



Rules of
Department of Public Safety
Division 45—Missouri Gaming Commission
Chapter 13—Hearings

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**Title 11—DEPARTMENT OF
PUBLIC SAFETY**

**Division 45—Missouri Gaming
Commission**

Chapter 13—Hearings

11 CSR 45-13.010 All Types of Hearings

PURPOSE: This rule describes types of hearings.

(1) The rules contained in this chapter shall govern all hearings of the commission. In all hearings before the commission, the applicant or licensee shall be the petitioner. For good cause, the commission may extend the time limits set forth in this chapter.

AUTHORITY: sections 313.004, 313.052, 313.065, 313.560, 313.800 and 313.805, RSMo 2000. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Emergency amendment filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Amended: Filed Dec. 12, 1997, effective July 30, 1998. Amended: Filed June 30, 2003, effective Feb. 29, 2004.*

**Original authority: 313.004, RSMo 1993, amended 1994; 313.052, RSMo 1994; 313.065, RSMo 1981, amended 1993, 1995; 313.560, RSMo 1986, amended 1987; and 313.800, RSMo 1991, amended 1993, 1994; and 313.805, RSMo 1991, amended 1993, 1994, 2000.*

11 CSR 45-13.020 Hearing Officer

PURPOSE: This rule describes appointment of hearing officers.

(1) The commission shall retain a hearing officer, as a full-time employee or on a contract basis, to conduct the hearings required by the statutes and regulations over which the commission has jurisdiction.

(2) The hearing officer shall be a member in good standing of the Missouri Bar.

(3) Following each hearing, the hearing officer shall recommend proposed findings of fact, conclusions of law and a final order to the commission.

(4) The commission shall review the recommendation of the hearing officer and issue findings of fact, conclusions of law and enter a final order.

(5) Notwithstanding the foregoing, the commission may by majority vote designate one (1) or more gaming commissioners to act as a hearing officer and conduct any hearing over which the commission has jurisdiction.

AUTHORITY: sections 313.004, 313.052, 313.065, 313.560, 313.800 and 313.805, RSMo 2000. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Emergency amendment filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Amended: Filed Dec. 12, 1997, effective July 30, 1998. Amended: Filed June 30, 2003, effective Feb. 29, 2004.*

**Original authority: 313.004, RSMo 1993, amended 1994; 313.052, RSMo 1994; 313.065, RSMo 1981, amended 1993, 1995; 313.560, RSMo 1986, amended 1987; and 313.800, RSMo 1991, amended 1993, 1994; and 313.805, RSMo 1991, amended 1993, 1994, 2000.*

11 CSR 45-13.030 Requests for Hearings

PURPOSE: This rule establishes the procedure for requesting a hearing.

(1) All requests for hearings must—

- (A) Be in writing;
- (B) State the name, current address and current telephone number of the petitioner;
- (C) State the number assigned to the matter by the commission;
- (D) State the particular section of the statutes or commission rule involved; and

(E) State in detail the reasons and facts upon which the petitioner will rely to prove its case, such as to show that the petitioner's application for a license should have been granted, the license should have been renewed, the transfer of ownership should have been approved, or the petitioner should not have been placed on the exclusion list, including specific responses to any facts enumerated in the commission's notice of denial, notice of unsuitability, notice of nonrenewal, notice of exclusion or other document evidencing legal action.

(2) A request for hearing must be submitted within thirty (30) days from the date of mailing by the commission of the decision or issue about which the petitioner requests a hearing.

(A) The petitioner may submit a request for hearing by—

- 1. Personal delivery;
- 2. Certified mail, postage prepaid; or
- 3. Overnight express mail, postage prepaid.

(B) All requests for hearings must be submitted in duplicate at the commission's office in Jefferson City.

(C) No documents or papers shall be considered filed until actually received by the commission.

(D) The hearing officer may deny a request for hearing if the statement of reasons and facts submitted by the petitioner do not establish a *prima facie* case.

(E) Other than disciplinary actions recommending the revocation of an occupational license, no Preliminary Order of Discipline shall be issued for an occupational licensee whose license has been placed in a casino restricted status, terminated, or has expired prior to the entry of said order.

(F) Other than disciplinary actions recommending the revocation of an occupational license, if the petitioner's occupational license has been placed in a casino restricted status, terminated, or has expired prior to the entry by the commission of a Final Order of Discipline, then the Preliminary Order of Discipline shall be rescinded, and the petitioner's request for hearing shall be denied and stricken.

(3) The petitioner shall be served with written notice of the time and place of hearing by—

- (A) Personal delivery;
- (B) Certified mail, postage prepaid; or
- (C) Overnight express mail, postage prepaid.

AUTHORITY: sections 313.004, 313.052, 313.065, and 313.560, RSMo 2000, and sections 313.800 and 313.805, RSMo Supp. 2013. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Emergency amendment filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Amended: Filed Dec. 12, 1997, effective July 30, 1998. Amended: Filed June 30, 2003, effective Feb. 29, 2004. Amended: Filed Dec. 5, 2013, effective Aug. 30, 2014.*

**Original authority: 313.004, RSMo 1993, amended 1994; 313.052, RSMo 1994; 313.065, RSMo 1981, amended 1993, 1995; 313.560, RSMo 1986, amended 1987; and 313.800, RSMo 1991, amended 1993, 1994; and 313.805, RSMo 1991, amended 1993, 1994, 2000.*

11 CSR 45-13.040 Appearances

PURPOSE: This rule establishes the procedures for attorneys filing appearances.



