c) The reports of the Franchise Tax Board shall be public documents and shall contain in detail the Franchise Tax Board's findings with respect to the accuracy and completeness of each report and statement reviewed and its findings with respect to any report or statement that should have been but was not filed. The Secretary of State and the local filing officer shall place the audit reports in the appropriate campaign statement or lobbying files.

History: Amended by Stats. 1976, Ch. 564; amended by Stats. 1979, Ch. 531; amended by Stats. 1987, Ch. 230; amended by Stats. 2004, Ch. 591; amended by Stats. 2005, Ch. 22; amended by Stats. 2013, Ch. 9, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.62  
2 Cal. Code of Regs. Section 18993  
2 Cal. Code of Regs. Section 18995

#### **§ 90005. Confidentiality; Exception.**

A member, employee or agent of the Franchise Tax Board shall not divulge or make known in any manner the particulars of any record, documents, or information that he or she receives by virtue of this chapter, except in furtherance of the work of the Franchise Tax Board or the Commission or in connection with a court proceeding or the lawful investigation of any agency.

History: Amended by Stats. 2013, Ch. 9, effective July 1, 2014.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.62

#### **§ 90006. Audit and Investigation by Commission.**

Audits and field investigations of candidates for Controller and member of the Board of Equalization and of committees supporting such candidates shall be made by the Commission instead of the Franchise Tax Board.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.62

#### **§ 90007. Auditing Guidelines and Standards.**

(a) The Commission shall adopt auditing guidelines and standards which shall govern audits

and field investigations conducted under Section 90001. The guidelines and standards shall be formulated to accomplish the following purposes:

(1) The audits should encourage compliance and detect violations of this title;

(2) The audits should be conducted with maximum efficiency in a cost-effective manner; and

(3) The audits should be as unobtrusive as possible consistent with the foregoing purposes.

(b) In adopting its guidelines and standards the Commission shall consider relevant guidelines and standards of the American Institute of Certified Public Accountants to the extent such guidelines and standards are applicable and consistent with the purposes set forth in this section.

History: Added by Stats. 1978, Ch. 779, effective September 18, 1978.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18531.62  
2 Cal. Code of Regs. Section 18993  
2 Cal. Code of Regs. Section 18995

#### **§ 90008. Preelection Auditing.**

(a) It is the intent of the Legislature that the people of California have timely access to information concerning the campaign contributions and expenditures of all committees, corporations, and individuals, and that this information be provided before the election, when it is relevant, in accordance with the requirements of this title. It is the further intent of the Legislature that the Commission ensure that these disclosures are being made, and that this title be liberally construed and any judicial process be expedited to achieve this purpose.

(b) The Commission, and the Franchise Tax Board at the direction of the Commission, may audit any record required to be maintained under this title to ensure compliance with this title prior to an election, even if the record is a report or statement that has not yet been filed.

History: Added by Stats. 2013, Ch. 9, effective July 1, 2014.

#### **§ 90009. Injunction to Compel Disclosure.**

(a) To further the purposes of this title, the Commission may seek injunctive relief in a superior court to compel disclosure consistent with this title.

(b) A court shall grant expedited review to an action filed pursuant to subdivision (a) as follows:

(1) The court shall conduct an expedited hearing with an opportunity for the defendant to respond.

(2) Briefs of the parties shall be required pursuant to an expedited schedule.

(c) A superior or appellate court may, at its discretion, grant a stay of an order granting relief pursuant to subdivision (a).

History: Added by Stats. 2013, Ch. 9, effective July 1, 2014.

