EXECUTIVE ORDER NO. EO-2014-01

STANDARD HEARING PROCEDURES FOR
ADMINISTRATIVE CIVIL LIABILITY COMPLAINTS

The attached "Hearing Procedures for Administrative Civil Liability Complaint No. R4-20XX-XXXX" (hereafter, Hearing Procedures) shall be used whenever a Los Angeles Regional Water Quality Control Board (Los Angeles Water Board) Prosecution Team issues a complaint for administrative civil liability. The Hearing Procedures set forth a standardized process and the timelines to be used for various procedural requirements to ensure consistency. The table of important deadlines at the end of the document describes the timeline and the tasks/filings due at those times. The Hearing Procedures set forth the duties and obligations of the Prosecution Team, the Discharger, and any other parties and interested persons.

The Hearing Procedures is a standard notice and should not be changed or modified in any manner except as indicated in the document by the use of brackets/yellow highlighting or by prior permission. The Prosecution Team shall be responsible for inserting the correct dates and other information in the Hearing Procedures, based upon the date that the administrative civil liability complaint is issued and the specific facts of the matter. The Hearing Procedures shall be served on the Discharger and all other parties with the administrative civil liability complaint.

This Order shall remain in effect until modified or revoked by the Executive Officer.

Questions regarding this Order should be directed to Jennifer Fordyce, Attorney III, at Jennifer.Fordyce@waterboards.ca.gov or (916) 324-6682.

IT IS SO ORDERED

Samuel Unger, P.E.
Executive Officer

Date

Attachment
California Regional Water Quality Control Board, Los Angeles Region

HEARING PROCEDURES
FOR ADMINISTRATIVE CIVIL LIABILITY COMPLAINT
NO. R4-20XX-XXXX

ISSUED TO
[DISCHARGER(S) NAME(S)]
[FACILITY]

SCHEDULED FOR [DATE OF HEARING]

PLEASE READ THESE HEARING PROCEDURES CAREFULLY. FAILURE TO COMPLY WITH THE DEADLINES AND OTHER REQUIREMENTS CONTAINED HEREIN MAY RESULT IN THE EXCLUSION OF YOUR DOCUMENTS AND/OR TESTIMONY.

Overview

Pursuant to Water Code section 13323, the [Executive Officer or Assistant Executive Officer] of the California Regional Water Quality Control Board, Los Angeles Region (“Regional Board”) has issued an Administrative Civil Liability (ACL) Complaint to [DISCHARGER NAME] (hereafter Discharger(s)), alleging violations of Water Code section(s) [XXXXX] by [BRIEFLY SUMMARIZE ALLEGED VIOLATIONS]. Regional Board staff, represented by the Regional Board Staff Prosecution Team (“Prosecution Team”) propose in the ACL Complaint that the Regional Board impose administrative civil liability on the Discharger(s) in the amount of [$ACL AMOUNT].

[INSERT ONE OF THE FOLLOWING ONLY]:

OPTION 1 – FOR REGIONAL BOARD HEARING
A hearing on this matter is currently scheduled to be conducted before the Regional Board during its meeting on [DATE]. The purpose of the hearing is to consider relevant evidence and testimony regarding the ACL Complaint. At the hearing, the Regional Board will hear evidence, determine facts, make conclusions of law and consider whether to issue an ACL Order assessing the proposed liability, or a higher or lower amount. The Board may also decline to assess any liability, or may continue the hearing to a later date. If less than a quorum of the Board is available, this matter may be conducted before a hearing panel or continued to the next scheduled meeting. A continuance of the hearing will not automatically extend any deadlines set forth herein.

The public hearing will commence at [TIME] or as soon thereafter as practical, or as announced in the Board’s meeting agenda. The meeting will be held at:
[LOCATION]

An agenda for the meeting will be issued at least ten days before the meeting and posted on the Regional Board’s website at http://www.waterboards.ca.gov/losangeles/. Please check the Board’s website for the most up-to-date public hearing date and location as they are subject to change.

