

#G-300

STATE OF CALIFORNIA

CALIFORNIA LAW REVISION COMMISSION

PREPRINT RECOMMENDATION

State and Local Agency Access to Electronic
Communications: Notice of Administrative Subpoena

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California Law Revision Commission
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SUMMARY OF RECOMMENDATION

The California Law Revision Commission has been directed to prepare proposed legislation on government access to customer records of communication service providers, in order to protect customers' constitutional rights.

Most of the areas for possible reform that the Commission identified were addressed by the California Electronic Communication Privacy Act ("Cal-ECPA"), which was enacted before the Commission could complete its work on this study.

This recommendation addresses one issue that was not resolved by Cal-ECPA, the need for notice to a customer when an administrative subpoena is served on a communication service provider to obtain the customer's information. The proposed law would require such notice.

This recommendation was prepared pursuant to Resolution Chapter 115 of the Statutes of 2013.

STATE AND LOCAL AGENCY ACCESS TO ELECTRONIC COMMUNICATIONS

1 INTRODUCTION

2 In 2013, the California Law Revision Commission was directed to study the
3 constitutional and statutory law on state and local agency access to customer
4 records of communication service providers.¹ The Commission was also directed
5 to prepare statutory reforms to protect customers' constitutional rights.

6 As a first step in its study, the Commission conducted extensive research into
7 the statutory and constitutional requirements that apply when a government entity
8 seeks access to customer information from an electronic communication service
9 provider (the most significant right being the protection against unreasonable
10 searches and seizures that is provided by the Fourth Amendment of the United
11 States Constitution and Section 13 of Article I of the California Constitution).

12 Before the Commission could begin work on the development of concrete
13 statutory reforms, legislation was introduced to create the California Electronic
14 Communications Privacy Act ("Cal-ECPA").² That legislation addressed nearly all
15 of the legal deficiencies that the Commission had identified in its study.

16 In order to avoid duplication of effort, the Commission decided to postpone
17 further work on developing proposed statutory reforms, until after the Legislature
18 and Governor had taken final action on Cal-ECPA. Instead, the Commission
19 prepared a report setting out its findings and conclusions regarding the
20 constitutional and statutory law that applies to government access to electronic
21 communications.³

22 Cal-ECPA was enacted, obviating most of the need for further Commission
23 work in this area.⁴ The Commission decided to set this study aside for several
24 years, to provide time for the new law to operate before making more changes.

25 In 2020, the Commission returned to this study, to make reform
26 recommendations regarding a few minor matters that had not been addressed by
27 Cal-ECPA. This recommendation addresses one of those issues, the
28 constitutionality of a search of a customer's electronic communications by use of
29 an administrative subpoena that is served on the customer's communication
30 service provider.

1. 2013 Cal. Stat. res. ch. 115.

2. SB 178 (Leno) (2015).

3. See *State and Local Agency Access to Electronic Communications: Constitutional and Statutory Requirements*, 44 Cal. L. Revision Comm'n Reports 229 (2015).

4. See Penal Code §§ 1546-1546.4; 2015 Cal. Stat. ch. 651.

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ADMINISTRATIVE SUBPOENA

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A warrant supported by probable cause is not the only constitutionally sufficient authority to conduct a search that is governed by the Fourth Amendment of the United States Constitution and Section 13 of Article I of the California Constitution. In some circumstances, a search pursuant to a subpoena *duces tecum*,⁵ issued by a state administrative agency, can also be constitutionally reasonable.