**Chapter 11. Enforcement.**  
**§ 91000-91015**

- § 91000. Violations; Criminal.
- § 91000.5. Administrative Proceedings.
- § 91001. Responsibility for Enforcement.
- § 91001.5. Authority of City Attorneys of Charter Cities.
- § 91002. Effect of Conviction.
- § 91003. Injunction.
- § 91003.5. Conflicts of Interest Violation.
- § 91004. Violations of Reporting Requirements; Civil Liability.
- § 91005. Civil Liability for Campaign, Lobbyist, Conflict of Interest Violation.
- § 91005.5. Civil Penalties.
- § 91006. Joint and Several Liability.
- § 91007. Procedure for Civil Actions.
- § 91008. Judgment on the Merits; Precedence; Dismissal.
- § 91008.5. Civil Action Precluded by Commission Order.
- § 91009. Considerations; Liability.
- § 91010. Campaign Disclosure Violations; Request to Civil Prosecutor.
- § 91011. Statute of Limitations.
- § 91012. Costs; Attorney Fees; Bond.
- § 91013. Late Filing of Statement or Report; Fees.
- § 91013.5. Collection of Penalties.
- § 91013.7. Judgment for Collection of Penalties.
- § 91014. Applicability of Other State Law.
- § 91015. Liability for Violations; Criminal and Civil. [Repealed]

**§ 91000. Violations; Criminal.**

(a) Any person who knowingly or willfully violates any provision of this title is guilty of a misdemeanor.

(b) In addition to other penalties provided by law, a fine of up to the greater of ten thousand dollars (\$10,000) or three times the amount the person failed to report properly or unlawfully contributed, expended, gave or received may be imposed upon conviction for each violation.

(c) Prosecution for violation of this title must be commenced within four years after the date on which the violation occurred.

History: Amended by Stats. 1978, Ch. 1411; amended by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

**§ 91000.5. Administrative Proceedings.**

No administrative action brought pursuant to Chapter 3 (commencing with Section 83100) alleging a violation of any of the provisions of this title shall be commenced more than five years after the date on which the violation occurred.

(a) The service of the probable cause hearing notice, as required by Section 83115.5, upon the person alleged to have violated this title shall constitute the commencement of the administrative action.

(b) If the person alleged to have violated this title engages in the fraudulent concealment of his or her acts or identity, the five-year period shall be tolled for the period of concealment. For purposes of this subdivision, "fraudulent concealment" means the person knows of material facts related to his or her duties under this title and knowingly conceals them in performing or omitting to perform those duties, for the purpose of defrauding the public of information to which it is entitled under this title.

(c) If, upon being ordered by a superior court to produce any documents sought by a subpoena in any administrative proceeding under Chapter 3 (commencing with Section 83100), the person alleged to have violated this title fails to produce documents in response to the order by the date ordered to comply therewith, the five-year period shall be tolled for the period of the delay from the date of filing of the motion to compel until the date of the documents are produced.

History: Added by Stats. 1997, Ch. 179.

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18610  
 2 Cal. Code of Regs. Section 18612  
 2 Cal. Code of Regs. Section 18615

**§ 91001. Responsibility for Enforcement.**

(a) The Attorney General is responsible for enforcing the criminal provisions of this title with respect to state agencies, lobbyists and state elections. The district attorney of any county in which a violation occurs has concurrent powers and responsibilities with the Attorney General.

(b) The civil prosecutor is primarily responsible for enforcement of the civil penalties and remedies of this title. The civil prosecutor is the Commission with respect to the state or any state agency, except itself. The Attorney General is the civil prosecutor with respect to the Commission. The district

attorneys are the civil prosecutors with respect to any other agency. The civil prosecutor may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Upon written authorization from a district attorney, the Commission may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Under such circumstances, Section 91007 shall not apply to the Commission.

(c) Whether or not a violation is inadvertent, negligent or deliberate, and the presence or absence of good faith shall be considered in applying the remedies and sanctions of this title.

History: Amended by Stats. 1976, Ch. 1161; repealed and reenacted as amended by Stats. 1977, Ch. 230, effective July 7, 1977; amended by Stats. 1979, Ch. 357.

