

**OFFICE OF ADMINISTRATIVE LAW**

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**SUSAN LAPSLEY**  
 Director

ENDORSED FILED  
 IN THE OFFICE OF

2009 JUL 23 PM 12:44



*Debra Bowen*  
 DEBRA BOWEN  
 SECRETARY OF STATE

Date: July 23, 2009

To: Billy Lacey

From: Chapter Two Compliance Unit

Subject: **2009 OAL DETERMINATION NO. 15(S)**  
**(CTU2009-0318-04)**  
 (Summary Disposition issued pursuant to Gov. Code, sec. 11340.5;  
 Cal. Code Regs., tit. 1, sec. 270(f))

Petition Challenging as an Underground Regulation a Memorandum Dated February 14, 2008, with a Subject Heading "Blank Non-CDC Court Forms"

On March 18, 2009, you submitted a petition to the Office of Administrative Law (OAL) asking for a determination as to whether a Memorandum dated February 14, 2008, with a subject heading "Blank Non-CDC Court Forms" ("Memorandum"), constitutes an underground regulation. This Memorandum is signed by S. Wortman, Academic Vice Principal, at California State Prison, Corcoran. It states that all CDC forms shall be provided at no cost to inmates, but that non-CDC court forms "shall be provided to inmates at a cost of \$0.10 a page." You specifically challenge the provision requiring inmates to be charged for the non-CDC court forms. This Memorandum is attached hereto as Exhibit A.

In issuing a determination, OAL renders an opinion only as to whether a challenged rule is a "regulation" as defined in Government Code section 11342.600,<sup>1</sup> which should have been, but was not adopted pursuant to the Administrative Procedure Act (APA).<sup>2</sup> Nothing in this analysis evaluates the advisability or the wisdom of the underlying action or enactment. OAL has neither the legal authority nor the technical expertise to evaluate the underlying policy issues involved in the subject of this determination.

Generally, a rule which meets the definition of a "regulation" in Government Code section 11342.600 is required to be adopted pursuant to the APA. In some cases, however, the Legislature has chosen to establish exemptions from the requirements of the APA. Penal

<sup>1</sup> "Regulation" means every rule, regulation, order, or standard of general application or the amendment, supplement, or revision of any rule, regulation, order, or standard adopted by any state agency to implement, interpret, or make specific the law enforced or administered by it, or to govern its procedure.

<sup>2</sup> Such a rule is called an "underground regulation" as defined in California Code of Regulations, title 1, section 250, subsection (a):

"Underground regulation" means any guideline, criterion, bulletin, manual, instruction, order, standard of general application, or other rule, including a rule governing a state agency procedure, that is a regulation as defined in section 11342.600 of the Government Code, but has not been adopted as a regulation and filed with the Secretary of State pursuant to the APA and is not subject to an express statutory exemption from adoption pursuant to the APA.

Code section 5058, subdivision (c), establishes exemptions expressly for the California Department of Corrections and Rehabilitation:

(c) The following are deemed not to be "regulations" as defined in Section 11342.600 of the Government Code:

(1) Rules issued by the director applying solely to a particular prison or other correctional facility....

This exemption is called the "local rule" exemption. It applies only when a rule is established for a single correctional institution.

In *In re Garcia* (67 Cal.App.4<sup>th</sup> 841, 845), the court discussed the nature of a "local rule" adopted by the warden for the Richard J. Donovan Correctional Facility (Donovan) which dealt with correspondence between inmates at Donovan:

The Donovan inter-institutional correspondence policy applies solely to correspondence entering or leaving Donovan. It applies to Donovan inmates in all instances.

...

The Donovan policy is not a rule of general application. It applies solely to Donovan and, under Penal Code section 5058, subdivision (c)(1), is not subject to APA requirements.

Similarly, the rule challenged by your petition applies solely to the inmates of California State Prison, Corcoran. The Memorandum dated February 18, 2008 was issued by S. Wortman, Academic Vice Principal, at California State Prison, Corcoran. Inmates housed at other institutions are controlled by those other institutions' rules dealing with the cost of providing court forms. The rule you challenge was issued by the California State Prison, Corcoran, and applies only to inmates at the California State Prison, Corcoran. Therefore, the rule is a "local rule" and is exempt from compliance with the APA pursuant to Penal Code section 5058(c)(1).<sup>3</sup>

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<sup>3</sup> The rules challenged by your petition are the proper subject of a summary disposition letter pursuant to title 1, section 270 of the California Code of Regulations. Subdivision (f) of section 270 provides:

(f)(1) If facts presented in the petition or obtained by OAL during its review pursuant to subsection (b) demonstrate to OAL that the rule challenged by the petition is not an underground regulation, OAL may issue a summary disposition letter stating that conclusion. A summary disposition letter may not be issued to conclude that a challenged rule is an underground regulation.

(2) Circumstances in which facts demonstrate that the rule challenged by the petition is not an underground regulation include, but are not limited to, the following:

(A) The challenged rule has been superseded.

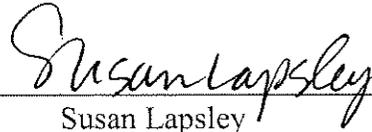
(B) The challenged rule is contained in a California statute.

(C) The challenged rule is contained in a regulation that has been adopted pursuant to the rulemaking provisions of the APA.

(D) The challenged rule has expired by its own terms.

**(E) An express statutory exemption from the rulemaking provisions of the APA is applicable to the challenged rule. (Emphasis added.)**

The issuance of this summary disposition does not restrict your right to adjudicate the alleged violation of section 11340.5 of the Government Code.



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Susan Lapsley  
Director



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George Shaw  
Staff Counsel

Copy: Matthew Cate  
John McClure

# EXHIBIT

A

# Memorandum

Date : 02 14 08

To : R. Rosenthal, Senior Librarian  
B. Sanders, Librarian  
S. Lever, DDP LTA  
J. Guzman, LTA  
V. Neri, LTA

Subject : **BLANK NON-CDC COURT FORMS**

Due to recent confusion about what forms are to be provided to inmates at no cost, our policy is reiterated below:

All CDC forms (e.g. 602s, 1824s, Inmate Requests for Interviews) shall be provided at no cost to inmates. Non-CDC court forms (e.g. "divorce packets", habaes corpus forms) shall be provided to inmates at a cost of \$0.10 a page.

Please see Title 15 §3162 (a) for any further clarification.



S. Wortman  
Academic Vice Principal