OR

OPTION 2 – FOR HEARING PANEL
A hearing on this matter is currently scheduled to be conducted before a Hearing Panel on [DATE]. Pursuant to Water Code section 13228.14, a Hearing Panel consisting of three or more members of the Regional Board will convene a hearing to consider relevant evidence and testimony regarding the ACL Complaint. At the hearing, the Hearing Panel will hear evidence, determine facts, make conclusions of
law and propose a recommendation to the Regional Board about resolution of the ACL Complaint. The Hearing Panel may recommend that the Regional Board issue an ACL Order assessing the proposed liability, or a higher or lower amount. The Hearing Panel may also recommend that the Regional Board decline to assess any liability, or may continue the hearing to a later date. After the hearing, the Hearing Panel will report its recommendation and proposed ACL Order to the full Regional Board at a future meeting.

The public hearing will commence at \[\text{TIME}\] or as soon thereafter as practical, or as announced in the Hearing Panel’s meeting agenda. The hearing will be held at:

\[\text{LOCATION}\]

An agenda for the hearing will be issued at least ten days before the hearing and posted on the Regional Board’s website at http://www.waterboards.ca.gov/losangeles/.

OR

**OPTION 3 – FOR EXECUTIVE OFFICER HEARING**

A hearing on this matter is currently scheduled to be conducted before the Executive Officer on \[\text{DATE}\]. Pursuant to Resolution No. R14-005, the Regional Board has delegated authority to the Executive Officer to hold evidentiary hearings to consider allegations in ACL Complaints and to issue final ACL Orders on the Regional Board’s behalf in certain matters. The purpose of the hearing is to consider relevant evidence and testimony regarding the ACL Complaint. At the hearing, the Executive Officer will hear evidence, determine facts, make conclusions of law and consider whether to issue an ACL Order assessing the proposed liability, or a higher or lower amount. The Executive Officer may also decline to assess any liability, or may continue the hearing to a later date. The public hearing will commence at \[\text{TIME}\] or as soon thereafter as practical. The hearing will be held at:

\[\text{LOCATION}\]

**Hearing Procedures**

The hearing will be a formal adjudicative proceeding and will be conducted in accordance with these Hearing Procedures. The Executive Officer has directed the use of these standardized hearing procedures for the adjudication of such matters. The procedures governing adjudicatory hearings before the Regional Board may be found at California Code of Regulations, title 23, section 648 et seq., and are available at http://www.waterboards.ca.gov. Copies will be provided upon request.

In accordance with section 648(d), any procedure not provided by these Hearing Procedures are deemed waived. Except as provided in section 648(b) and herein, Chapter 5 of the California Administrative Procedure Act (Gov. Code, § 11500 et seq.) does not apply to this hearing.

Objections to these hearing procedures must be in writing and must be received by the Advisory Team no later than the deadline listed under “Important Deadlines” below, or they will be waived. Objections about the matters contained in these Hearing Procedures will not be entertained at the hearing. Failure to comply with the deadline and requirements contained herein may result in the exclusion of documents and/or testimony. The Discharger(s) shall attempt to resolve objections to these Hearing Procedures with the Prosecution Team BEFORE submitting objections to the Advisory Team.

The procedures and deadlines herein may be amended by the [Regional Board Chair, Hearing Panel Chair or Executive Officer] or by the Advisory Team.
Separation of Prosecutorial and Advisory Functions

The Regional Board separates prosecutorial and adjudicative functions in matters that are prosecutorial in nature. To ensure the fairness and impartiality of this proceeding, those who will act in a prosecutorial role by presenting evidence for consideration by the [Regional Board, Hearing Panel, or Executive Officer] (the “Prosecution Team”) are separate from those who will provide legal and technical advice to the [Regional Board, Hearing Panel, or Executive Officer] (the “Advisory Team”). Members of the Advisory Team are: [NAMES AND TITLES]. Members of the Prosecution Team are: [NAMES AND TITLES].

Any members of the Advisory Team who normally supervise any members of the Prosecution Team are not acting as their supervisors in this proceeding, and vice versa. Further, members of the Advisory Team have not exercised any authority over the Prosecution Team, or advised them with respect to this matter, or vice versa. [NAME OF PERSON WHO ISSUED THE ACL COMPLAINT] regularly advises the [Regional Board or Executive Officer] in other, unrelated matters, but is not advising the [Regional Board or Executive Officer] in this proceeding. Other members of the Prosecution Team act or have acted as advisors to the [Regional Board or Executive Officer] in other, unrelated matters, but they are not advising the [Regional Board or Executive Officer] in this proceeding. Members of the Prosecution Team have not had any substantive ex parte communications with the [members of the Regional Board or Executive Officer] or the Advisory Team regarding this proceeding.