#### **§ 91001.5. Authority of City Attorneys of Charter Cities.**

In any case in which a district attorney could act as the civil or criminal prosecutor under the provisions of this title, the elected city attorney of any charter city may act as the civil or criminal prosecutor with respect to any violations of this title occurring within the city.

History: Added by Stats. 1976, Ch. 594, effective August 26, 1976.

#### **§ 91002. Effect of Conviction.**

No person convicted of a misdemeanor under this title shall be a candidate for any elective office or act as a lobbyist for a period of four years following the date of the conviction unless the court at the time of the sentencing specifically determines that this provision shall not be applicable. A plea of nolo contendere shall be deemed a conviction for purposes of this section. Any person violating this section is guilty of a felony.

#### **§ 91003. Injunction.**

(a) Any person residing in the jurisdiction may sue for injunctive relief to enjoin violations or to compel compliance with the provisions of this title. The court may in its discretion require any plaintiff other than the Commission to file a complaint with the Commission prior to seeking injunctive relief. The court may award to a plaintiff or defendant who prevails his costs of litigation, including reasonable attorney's fees.

(b) Upon a preliminary showing in an action brought by a person residing in the jurisdiction that a violation of Article 1 (commencing with Section 87100), Article 4 (commencing with Section 87400), or Article 4.5 (commencing with Section 87450) of Chapter 7 of this title or of a disqualification provision of a Conflict of Interest Code has occurred,

the court may restrain the execution of any official action in relation to which such a violation occurred, pending final adjudication. If it is ultimately determined that a violation has occurred and that the official action might not otherwise have been taken or approved, the court may set the official action aside as void. The official actions covered by this subsection include, but are not limited to orders, permits, resolutions and contracts, but do not include the enactment of any state legislation. In considering the granting of preliminary or permanent relief under this subsection, the court shall accord due weight to any injury that may be suffered by innocent persons relying on the official action.

History: Amended by Stats. 1976, Ch. 1161; amended by Stats. of 1987, Ch. 628.

#### **§ 91003.5. Conflicts of Interest Violation.**

Any person who violates a provision of Article 2 (commencing with Section 87200), 3 (commencing with Section 87300), or 4.5 (commencing with Section 87450) of Chapter 7 is subject to discipline by his or her agency, including dismissal, consistent with any applicable civil service or other personnel laws, regulations and procedures.

History: Amended by Stats. 1986, Ch. 653.

#### **§ 91004. Violations of Reporting Requirements; Civil Liability.**

Any person who intentionally or negligently violates any of the reporting requirements of this title shall be liable in a civil action brought by the civil prosecutor or by a person residing within the jurisdiction for an amount not more than the amount or value not properly reported.

History: Amended by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18427

#### **§ 91005. Civil Liability for Campaign, Lobbyist, Conflict of Interest Violation.**

(a) Any person who makes or receives a contribution, gift, or expenditure in violation of Section 84300, 84304, 86203, or 86204 is liable in a civil action brought by the civil prosecutor or by a person residing within the jurisdiction for an amount up to one thousand dollars (\$1,000) or three times the amount of the unlawful contribution, gift, or expenditure, whichever amount is greater.

(b) Any designated employee or public official specified in Section 87200, except an elected state officer, who realizes an economic benefit as a result of a violation of Section 87100 or of a disqualification



provision of a conflict of interest code is liable in a civil action brought by the civil prosecutor or by a person residing within the jurisdiction for an amount up to three times the value of the benefit.

History: Amended by Stats. 1997, Ch. 455, effective September 24, 1997; amended by Stats. 2000, Ch. 130.

#### **§ 91005.5. Civil Penalties.**

Any person who violates any provision of this title, except Sections 84305, 84307, and 89001, for which no specific civil penalty is provided, shall be liable in a civil action brought by the commission or the district attorney pursuant to subdivision (b) of Section 91001, or the elected city attorney pursuant to Section 91001.5, for an amount up to five thousand dollars (\$5,000) per violation.

