PROPOSED REGULATION TEXT

Title 1. General Provisions

Division 1. Office of Administrative Law

Chapter 1. Review of Proposed Regulations

Article 1. Chapter Definitions

Section 1. Chapter Definitions.

(a) The following definitions shall apply to the regulations contained in this chapter:

(1) “APA” means the part of the California Administrative Procedure Act appearing in California Government Code, Title 2, division 3, part 1, chapter 3.5, commencing with section 11340, which generally governs the adoption, amendment, or repeal of regulations by California state agencies.

(2) “Certificate of compliance” means a statement by the head of the rulemaking agency that the agency has complied with the provisions of Government Code sections 11346.2 through 11347.3 prior to the expiration of the effective period of the emergency regulations. After the adoption of emergency regulations, this statement is submitted to OAL for review along with the regulatory text and the rulemaking file.

Please note that the Proposed Regulation Text has been illustrated for greater accessibility. Proposed changes are illustrated with additions in underlining and the following bracketed text: [begin underline], [end underline], to show where the new text is being added. Proposed text for deletion (repeal) is shown in strikethrough with the additional bracketed text [begin strikethrough] and [end strikethrough] to denote the beginning and end of stricken text.
(3) “Form 400” means the form entitled “Notice Publication/Regulations Submission” STD. 400 (change date from 01-2013 to 10-2019), which appears in Appendix A to article 2 of this chapter.

(4) “OAL” means “the Office of Administrative Law.”

(5) “Regular rulemaking” means the original submission of a regulatory action, other than a certificate of compliance filing, subject to review by OAL within thirty working days of receipt.

Section 5. Submission of Notices for Publication [begin strikethrough] (Form 400) [end strikethrough].

(a) Each Friday is designated as the publication date of the California Regulatory Notice Register.

(b) At least ten calendar days before the desired publication date of any notice, an agency shall submit [begin strikethrough] the following [end strikethrough] to OAL:

1. [begin underline] For hard-copy submissions, two [end underline] [begin strikethrough] four [end strikethrough] copies of the [begin strikethrough] notice with a [end strikethrough] Form 400 [begin strikethrough] (see Appendix A to this Article), or copy thereof, [end strikethrough] with Part A completed, [begin strikethrough] attached to the front of [end strikethrough] [begin underline] and [end underline] two [begin strikethrough] of the [end strikethrough] copies of the notice [begin strikethrough] and [end strikethrough] [begin underline] If the notice is submitted pursuant to Government Code section 11346.4(a)(5), then in addition to the Notice of Proposed Action and the STD. 399, the submission shall also include, pursuant to Government Code section 11346.2(a) and (b), one copy of the express terms of the proposed regulation and the initial statement of reasons. [end underline]

2. [begin underline] For electronic submissions, an electronic file containing one electronic Form 400 with Part A completed and one electronic copy of the notice. [end underline] [capitalize the letter i in the word if] If the notice is a notice of proposed regulatory action [begin strikethrough] submitted pursuant to Government Code section 11346.4(a)(5), [begin underline] then in addition to the Notice of Proposed Action and STD. 399, [end underline] the [begin underline] electronic [end underline] submission shall also include [begin underline] the express terms of the proposed regulation and the initial statement of reasons. [end underline]

[begin underline] (A) The agency must submit all electronic documents described in subsection (b)(2) in PDF format as attachments to a single email, which may not exceed 25MB in size.