Hearing Participants

Participants in this proceeding are designated as either “Designated Parties” or “Interested Persons.”

Designated Parties are those subject to the ACL Complaint and other persons or organizations anticipated to have a substantial interest in the outcome of the hearing. Designated Parties may present written evidence, summarize their evidence orally at the hearing and cross-examine other parties’ witnesses (if they are called). “Evidence” includes witness testimony, documents, and tangible objects that tend to prove or disprove the existence of any alleged fact. “Relevant evidence” is evidence that relates to any fact in dispute in the proceedings. Designated Parties are subject to cross-examination about any evidence they present.

The following participants are hereby designated as Designated Parties in this proceeding:

1. Regional Board Prosecution Team

2. [DISCHARGER(S) NAME(S)]

Interested Persons include any person or organization that is interested in the outcome of the hearing, but who has not been designated as a Designated Party. Interested Persons generally may not present evidence (e.g., photographs, eye-witness testimony, and monitoring data), but may present written and/or oral non-evidentiary comments and policy statements. Interested Persons may not cross-examine witnesses and are not subject to cross-examination.

At the hearing, both Designated Parties and Interested Persons may be asked to respond to clarifying questions from the [Regional Board, Hearing Panel, or Executive Officer], Advisory Team, or others, at the discretion of the [Regional Board Chair, Hearing Panel Chair, or Executive Officer].

Requesting Designated Party Status
Persons or organizations who wish to participate in the hearing as a Designated Party must request designated party status by submitting a request in writing so that it is received no later than the deadline listed under “Important Deadlines” below. The request shall include an explanation of the basis for status as a Designated Party (i.e., how the issues to be addressed at the hearing affect the person, the need to present evidence or cross-examine witnesses, etc.), along with a statement explaining why the Designated Parties listed above do not adequately represent the person’s or organization’s interest. Any objections to these requests for designated party status must be submitted so that they are received no later than the deadline listed under “Important Deadlines” below. All participants will be notified before the hearing whether the request for designated party status is granted.

Primary Contacts

Advisory Team:

[TECHNICAL ADVISOR’S NAME AND TITLE]
320 West Fourth Street, Suite 200
Los Angeles, California 90013
Phone: (XXX) XXX-XXXX
Email: XXXXX@waterboards.ca.gov

[ADVISORY ATTORNEY’S NAME], Attorney
State Water Resources Control Board, Office of Chief Counsel
Physical Address: 1001 I Street, Sacramento, CA 95814
Mailing Address: P.O. Box 100, Sacramento, CA 95812
Phone: (XXX) XXX-XXXX
Email: XXXXXXX@waterboards.ca.gov

Prosecution Team:

[CASE MANAGER’S NAME AND TITLE]
320 West Fourth Street, Suite 200
Los Angeles, California 90013
Phone: (XXX) XXX-XXXX
Email: XXXXX@waterboards.ca.gov

[PROSECUTION ATTORNEY’S NAME], Attorney
State Water Resources Control Board, [Office of Enforcement or Office of Chief Counsel]
Physical Address: 1001 I Street, Sacramento, CA 95814
Mailing Address: P.O. Box 100, Sacramento, CA 95812
Phone: (XXX) XXX-XXXX
Email: XXXXXXX@waterboards.ca.gov

Discharger:

[DISCHARGER’S NAME AND CONTACT INFO]

[DISCHARGER’S ATTORNEY’S NAME AND CONTACT INFO, IF APPLICABLE AND KNOWN]