No civil action alleging a violation of this title may be filed against a person pursuant to this section if the criminal prosecutor is maintaining a criminal action against that person pursuant to Section 91000.

The provisions of this section shall be applicable only as to violations occurring after the effective date of this section.

History: Amended by Stats. 1982, Ch. 727; amended by Proposition 208 of the November 1996 Statewide General Election; Repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

#### **§ 91006. Joint and Several Liability.**

If two or more persons are responsible for any violation, they shall be jointly and severally liable.

History: Amended by Proposition 208 of the November 1996 Statewide General Election; repealed and added by Stats. 2000, Ch. 102 [Proposition 34 of the November Statewide General Election].

References at the time of publication (see page 3):

Regulations: 2 Cal. Code of Regs. Section 18316.6

#### **§ 91007. Procedure for Civil Actions.**

(a) Any person, before filing a civil action pursuant to Sections 91004 and 91005, must first file with the civil prosecutor a written request for the civil prosecutor to commence the action. The request shall include a statement of the grounds for believing a cause of action exists. The civil prosecutor shall respond to the person in writing, indicating whether he or she intends to file a civil action.

(1) If the civil prosecutor responds in the affirmative and files suit within 120 days from receipt of the written request to commence the action, no other action may be brought unless the action brought by the civil prosecutor is dismissed without prejudice as provided for in Section 91008.

(2) If the civil prosecutor responds in the negative within 120 days from receipt of the written request to commence the action, the person

requesting the action may proceed to file a civil action upon receipt of the response from the civil prosecutor. If, pursuant to this subdivision, the civil prosecutor does not respond within 120 days, the civil prosecutor shall be deemed to have provided a negative written response to the person requesting the action on the 120<sup>th</sup> day and the person shall be deemed to have received that response.

(3) The time period within which a civil action shall be commenced, as set forth in Section 91011, shall be tolled from the date of receipt by the civil prosecutor of the written request to either the date that the civil action is dismissed without prejudice, or the date of receipt by the person of the negative response from the civil prosecutor, but only for a civil action brought by the person who requested the civil prosecutor to commence the action.

(b) Any person filing a complaint, cross-complaint or other initial pleading in a civil action pursuant to Sections 91003, 91004, 91005, or 91005.5 shall, within 10 days of filing the complaint, cross-complaint, or initial pleading, serve on the Commission a copy of the complaint, cross-complaint, or initial pleading or a notice containing all of the following:

(1) The full title and number of the case.

(2) The court in which the case is pending.

(3) The name and address of the attorney for the person filing the complaint, cross-complaint, or other initial pleading.

(4) A statement that the case raises issues under the Political Reform Act.

(c) No complaint, cross-complaint, or other initial pleading shall be dismissed for failure to comply with subdivision (b).

History: Amended by Stats. 1985, Ch. 1200; amended by Stats. 1999, Ch. 577, effective September 29, 1999.

#### **§ 91008. Judgment on the Merits; Precedence; Dismissal.**

Not more than one judgment on the merits with respect to any violation may be obtained under Sections 91004 and 91005. Actions brought for the same violation or violations shall have precedence for purposes of trial in order of the time filed. Such actions shall be dismissed once judgment has been entered or a settlement approved by the court in a previously filed action. The court may dismiss a pending action without prejudice to any other action for failure of the plaintiff to proceed diligently and in good faith. The action may be so dismissed on

motion of the civil prosecutor or any plaintiff in an action based on the same violation.

**§ 91008.5. Civil Action Precluded by Commission Order.**

No civil action may be filed under Section 91004, 91005, or 91005.5 with regard to any person for any violations of this title after the Commission has issued an order pursuant to Section 83116 against that person for the same violation.

History: Added by Stats. 1984, Ch. 670.