(B) Electronic notices may only be submitted to OAL at NOPA@oal.ca.gov.
(C) OAL will consider electronic notices received after 5:00 p.m. on a business day, or at any time on a weekend or holiday, to be submitted on the following business day. [end underline]

(c) The Form 400 [begin strikethrough] attached to the notice as provided in subsection (b), above, shall [end strikethrough] [begin underline] must [end underline] contain:

1. a description of the subject matter of the notice and, if the notice is a notice of proposed regulatory action, the title(s) of the California Code of Regulations affected, with the first affected regulation section number listed;

2. the requested publication date;

3. the type of notice;

4. the name of the submitting agency and the agency file number, if any, as well as the name and telephone number of an agency contact person for the notice submission;

5. if the notice is a notice of proposed regulatory action submitted after an emergency filing, the agency shall enter the number assigned by OAL to the emergency filing in the box marked “All Previous Related OAL Regulatory Action Number(s)” (box 1b. of Part B); and

6. if the notice is a notice of proposed regulatory action submitted after the readoption of an emergency filing, the agency shall enter the number assigned by OAL to the readoption of the emergency filing and the number assigned by OAL to the original emergency filing in the box marked “All Previous Related OAL Regulatory Action Number(s)” (box 1b. of Part B).

(d) Except for the types of notices described below in this subsection, the agency shall pay a notice printing fee to OAL in the amount of $40.00 per page, or any portion thereof, as printed in the California Regulatory Notice Register:

1. a notice of proposed regulatory action submitted pursuant to Government Code section 11346.4(a)(5);

2. a notice otherwise required by statute to be published in the California Regulatory Notice Register; or,

3. a notice modifying information contained in a notice described in subsections (d)(1) or (d)(2) above.

(e) If a notice of proposed regulatory action fails to comply with the requirements of this [replace capitalized letter A with a lower case a in the word
article] or sections 11346.3, 11346.4(a)(5), and 11346.5 of the Government Code, OAL shall contact the agency within three business days to correct any deficiencies. If the deficiencies are not corrected by agreement between OAL and the agency within the three- [begin underline] business- [end underline] day period, OAL shall promptly return the notice to the agency with a letter explaining the reasons for disapproval.

Section 6. [begin underline] Hard-copy [end underline] Submission of Regulatory Actions [begin strikethrough] (Form 400). [end strikethrough]

(a) [begin underline] For [end underline] [replace capitalized letter A with a lower case a in the word all] aAll regulatory actions submitted [begin underline] in hard copy [end underline] to OAL for publication in the California Code of Regulations and/or for transmittal to the Secretary of State for filing, [begin strikethrough] including, but not limited to, the types of regulatory actions specified in subsection (b)(3) of this section shall [end strikethrough] [begin underline] the agency must [end underline] include seven copies of the [begin underline] certified [end underline] [add a letter s to the word regulation] regulation(s) [begin underline] text [end underline]. A completed Form 400, [begin strikethrough] (see Appendix A to this Article) [end strikethrough] with the [begin strikethrough] original [end strikethrough] [begin underline] wet [end underline] signature of the person making the certification referred to in subsection (b)(8), [begin strikethrough] of this section shall [end strikethrough] [begin underline] must [end underline] be attached to the front of one [begin strikethrough] of the [end strikethrough] [change the word “copies” to copy] copy of the [begin underline] certified [end underline] [delete letter s from the word regulations] regulation(s). [begin strikethrough] A copy [end strikethrough] [begin underline] text, and a copy [end underline] of [begin strikethrough] this [end strikethrough] [begin underline] the completed and signed [end underline] Form 400 [begin strikethrough] shall [end strikethrough] [begin underline] must [end underline] be attached to each of the remaining six copies of the [begin underline] certified [end underline] [delete the letter s from the word regulations] regulation(s) [begin underline] text [end underline] [begin strikethrough] submitted to OAL. [end strikethrough]

(b) The completed Form 400 [begin strikethrough] attached to the regulation(s) submitted to OAL shall [end strikethrough] [begin underline] must [end underline] contain:

(1) Subject of Regulation(s);

(2) the title(s) of the California Code of Regulations affected and a list of all regulation sections being adopted, amended or repealed;

(3) the type of regulatory filing:

(A) Regular rulemaking (Gov. Code, secs. 11346 and 11349.1);

(B) Resubmittal of regulatory actions (Gov. Code, secs. 11346.1, 11349.3, and 11349.4);
(C) Changes without regulatory effect (Cal. Code Regs., tit[begin strikethrough]le[begin underline] 1, sec[begin strikethrough]tion[begin underline] 100);

(D) Emergency (Gov. Code, secs. 11346.1 and 11349.6);

(E) Certificate of Compliance (Gov. Code, sec. 11346.1(e)).