Ex Parte Communications
While this adjudicative proceeding is pending, the California Government Code forbids Designated Parties and Interested Persons from engaging in ex parte communications regarding this matter with [Regional Board members or the Executive Officer] and the Advisory Team, except during the public hearing itself. An ex parte communication is a written or verbal communication, either direct or indirect, that relates to the investigation, preparation, or prosecution of the ACL Complaint between a Designated Party or an Interested Person and [a Regional Board member or the Executive Officer] or a member of the Advisory Team that occurs in the absence of other parties and without notice and opportunity for all parties to participate in the communication (see Gov. Code, § 11430.10 et seq.). However, if the communication is copied to all other persons (if written) or is made in a manner open to all other persons (if verbal), then the communication is not considered an ex parte communication. Therefore, any written communication to [Regional Board members or the Executive Officer] or the Advisory Team before the hearing must also be copied to all other Designated Parties. Communications regarding non-controversial procedural matters, including a request for a continuance, are permissible ex parte communications and are not restricted.

The following communications to the Advisory Team must be copied to all Designated Parties: objections to these Hearing Procedures; requests for modifications to these Hearing Procedures; requests for designated party status, or objections thereto; and all written evidence, arguments, or policy statements from Designated Parties. This is not an all-inclusive list of ex parte communications.

**Hearing Time Limits**

To ensure that all participants have an opportunity to participate in the hearing, the following time limits shall apply: each Designated Party shall have a combined total of 30 minutes to present evidence (including evidence presented by witnesses called by the Designated Party), to cross-examine witnesses (if warranted), and to provide opening and/or closing statements. Each Interested Person shall have 3 minutes to present a non-evidentiary policy statement. Participants with similar interests or comments are requested to make joint presentations, and participants are requested to avoid redundant comments. Participants who would like additional time must submit their request to the Advisory Team so that it is received no later than the deadline listed under “Important Deadlines” below. Additional time may be provided at the discretion of the Advisory Team (prior to the hearing) or the [Regional Board Chair, Hearing Panel Chair, or Executive Officer] (at the hearing) upon a showing that additional time is necessary. Such showing shall explain what testimony, comments, or legal or technical argument requires extra time, and why it could not have been provided in writing by the applicable deadline. Decisions will be based upon the complexity and the number of issues under consideration, the extent to which the Designated Parties have coordinated and/or have similar interests, and the time available for the hearing.

A timer will be used, but will not run during questions from the [Regional Board, Hearing Panel, or Executive Officer] and the Advisory Team or the responses to such questions, or during discussions of procedural issues.

**Submission of Evidence, Argument and Policy Statements**

The Prosecution Team and all other Designated Parties (including the Discharger) must submit the following information in advance of the hearing, which must be received no later than the deadline listed under “Important Deadlines” below:

1. All evidence (other than witness testimony to be presented orally at the hearing) that the Designated Party would like the [Regional Board, Hearing Panel, or Executive Officer] to consider. Evidence and exhibits already in the public files of the Regional Board may be...
HEARING PROCEDURES FOR ACL COMPLAINT NO. R4-20XX-XXXX

submitted by reference, as long as the exhibits and their location are clearly identified in accordance with California Code of Regulations, title 23, section 648.3. [Regional Board members, Hearing Panel members or The Executive Officer] will not generally receive copies of materials incorporated by reference unless copies are provided by the Designated Party proffering the evidence as part of the Designated Party’s evidentiary submission. Referenced materials are generally not posted on the Regional Board’s website.

2. All legal and technical arguments or analysis.

3. The name of each witness, if any, whom the Designated Party intends to call at the hearing, the subject of each witness’ proposed testimony, and the estimated time required by each witness to present direct testimony.

4. The qualifications of each expert witness, if any.

Prosecution Team: The Prosecution Team’s information must include the legal and factual basis for its claims against each Discharger; a list of all evidence on which the Prosecution Team relies (which must include, at a minimum, all documents cited in the ACL Complaint or other material submitted by the Prosecution Team); and the witness information required under items 3-4 for all witnesses, including Regional Board staff. The Prosecution Team shall submit this information so that it is received no later than the deadline listed under “Important Deadlines” below.

Designated Parties (including the Discharger): All Designated Parties shall submit comments, arguments or analysis regarding the ACL Complaint along with any additional supporting evidence not cited by the Regional Board’s Prosecution Team; and the witness information required under items 3-4 for all witnesses, including Regional Board staff. Designated Parties shall submit this information so that it is received no later than the deadline listed under “Important Deadlines” below.