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The use of an administrative subpoena to compel the production of evidence (rather than a warrant) does not violate the Fourth Amendment, so long as the subpoena is authorized, sufficiently definite, and reasonable:

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Insofar as the prohibition against unreasonable searches and seizures can be said to apply at all it requires only that the inquiry be one which the agency demanding production is authorized to make, that the demand be not too indefinite, and that the information sought be reasonably relevant.⁶

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However, courts have held that a search pursuant to an administrative subpoena is constitutionally permissible only if the person whose records would be searched has notice and an opportunity to move to quash or modify the subpoena before any records are actually produced. As one court explained:

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While the Fourth Amendment protects people “against unreasonable searches and seizures,” it imposes a probable cause requirement only on the issuance of warrants. Thus, unless subpoenas are warrants, they are limited by the general reasonableness standard of the Fourth Amendment (protecting the people against “unreasonable searches and seizures”), not by the probable cause requirement.

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A warrant is a judicial authorization to a law enforcement officer to search or seize persons or things. To preserve advantages of speed and surprise, the order is issued without prior notice and is executed, often by force, with an unannounced and unanticipated physical intrusion. Because this intrusion is both an immediate and substantial invasion of privacy, a warrant may be issued only by a judicial officer upon a demonstration of probable cause — the safeguard required by the Fourth Amendment.

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A subpoena, on the other hand, commences an adversary process during which the person served with the subpoena may challenge it in court before complying with its demands. As judicial process is afforded before any intrusion occurs, the proposed intrusion is regulated by, and its justification derives from, that process.

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In short, the immediacy and intrusiveness of a search and seizure conducted pursuant to a warrant demand the safeguard of demonstrating probable cause to a neutral judicial officer before the warrant issues, whereas the issuance of a subpoena initiates an adversary process that can command the production of

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5. This recommendation does not consider the use of a subpoena as an instrument of discovery in a pending adjudicative proceeding.

6. *Brovelli v. Superior Court* (1961) 56 Cal.2d 524, 529 (citing *United States v. Morton Salt Co.* (1950) 338 U.S. 632, 651-54); see also *Oklahoma Press Pub. Co. v. Walling* (1946) 327 U.S. 186, 208 (“The gist of the protection is in the requirement, expressed in terms, that the disclosure sought shall not be unreasonable.”).

1 documents and things only after judicial process is afforded. And while a
2 challenge to a warrant questions the actual search or seizure under the probable
3 cause standard, a challenge to a subpoena is conducted through the adversarial
4 process, questioning the reasonableness of the subpoena's command.⁷

5 That reasoning is sound when a subpoena is served on the person whose records
6 will be searched. However, that will not necessarily be the case when a subpoena
7 is served on a communication service provider for access to a customer's records.

8 In the latter situation, the customer may not be notified of the subpoena and
9 might have no real opportunity to object before records are produced. That would
10 undermine or negate the above argument for the constitutionality of a search by
11 administrative subpoena.

12 In particular, if the customer is not separately notified of the subpoena, then only
13 the communication service provider will have an opportunity to object to the
14 subpoena through an adversarial judicial process. That will often be insufficient to
15 protect the interests of the customer, because the interests of the service provider
16 and customer are not the same. The service provider will mostly be concerned
17 with unreasonable burdens created by the subpoena; the customer is concerned
18 with privacy.

19 In order to ensure that the use of an administrative subpoena to obtain customer
20 records from a communication service provider is constitutional, the customer
21 must be given notice and an opportunity to challenge the subpoena in court before
22 the customer's records are produced.

23 That is the approach taken in the California Right to Financial Privacy Act, a
24 statute that regulates government access to customer records held by financial
25 institutions.⁸ If an administrative subpoena is used to obtain such records, notice of
26 the subpoena must be provided to the customer whose records are sought and the
27 customer is given 10 days to move to quash the subpoena before any records are
28 produced.⁹

29 A similar rule exists for the use of a subpoena *duces tecum* to obtain certain
30 personal records of a "consumer" in the discovery process. Before the date
31 specified for production of records, the subpoenaing party must serve notice on the
32 consumer whose records are being sought.¹⁰

7. *In re Subpoena Duces Tecum* (4th Cir. 2000) 228 F.3d 341, 347-48 (citations omitted) (emphasis added). See also *People v. West Coast Shows, Inc.* (1970) 10 Cal.App.3d 462, 470 ("The Government Code provides an opportunity for adjudication of all claimed constitutional and legal rights before one is required to obey the command of a subpoena duces tecum issued for investigative purposes").