(F) “Print Only” requests for:
1. regulations adopted pursuant to the requirements of the APA, but which are expressly exempted by statute from OAL review; or
2. regulations not required to be printed in the California Code of Regulations, but which the adopting agency desires to have printed pursuant to Government Code section 11343.8;

(G) “File and Print”

(H) Other (i.e., not listed in subsections (A) through (G), above) describing the nature of the filing;

(4) the beginning and ending dates of all public availability periods pursuant to section 44 of this [replace capitalized letter A with a lower case a in the word article] article and section 11347.1 of the Government Code;

(5) the requested effective date of regulatory changes (Gov. Code, sec. 11343.4);

(6) if a statute requires that, prior to submitting the regulatory action to OAL, the rulemaking agency provide notice to another agency or entity of the regulatory action, or otherwise to submit the regulations to another agency or entity for review, consultation, approval, or concurrence, at any time prior to the submission of the regulations to OAL, the name of any and all such agencies or entities;

(7) the name and telephone number of an agency contact person for the regulatory action;

(8) a signed certification by an agency official authorized to make the certification stating:

(A) that the attached copy of the regulation is a true and correct copy of the regulation identified on the Form 400;

(B) that the information specified on the Form 400 is true and correct;
(C) that the person signing the certification is the head of the agency, or a
designee of the agency head, authorized to make the certification;

(D) the date the certification is made; and,

(E) the typed name and title of the person making the certification;

(9) the file number(s) previously assigned by OAL:

(A) to the submission of the notice of proposed regulatory action (the “Notice
File Number”);

(B) to the prior submission(s) of the regulatory action (the “Regulatory Action
Number”) if the present filing is the resubmission of a disapproved or withdrawn
regulatory action (place this file number in the box marked “All Previous Related
OAL Regulatory Action Number(s)”);

(C) to the submission of the original emergency regulatory action (the
“Emergency Number”) if the present filing is a certificate of compliance or a
readoption of the emergency regulatory action (place this file number in the
box marked “All Previous Related OAL Regulatory Action Number(s)”);

(D) to the submission of the readoption of the emergency regulatory action (the
“Emergency Number”) and to the submission of the original emergency
regulatory action (place these file numbers in the box marked “All Previous
Related OAL Regulatory Action Numbers”) if the present filing is a certificate of
compliance after the readoption of an emergency regulatory action;

(10) if not already completed, the name of the agency with rulemaking
authority and the agency's file number, if any.

(c) [begin underline] For [end underline] [replace capitalized letter A with a
lower case a in the word all] a - All regulatory actions submitted to OAL for
publication in the CCR and/or transmittal to the Secretary of State for filing
[begin underline] , the agency must complete the Form 400 [end underline]
[begin strikethrough] shall include the Form 400, which shall be completed [end
strikethrough] as follows:

(1) [replace lower case letter w with capitalized letter W in the word when]
When submitting [begin strikethrough] regulations as [end strikethrough] a
“regular rulemaking,” complete part B of the same Form 400 that was previously
submitted with the notice [begin strikethrough] of the proposed regulatory
action, [end strikethrough] ; or, if a new Form 400 is used, complete part B and
enter the number OAL previously assigned to the notice in the box marked
“Notice File Number.”
(A) When adoptions, amendments, or repeals described in one notice of regulatory action are later submitted to OAL for review in more than one regulatory filing, [begin strikethrough] the agency shall, at the time of submission to OAL [end strikethrough] either

1. complete part B of a [begin strikethrough] photo [end strikethrough] copy of the Form 400 submitted with the notice, or

2. complete part B of a new Form 400 and enter the number OAL previously assigned to the notice in the box marked “Notice File Number."