Rebuttal: Any Designated Party who would like to submit evidence, legal or technical arguments, or policy statements to rebut information submitted by other Designated Parties, shall submit this rebuttal information so that it is received no later than the deadline listed under “Important Deadlines” below. “Rebuttal” means evidence, analysis, or comments offered to disprove or contradict other submissions. Rebuttal shall be limited to the scope of the materials previously submitted. Rebuttal information that is not responsive to information previously submitted may be excluded.

Final Hearing Package and Proposed [Hearing Panel Report and Order]: The Prosecution Team will submit the Final Hearing Package and a proposed [Hearing Panel Report and Order] so that it is submitted no later than the deadline listed under “Important Deadlines” below.

Copies: [Regional Board members, Hearing Panel members, or The Executive Officer] and the Advisory Team will receive copies of all submitted materials. If hard copies of the submitted materials are provided to the [Regional Board members, Hearing Panel members, or Executive Officer] and the Advisory Team, the materials will be printed or copied double-sided in black and white on 8.5”x11” paper. Designated Parties who are concerned about print quality or the size of all or part of their written materials should provide an extra [ten, seven, or four] paper copies for the [Regional Board, Hearing Panel, or Executive Officer] and the Advisory Team. For voluminous submissions, the [Regional Board members, Hearing Panel members, or Executive Officer] and Advisory Team may receive copies in electronic format only. Electronic copies may also be posted on the Regional Board’s website. Designated Parties without access to computer equipment are strongly encouraged to have their materials scanned at a copy or mailing center. The [Regional Board, Hearing Panel or Executive Officer] will not reject materials solely for failure to provide electronic copies.

Interested Persons: Interested Persons who would like to submit written non-evidentiary policy statements are encouraged to submit them to the Advisory Team as early as possible, but they must be
HEARING PROCEDURES FOR ACL COMPLAINT NO. R4-20XX-XXXX

received by the deadline listed under “Important Deadlines” below to be included in the [Regional Board’s, Hearing Panel’s, or Executive Officer’s] hearing package. Interested persons should be aware that this matter may settle without further notice, and therefore timely submittal by the deadline may be the only opportunity for an Interested Person to comment on the subject of the ACL Complaint. If the hearing proceeds as scheduled, the [Regional Board, Hearing Panel or Executive Officer] will also receive oral comments from Interested Persons during the hearing. Interested Persons do not need to submit written comments in order to speak at the hearing.

Prohibition on Surprise Evidence: In accordance with California Code of Regulations, title 23, section 648.4, the Regional Board endeavors to avoid surprise testimony or evidence. Absent a showing of good cause and lack of prejudice to the parties, the [Regional Board Chair, Hearing Panel Chair or Executive Officer] may exclude evidence and testimony that is not submitted in accordance with these Hearing Procedures. Excluded evidence and testimony will not be considered by the [Regional Board, Hearing Panel or Executive Officer] and will not be included in the administrative record for this proceeding.

Presentations: PowerPoint and other visual presentations may be used at the hearing, but their content shall not exceed the scope of other submitted written material. These presentations must be provided to the Advisory Team at or before the hearing in electronic format, and hard copy if requested by the Advisory Team, so that they may be included in the administrative record.

Witnesses: All witnesses who have submitted written testimony shall appear at the hearing to affirm that the testimony is true and correct, and shall be available for cross-examination by Designated Parties.

Administrative Record and Availability of Documents

The ACL Complaint and evidentiary documents submitted in accordance with these Hearing Procedures shall be considered part of the official administrative record for this matter. Other submittals received for this proceeding will be added to the administrative record absent a contrary ruling by the [Regional Board Chair, Hearing Panel Chair or Executive Officer]. Written transcriptions of oral testimony or comments that are made at the hearing will be included in the administrative record.

These documents may be inspected and copied between the hours of 8:00 a.m. and 5:00 p.m. at the Regional Board’s office located at 320 West Fourth Street, Suite 200 Los Angeles, California 90013. Arrangements for document review and/or obtaining copies of the documents may be made by contacting the Prosecution Team Primary Contact above. Appointments are encouraged so the documents can be readily available upon arrival.