**§ 91009. Considerations; Liability.**

In determining the amount of liability under Sections 91004 or 91005, the court may take into account the seriousness of the violation and the degree of culpability of the defendant. If a judgment is entered against the defendant or defendants in an action brought under Section 91004 or 91005, the plaintiff shall receive fifty percent of the amount recovered. The remaining fifty percent shall be deposited in the General Fund of the state. In an action brought by the civil prosecutor, the entire amount recovered shall be paid to the general fund or treasury of the jurisdiction.

**§ 91010. Campaign Disclosure Violations; Request to Civil Prosecutor.**

No request to the civil prosecutor pursuant to Section 91007 shall be made or filed in connection with a report or statement required by Chapter 4 (commencing with Section 84100) until the time when an audit and investigation could be begun under subdivision (c) Section 90002.

History: Amended by Stats. 1992, Ch. 405.

**§ 91011. Statute of Limitations.**

(a) No civil action alleging a violation in connection with a report or statement required by Chapter 4 (commencing with Section 84100) shall be filed more than four years after an audit could begin as set forth in subdivision (c) of Section 90002, or more than one year after the Franchise Tax Board forwards its report to the commission, pursuant to Section 90004, of any audit conducted of the alleged violator, whichever period is less.

(b) No civil action alleging a violation of any provisions of this title, other than those described in subdivision (a), shall be filed more than four years after the date the violation occurred.

History: Amended by Stats. 1978, Ch. 1411; amended by Stats. 1980, Ch. 742; amended by Stats. 1997, Ch. 455, effective September 24, 1997; amended by Stats. 2004, Ch. 591.

**§ 91012. Costs; Attorney Fees; Bond.**

The court may award to a plaintiff or defendant other than an agency, who prevails in any action authorized by this title his costs of litigation, including reasonable attorney's fees. On motion of any party, a court shall require a private plaintiff to post a bond in a reasonable amount at any stage of the litigation to guarantee payment of costs.

**§ 91013. Late Filing of Statement or Report; Fees.**

(a) If any person files an original statement or report after any deadline imposed by this act, he or she shall, in addition to any other penalties or remedies established by this act, be liable in the amount of ten dollars (\$10) per day after the deadline until the statement or report is filed, to the officer with whom the statement or report is required to be filed. Liability need not be enforced by the filing officer if on an impartial basis he or she determines that the late filing was not willful and that enforcement of the liability will not further the purposes of the act, except that no liability shall be waived if a statement or report is not filed within 30 days for a statement of economic interest, other than a candidate's statement filed pursuant to Section 87201, five days for a campaign statement required to be filed 12 days before an election, and 10 days for all other statements or reports, after the filing officer has sent specific written notice of the filing requirement.

(b) If any person files a copy of a statement or report after any deadline imposed by this act, he or she shall, in addition to any other penalties or remedies established by this chapter, be liable in the amount of ten dollars (\$10) per day, starting 10 days, or five days in the case of a campaign statement required to be filed 12 days before an election, after the officer has sent specific written notice of the filing requirement and until the statement is filed.

(c) The officer shall deposit any funds received under this section into the general fund of the jurisdiction of which he or she is an officer. No liability under this section shall exceed the cumulative amount stated in the late statement or report, or one hundred dollars (\$100), whichever is greater.

History: Amended by Stats. 1975, Ch. 915, effective September 20, 1975, operative January 7, 1975; amended by Stats. 1977, Ch. 555; amended by Stats. 1985, Ch. 1200; amended by Stats. 1993, Ch. 1140.