(2) When resubmitting a disapproved or withdrawn regulatory filing, complete part B of a new Form 400, and enter the number OAL previously assigned to the notice in the box marked “Notice File Number” and [begin strikethrough] enter [end strikethrough] the number OAL previously assigned to the prior submission of the regulatory action in the box marked “All Previous Related OAL Regulatory Action Number(s)."

(3) When submitting emergency regulations, complete part B of the Form 400.

(4) When submitting a Certificate of Compliance filing after the adoption of emergency regulations, complete part B of the [begin underline] same [end underline] Form 400 that was previously submitted with the notice; or, if a new Form 400 is used, [begin underline] complete part B and [end underline] enter the number OAL previously assigned to the notice in the box marked “Notice File Number” and [begin strikethrough] enter [end strikethrough] the number OAL previously assigned to the original emergency filing in the box marked “All Previous Related OAL Regulatory Action Number(s)."

(5) When submitting a Certificate of Compliance filing after the readoption of emergency regulations, complete part B of the [begin underline] same [end underline] Form 400 that was previously submitted with the notice; or, if a new Form 400 is used, [begin underline] complete part B and [end underline] enter the number OAL previously assigned to the notice in the box marked “Notice File Number,” and [begin strikethrough] enter [end-strikethrough] the numbers OAL previously assigned to the readoption of the emergency filing and the original emergency filing in the box marked “All Previous Related OAL Regulatory Action Number(s)."
(6) When submitting previously approved emergency regulations for readoption, complete part B of a new Form 400, and enter the number(s) OAL assigned to the original emergency filing(s) in the box marked “All Previous Related OAL Regulatory Action Number(s).”

Section 6.5. Electronic Submission of Regulatory Actions.

(a) For all regulatory actions submitted electronically to OAL for publication in the California Code of Regulations and/or transmittal to the Secretary of State for filing, the agency must include:

(1) Seven identical electronic files, each containing:

(A) One electronic Form 400 completed according to section 6, subsections (b) and (c), and digitally signed by the person making the certification referred to in section 6, subsection (b)(8), and
(B) One electronic copy of the certified regulation text.

(2) One electronic file containing all documentation required by law to be submitted to OAL, including, but not limited to, the following:

(A) For regular rulemakings, and certificates of compliance promulgated in accordance with Government Code section 11346.1(e), the rulemaking file described in Government Code section 11347.3(b).

(B) For emergency actions promulgated in accordance with Government Code section 11346.1, the documentation described in section 50, subsection (b).

(C) For the adoption or revision of state policy for water quality control plans, or the adoption or revision of water quality control plans and guidelines, promulgated in accordance with division 7 (commencing with section 13000) of the Water Code, the documentation described in Government Code section 11353(b)(2).

(b) The agency must submit all electronic documents described in subsection (a) in PDF format as attachments to a single email, which may not exceed 25MB in size.

(c) Electronic regulatory actions may only be submitted to OAL at ElectronicSubmissions@oal.ca.gov.

(d) Except for electronic emergency regulatory actions, OAL will consider electronic regulatory actions received after 5:00 p.m. on a business day, or at any time on a weekend or holiday, to be submitted on the following business day.

(e) OAL will consider electronic emergency regulatory actions received after 4:00 p.m. on a business day, or at any time on a weekend or holiday, to be submitted, and will post the notice of filing required by Government Code section 11349.6(b) for these actions, on the following business day.
Note: Authority cited: Section 11342.4, Government Code. Reference: Sections 11343, 11343.1, 11343.8, 11346.1, 11347.3 and 11349.6, Government Code. [end underline]
Section 50. [underline] Special Requirements for Submission of [underline] Proposed [underline] Emergency [underline] Regulatory [underline] Actions [underline] Submission. [strikethrough] State agencies submitting emergency regulations to OAL pursuant to Government Code section 11346.1[underline] the agency must [underline] shall include:[strikethrough] (a) [strikethrough] State agencies submitting emergency regulations to OAL pursuant to Government Code section 11346.1[underline] the agency must [underline] shall include:[strikethrough] (1) Prepare the documentation described in subsection (b); and either