Questions

Questions concerning this proceeding may be addressed to the Advisory Team attorney (contact information above).
## IMPORTANT DEADLINES

All submissions must be received by 5:00 p.m. on the respective due date below.\(^1\),\(^2\) Where both electronic and hard copy formats are required to be submitted to the Prosecution Team, a complete electronic copy must be received by 5:00 p.m. on the respective due date below, and a complete hard copy may follow via overnight delivery so that it is received by the Prosecution Team the next day.

### [Day 1]
- Prosecution Team issues ACL Complaint, Hearing Procedures and other related materials.  
  **Hard Copies to:** All other Designated Parties (by certified mail)  
  **Electronic or Hard Copies to:** All known Interested Persons, Advisory Team

### [Day 11]
- Objections due on Hearing Procedures.  
  **Electronic or Hard Copies to:** All other Designated Parties, All known Interested Persons, Advisory Team  
  **Electronic and Hard Copies to:** Prosecution Team

### [Day 16]
- Deadline to request “Designated Party” status.  
  **Electronic or Hard Copies to:** All other Designated Parties, All known Interested Persons, Advisory Team  
  **Electronic and Hard Copies to:** Prosecution Team

### [Day 31]
- Discharger’s deadline to submit *Hearing Waiver Form*.\(^3\)  
  **Electronic or Hard Copy to:** Prosecution Team  
- Interested Persons’ written comments are due.  
  **Electronic or Hard copies to:** All Designated Parties, Advisory Team

### [Day 33]*
- Advisory Team transmits decision on requests for designated party status.  
  **Electronic or Hard Copies to:** All Designated Parties, All known Interested Persons  
- Advisory Team transmits decision on objections to Hearing Procedures.  
  **Electronic or Hard Copies to:** All Designated Parties, All known Interested Persons

### [Day 42]*
- Prosecution Team’s deadline for submission of information required under “Submission of Evidence, Argument and Policy Statements,” above.  
  **Electronic or Hard Copies to:** All other Designated Parties, All known Interested Persons, Advisory Team

### [Day 61]*
- Remaining Designated Parties’ (including the Discharger’s) deadline to submit all information required under “Submission of Evidence, Argument, and Policy Statements” above. This includes all written comments regarding the ACL Complaint.  
  **Electronic or Hard Copies to:** All other Designated Parties, All known Interested Persons, Advisory Team  
  **Electronic and Hard Copies to:** Prosecution Team

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\(^1\) With the exception of the deadline to submit the Final Hearing Package and proposed [Hearing Panel Report and] Order.  
\(^2\) Where a deadline falls on a weekend or holiday, the deadline is extended to the next business day.  
\(^3\) Pursuant to California Water Code section 13323(b), persons subject to an ACL Complaint have the right to a hearing before the Regional Board within 90 days of receiving the ACL Complaint, but this right can be waived (to facilitate settlement discussions, for example). By submitting the waiver form, the Discharger is not waiving the right to a hearing; unless a settlement is reached, the Board will hold a hearing prior to imposing administrative civil liability. However, if the Board accepts the waiver, all deadlines marked with an “**” will be revised if a settlement cannot be reached.
<table>
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<th>Day</th>
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| 75  | All Designated Parties shall submit any rebuttal evidence, any rebuttal to legal/technical arguments and/or policy statements and all evidentiary objections.  
Deadline to request Prehearing Conference.  
Electronic or Hard Copies to: All other Designated Parties, All known Interested Persons, Advisory Team  
Electronic and Hard Copies to: Prosecution Team |
| 78  | Deadline to submit requests for additional time at the hearing.  
Electronic or Hard Copies to: All other Designated Parties, All known Interested Persons, Advisory Team |
| 81  | Prosecution Team sends Final Hearing Package and proposed [Hearing Panel Report and] Order.  
Electronic or Hard Copies to: Regional Board members, Hearing Panel members, or Executive Officer, Advisory Team, All other Designated Parties |
| 84  | Advisory Team transmits hearing time limits  
Electronic or Hard Copies to: All Designated Parties, All known Interested Persons |
| 90  | Hearing |