References at the time of publication (see page 3):

Opinions: In re Wood (2000) 13 FPPC Ops. 21  
In re Layton (1975) 1 FPPC Ops. 113  
In re Rundstrom (1975) 1 FPPC Ops. 188

**§ 91013.5. Collection of Penalties.**

(a) In addition to any other available remedies, the commission or the filing officer may bring a civil action and obtain a judgment in superior court for the purpose of collecting any unpaid monetary penalties, fees, or civil penalties imposed pursuant to this title. The action may be filed as a small claims, limited civil, or unlimited civil case, depending on the jurisdictional amount. The venue for this action shall be in the county where the monetary penalties, fees, or civil penalties were imposed by the commission or the filing officer. In order to obtain a judgment in a proceeding under this section, the commission or filing officer shall show, following the procedures and rules of evidence as applied in ordinary civil actions, all of the following:

(1) That the monetary penalties, fees, or civil penalties were imposed following the procedures set forth in this title and implementing regulations.

(2) That the defendant or defendants in the action were notified, by actual or constructive notice, of the imposition of the monetary penalties, fees, or civil penalties.

(3) That a demand for payment has been made by the commission or the filing officer and full payment has not been received.

(b) A civil action brought pursuant to subdivision (a) shall be commenced within four years after the date on which the monetary penalty, fee, or civil penalty was imposed.

History: Added by Stats. 1984, Ch. 670; amended by Stats. 2004, Ch. 483.

**§ 91013.7. Judgment for Collection of Penalties.**

(a) If the time for judicial review of a final Commission order or decision has lapsed, or if all means of judicial review of the order or decision have been exhausted, the Commission may apply to the clerk of the court for a judgment to collect the penalties imposed by the order or decision, or the order as modified in accordance with a decision on judicial review.

(b) The application, which shall include a certified copy of the order or decision, or the order as modified in accordance with a decision on judicial review, and proof of service of the order or decision, constitutes a sufficient showing to warrant issuance of the judgment to collect the penalties. The clerk of the court shall enter the judgment immediately in conformity with the application.

(c) An application made pursuant to this section shall be made to the clerk of the superior court in the county where the monetary penalties, fees, or civil penalties were imposed by the Commission.

(d) A judgment entered in accordance with this section has the same force and effect as, and is subject to all the provisions of law relating to, a judgment in a civil action and may be enforced in the same manner as any other judgment of the court in which it is entered.

(e) The Commission may bring an application pursuant to this section only within four years after the date on which the monetary penalty, fee, or civil penalty was imposed.

(f) The remedy available under this section is in addition to those available under Section 91013.5 or any other law.

History: Added by Stats. 2013, Ch. 645.

**§ 91014. Applicability of Other State Law.**

Nothing in this chapter shall exempt any person from applicable provisions of any other laws of this state.

**§ 91015. Liability for Violations; Criminal and Civil. [Repealed]**

History: Added by Stats. 1984, Ch. 670; repealed by Proposition 208 of the November 1996 Statewide General Election.







## GOVERNMENT CODE - GOV

**TITLE 1. GENERAL [100 - 7914]** ( *Title 1 enacted by Stats. 1943, Ch. 134.*  )

**DIVISION 4. PUBLIC OFFICERS AND EMPLOYEES [1000 - 3599]** ( *Division 4 enacted by Stats. 1943, Ch. 134.*  )

**CHAPTER 1. General [1000 - 1241]** ( *Chapter 1 enacted by Stats. 1943, Ch. 134.*  )

**ARTICLE 4. Prohibitions Applicable to Specified Officers [1090 - 1099]** ( *Article 4 enacted by Stats. 1943, Ch. 134.*  )

**1090.** (a) Members of the Legislature, state, county, district, judicial district, and city officers or employees shall not be financially interested in any contract made by them in their official capacity, or by any body or board of which they are members. Nor shall state, county, district, judicial district, and city officers or employees be purchasers at any sale or vendors at any purchase made by them in their official capacity.

(b) An individual shall not aid or abet a Member of the Legislature or a state, county, district, judicial district, or city officer or employee in violating subdivision (a).

(c) As used in this article, "district" means any agency of the state formed pursuant to general law or special act, for the local performance of governmental or proprietary functions within limited boundaries.

(*Amended by Stats. 2014, Ch. 483, Sec. 1. Effective January 1, 2015.*)