8. Gov't Code §§ 7460-7493.

9. Gov't Code § 7474. There is an exception to the advance customer notice requirement, when the purpose of the search relates to specified financial offenses. See Gov't Code § 7474(b). The proposed law does not include a similar exception, for two reasons:

- (1) It is not clear that the grounds for those exceptions are relevant to a search of communication records.
- (2) It is not clear why delayed notice in such cases is proper.

10. Code Civ. Proc. § 1985.3(b).

1 In the contexts to which they apply, those existing requirements ensure that
2 before a customer's records are disclosed by a service provider, the customer
3 receives actual notice of the proposed disclosure.

4 RECOMMENDATION

5 The proposed law would require notice to the affected customer when an
6 administrative subpoena *duces tecum* is served on a communication service
7 provider to obtain the customer's records. Specifically, the following steps would
8 be required:

- 9 (1) When an administrative subpoena is served on a communication service
10 provider to obtain customer records, the subpoenaing agency would need to
11 serve notice on the affected customer. The notice would include a copy of
12 the subpoena and a specified advisory statement.
- 13 (2) The subpoena would require that the service provider make and retain a
14 copy of the requested records, to prevent spoliation, until the subpoena
15 operates or is quashed.
- 16 (3) Proof of service of the notice to the customer would be served on the
17 communication service provider.
- 18 (4) Unless the customer first moves to quash the subpoena and notifies the
19 service provider of that fact, the requested records must be produced 10 days
20 after the proof of service is served on the communication service provider.¹¹

21 That procedure would ensure that a customer whose records are sought by
22 means of an administrative subpoena will have actual notice of the subpoena
23 before it operates. This would provide a meaningful opportunity for an adversarial
24 judicial process to challenge the subpoena, before the state intrudes on the
25 customer's privacy. The Commission believes that is good policy and that it is
26 likely a constitutional requirement.

11. The 10-day waiting period before production of records could not be circumvented by a service provider voluntarily producing the requested records before the time period has run. Although Cal-ECPA generally permits voluntary disclosure by a service provider, there is an important exception. Voluntary disclosure is not permitted where disclosure is prohibited by other law. See Penal Code § 1546.1(f). Federal law provides a blanket prohibition on service provider disclosure of customer records. See 18 U.S.C. § 2702(a). There are narrow exceptions to that prohibition. The only ones that appear to be relevant are exceptions for disclosure of child abuse to the National Center for Missing and Exploited Children and disclosure required to address an imminent threat of death or serious physical injury. 18 U.S.C. § 2702(b)(6) & (8). The proposed law would not affect the voluntary disclosure of information pursuant to those existing exceptions.

PROPOSED LEGISLATION

1 **Gov't Code § 11181.5 (added). Subpoena for customer's electronic communication**
2 **information**

3 SECTION 1. Section 11181.5 is added to the Government Code to read:

4 11181.5. (a) For the purposes of this section:

5 (1) "Customer" means a person or entity that receives an electronic
6 communication service from a service provider.

7 (2) "Electronic communication information" has the meaning provided in
8 Section 1546 of the Penal Code.

9 (3) "Electronic communication service" has the meaning provided in Section
10 1546 of the Penal Code.

11 (4) "Service provider" has the meaning provided in Section 1546 of the Penal
12 Code.

13 (b) In addition to any other requirements that govern the use of an administrative
14 subpoena, an administrative subpoena may be used to obtain a customer's
15 electronic communication information from a service provider only if all of the
16 following conditions are satisfied:

17 (1) The department has served notice of the administrative subpoena on the
18 customer pursuant to Chapter 4 (commencing with Section 413.10) of Title 5 of
19 Part 2 of the Code of Civil Procedure.