(2) Submit one hard copy of the documentation along with hard copies of all documents described in section 6, subsection (a); or

(3) If submitting electronically pursuant to section 6.5, provide one electronic copy of the documentation in accordance with section 6.5, subsection (a)[underline] (2). [underline] (1) Seven copies of the specific language of the proposed emergency regulation as set forth in section 6;

(2) A completed Form 400, with at least one Form 400 bearing an original signature, attached to each copy of the proposed text as set forth in section 6; [underline] (1) Seven copies of the specific language of the proposed emergency regulation as set forth in section 6;

(b) Documentation required for all emergency regulatory actions:[underline] (31) The finding of emergency required by Government Code section 11346.1(b); [underline] (42) An estimate prepared in accordance with instructions adopted by the Department of Finance as required by Government Code section 11346.5(a)(6); and [underline] (31) The finding of emergency required by Government Code section 11346.1(b); [underline] (42) An estimate prepared in accordance with instructions adopted by the Department of Finance as required by Government Code section 11346.5(a)(6); and [underline] (53)(A) A statement by the submitting agency confirming that it has complied with the requirement to provide notice of proposed rulemaking action pursuant to Government Code section 11346.1(a)(2); or

(B) A statement by the submitting agency confirming that the emergency situation addressed by the regulations clearly poses such an immediate, serious
harm that delaying action to allow notice and public comment would be inconsistent with the public interest. The statement shall include:

1. Specific facts demonstrating by substantial evidence that failure of the rulemaking agency to adopt the regulation within the time periods required for notice pursuant to Government Code section 11346.1(a)(2) and for public comment pursuant to Government Code section 11349.6(b) will likely result in serious harm to the public peace, health, safety, or general welfare; and

2. Specific facts demonstrating by substantial evidence that the immediate adoption of the proposed regulation by the rulemaking agency can be reasonably expected to prevent or significantly alleviate that serious harm.

OAL shall not approve any emergency regulation submitted with a subsection statement that does not satisfy the requirements of subsections 1. and 2.

Section 52. Readoption of Emergency Regulations.

(a) Readoption of an emergency regulation pursuant to Government Code section 11346.1(h) requires sending a notice of the proposed regulatory action pursuant to Government Code section 11346.1(a)(2).

(b) In addition to fulfilling the requirements for submission of regulatory actions described in sections 6[begin underline] or 6.5 [end underline] and 50, an agency requesting approval for readoption of an emergency regulation shall provide the following:

(1) A statement providing specific facts demonstrating by substantial evidence that the agency has made substantial progress and proceeded with diligence to comply with Government Code section 11346.1(e); and either

(2) A statement that the emergency circumstances are unchanged since the initial adoption or prior readoption; or

(3) An updated finding of emergency required by Government Code section 11346.1(b) to reflect circumstances that have changed since the initial adoption or prior readoption.

(c) An agency requesting approval for readoption of an emergency regulation may incorporate by reference the rulemaking record, identified by OAL file number, for the initial adoption and any prior readoption of the emergency regulation.

Section 100. Publication of “Changes Without Regulatory Effect.”