20 (2) A copy of the administrative subpoena is attached to the notice.

21 (3) The administrative subpoena includes the name of the department that issued
22 it and the statutory purpose for which the electronic communication information is
23 to be obtained.

24 (4) The notice includes a statement in substantially the following form:

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26 "The attached subpoena was served on a communication service provider to
27 obtain your electronic communication information. The service provider has made
28 a copy of the information specified in the subpoena. Unless you (1) move to quash
29 or modify the subpoena within 10 days of service of this notice, and (2) notify the
30 service provider that you have done so, the service provider will disclose the
31 information pursuant to the subpoena."
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33 (5) The department has served a proof of service on the service provider stating
34 its compliance with paragraphs (1) to (4), inclusive.

35 (c) Unless the customer has notified the service provider that a motion to quash
36 or modify the subpoena has been filed, the service provider shall produce the
37 electronic communication information specified in the subpoena no sooner than 10
38 days after the department served the proof of service required by paragraph (5) of
39 subdivision (b).

1 (d) If a customer files a motion to quash or modify an administrative subpoena
2 issued pursuant to subdivision (b), the proceeding shall be afforded priority on the
3 court calendar, and the matter shall be heard within 10 days from the filing of the
4 motion to quash or modify.

5 (e) This section does not require a service provider to inquire whether, or to
6 determine that, the department has complied with the requirements of this section
7 if the documents served on the service provider facially show compliance.

8 (f) This section does not preclude a service provider from notifying a customer
9 of the receipt of an administrative subpoena pursuant to subdivision (b).

10 (g)(1) A service provider shall maintain, for a period of five years, a record of
11 any disclosure of its customers' electronic communication information pursuant to
12 this section.

13 (2) The record maintained pursuant to this subdivision shall include a copy of
14 the administrative subpoena.

15 (3) Upon customer request and the payment of the reasonable cost of
16 reproduction and delivery, a service provider shall provide to the customer any
17 part of the record maintained pursuant to this subdivision that relates to the
18 customer.

19 (h)(1) If an administrative subpoena is served on a service provider pursuant to
20 this section, the service provider shall promptly make a copy of any electronic
21 communication information that is within the scope of the subpoena and within the
22 possession of the service provider at the time that the subpoena was served.

23 (2) The copy made pursuant to this subdivision shall be preserved only until it is
24 disclosed pursuant to the subpoena or the subpoena is quashed or modified.

25 **Comment.** Section 11181.5 imposes specified requirements when an administrative subpoena
26 is used to obtain a customer's electronic communication information from a service provider.
27 Similar requirements exist when a government agency uses an administrative subpoena to obtain
28 customer information from a financial institution. See Section 7474. See also Code Civ. Proc. §
29 1985.3 (notice to consumer when personal information sought by subpoena).

30 Subdivision (b) is similar to Section 7474(a)(1)-(2).

31 Subdivision (c) is similar to Section 7470(a)(3). Federal law generally bars a service provider
32 from voluntarily disclosing a customer's electronic communication records. 18 U.S.C. § 2702(a).
33 However, there is an exception for voluntary disclosure of child abuse information or voluntary
34 disclosure required to address an imminent and severe emergency. See 18 U.S.C. § 2702(b)(6) &
35 (8). See also Penal Code Section 1546.1(f) ("A service provider may voluntarily disclose
36 electronic communication information or subscriber information when that disclosure is not
37 otherwise prohibited by state or federal law.").

38 Subdivision (d) is similar to Section 7474(d).

39 Subdivision (e) is similar to Section 7470(b).

40 Subdivision (f) is similar to the first sentence of Section 7474(c).

41 Subdivision (g) is similar to Section 7470(c).

42 Subdivision (h) is new. It requires the service provider to preserve requested information to
43 prevent its deletion or modification by the affected customer. See also 18 U.S.C. § 2703(f).