(a) Subject to the approval of OAL as provided in subsections (c) and (d), an agency may add to, revise or delete text published in the California Code of Regulations without complying with the rulemaking procedure specified in Article 5 of the APA only if the change does not materially alter any requirement, right, responsibility, condition, prescription or other regulatory element of any California Code of Regulations provision. Subject to the approval of OAL, the Department of Social Services may add to, revise or delete text published in the department Manual of Policies and Procedures (MPP) without complying with the rulemaking procedure specified in Article 5 of the APA only if the change does not materially alter any requirement, right, responsibility, condition, prescription or other regulatory element of the MPP. The addition, revision or deletion is a “change without regulatory effect.” Changes without regulatory effect include, but are not limited to:

(1) renumbering, reordering, or relocating a regulatory provision;

(2) deleting a regulatory provision for which all statutory or constitutional authority has been repealed;

(3) deleting a regulatory provision held invalid in a judgment that has become final, entered by a California court of competent jurisdiction, a United States District Court located in the State of California, the United States Court of Appeals for the Ninth Circuit, or the United States Supreme Court; however, OAL shall not approve any proposed change without regulatory effect if the change is based on a superior court decision which invalidated the regulatory provision solely on the grounds that the underlying statute was unconstitutional;

(4) revising structure, syntax, cross-reference, grammar, or punctuation;

(5) changing an “authority” or “reference” citation for a regulation; and,

(6) making a regulatory provision consistent with a changed California statute if both of the following conditions are met:

(A) the regulatory provision is inconsistent with and superseded by the changed statute, and

(B) the adopting agency has no discretion to adopt a change which differs in substance from the one chosen.
For all changes without regulatory effect submitted to OAL for review, the agency shall submit one hard copy of the statement along with hard copies of all documents described in section 6, subsection (a); or submit one electronic copy of the statement along with electronic copies of all documents described in section 6.5, subsection (a)(1).

(A) The agency must submit all electronic documents described in subsection (b)(3) in PDF format as attachments to a single email, which may not exceed 25MB in size.

(B) Electronic changes without regulatory effect may only be submitted to OAL at ElectronicSubmissions@oal.ca.gov.

(C) OAL will consider electronic changes without regulatory effect received after 5:00 p.m. on a business day, or at any time on a weekend or holiday, to be submitted on the following business day.

(c) OAL shall determine whether a change submitted is a change without regulatory effect within 30 working days of its receipt. OAL shall send written notification of the determination to the agency which submitted the changes.

(d) If OAL determines that the submitted change is a change without regulatory effect, OAL shall file it with the Secretary of State and have it published in the California Code of Regulations. If the change without regulatory effect is a
change to the MPP, OAL shall file the change with the Secretary of State and the Department of Social Services shall publish the change in the MPP.

Note: Authority cited: Sections 11342.4 and 11349.1[begin strikethrough] {e} [end strikethrough], Government Code. Reference: Sections 11342.600, 11343.8, 11344.6 and 11346, Government Code[begin strikethrough] ; and Article III, Section 3.5, California Constitution.[end strikethrough]
Section 101. Digital Signature Acceptance.

(a) Prior to submitting electronic documents containing digital signatures to OAL pursuant to section 6.5 or section 100, an agency must provide the following certification by the agency head to OAL in writing:

“I, [Name], as head of [Agency name], certify that my digital signature on all electronic documents hereafter submitted to the Office of Administrative Law pursuant to California Code of Regulations, title 1, section 6.5 or section 100 is in compliance with the requirements of Government Code section 16.5, subdivision (a), and California Code of Regulations, title 2, division 7, chapter 10.”

(b) If the agency head wishes to delegate their authority to submit electronic documents containing digital signatures to OAL pursuant to section 6.5 or section 100, then the written certification in subsection (a) shall include the following:

“I authorize each of the individuals named below to certify regulations on my behalf.

[List name and title of each delegate.]

I certify that each named delegate’s digital signature on all electronic documents hereafter submitted to the Office of Administrative Law pursuant to California Code of Regulations, title 1, section 6.5 or section 100 is in compliance with the requirements of Government Code section 16.5, subdivision (a), and California Code of Regulations, title 2, division 7, chapter 10.”

(c) The agency head must sign and date the certification provided to OAL pursuant to this section.

Note: Authority cited: Section 11342.4, Government Code. Reference: Section 11343, Government Code. [end underline]