(1) A party may be represented by an attorney who is licensed in Missouri. All attorneys who appear in a representative capacity on behalf of a party must file written notice of appearance setting forth—

(A) The name, address, telephone number and Missouri Bar number of the attorney(s); and

(B) The name and address of the party represented.

(2) Upon motion, the hearing officer may permit a member in good standing of the bar of the highest court of any state or of any United States district court to argue or conduct a particular hearing in whole or in part.

(3) An attorney may only withdraw his/her appearance upon written notice to the hearing officer stating the reasons therefore and after permission from the hearing officer.

(4) Any individual may appear on his/her own behalf.

AUTHORITY: sections 313.004, 313.052, 313.560, 313.800 and 313.805, RSMo 1994. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Emergency amendment filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Amended: Filed Dec. 12, 1997, effective July 30, 1998.*

**Original authority: 313.004, RSMo 1993, amended 1994; 313.052, RSMo 1994; 313.560, RSMo 1986, amended 1987; and 313.800 and 313.805, RSMo 1991, amended 1993, 1994.*

11 CSR 45-13.045 Suitability and Exclusion Hearings for Gaming Applicants and Licensees

PURPOSE: This rule authorizes hearings for applicants found to be unsuitable for licensing and persons placed on an exclusion list.

(1) A person whose application for a gaming license has not been granted for failing to establish suitability to hold a license or who has been placed on an exclusion list pursuant to 11 CSR 45-15.040(1) may request a hearing under this chapter.

(2) The commission may authorize the director to investigate and make the initial finding of unsuitability with regard to any applicant for or holder of a license of the type that may

be issued by the director pursuant to 11 CSR 45-4.260(1).

(3) Whenever the commission finds an applicant unsuitable for licensing, the commission shall send a written letter to the applicant outlining the reasons for the finding, including both the applicable criteria for suitability that the applicant has established and those criteria that the applicant has failed to establish. This letter shall be sent certified mail, return receipt requested or by personal delivery. Within thirty (30) days from the date of mailing, the licensee shall file a request for hearing by serving it on the director as provided in 11 CSR 45-13.030(2). If a request for hearing is not filed within the time provided for, the letter shall become a final order of the commission.

AUTHORITY: sections 313.004, 313.560, 313.800 and 313.805, RSMo 2000. Original rule filed June 30, 2003, effective Feb. 29, 2004.*

**Original authority: 313.004, RSMo 1993, amended 1994; 313.560, RSMo 1986, amended 1987; 313.800, RSMo 1991, amended 1993, 1994; 313.805, RSMo 1991, amended 1993, 1994, 2000.*

11 CSR 45-13.050 Disciplinary Action Against Gaming Licensees

PURPOSE: This rule establishes the procedures for disciplinary action.

(1) When notified of facts sufficient to support disciplinary action against a gaming licensee under the applicable statutes or rules, the commission may propose disciplinary action against a licensee. If the commission proposes disciplinary action, it shall notify the licensee of the disciplinary action proposed by certified mail, including with the notification a proposed order for disciplinary action.

(2) The proposed order shall include a statement of facts supporting the disciplinary action, the rule or statutory section the licensee is being charged with violating and the penalty proposed. The proposed order shall be accompanied by a certificate of service demonstrating the date of service.

(3) Within thirty (30) days from the date of mailing of the proposed order, the licensee shall file his/her/its request for hearing by serving it on the director. If a request for hearing is not filed, the proposed order shall become a final order of the commission.

(4) The commission may authorize the director to investigate and to issue a proposed order for disciplinary action with regard to any applicant for or holder of a license of the type that may be issued by the director pursuant to 11 CSR 45-4.260(1).

AUTHORITY: sections 313.004, 313.560, 313.800 and 313.805, RSMo 2000. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Amended: Filed Dec. 7, 1995, effective June 30, 1996. Amended: Filed Aug. 30, 1996, effective April 30, 1997. Emergency amendment filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Amended: Filed Dec. 12, 1997, effective July 30, 1998. Amended: Filed March 1, 1999, effective Oct. 30, 1999. Amended: Filed June 30, 2003, effective Feb. 29, 2004.*

**Original authority: 313.004, RSMo 1993, amended 1994; 313.560, RSMo 1986, amended 1987; 313.800, RSMo 1991, amended 1993, 1994; and 313.805, RSMo 1991, amended 1993, 1994, 2000.*

11 CSR 45-13.051 Bingo Hearings

PURPOSE: This rule sets forth procedures for hearings related to bingo applicants and licensees.

(1) A person whose application for a bingo license has not been granted for failing to establish suitability to hold a license or against whom a disciplinary action has been initiated, including action to place the person's name on the List of Ineligible Persons (List), may request a hearing under this chapter. The rules in this chapter shall be read together with Chapter 536, RSMo.

(2) The commission may authorize the director to investigate and make the initial finding of unsuitability or to issue a proposed order for disciplinary action with regard to any applicant for, or holder of, a license of the type that may be issued by the director pursuant to 11 CSR 45-30.065(3). The commission may also authorize the director to investigate and make the initial finding of ineligibility and to initiate proceedings to place a person on the List pursuant to 11 CSR 45-30.580.

(3) Whenever the commission finds an applicant unsuitable or ineligible for licensing, the commission shall notify the licensee or applicant in writing outlining the reasons for the finding. This notice shall be sent to the



party's last known address by certified mail, return receipt requested, or by another means of personal service.

(4) When notified of facts sufficient to support disciplinary action against a bingo licensee under the applicable statutes or rules, the commission may propose disciplinary action against a licensee. If the commission proposes disciplinary action, it shall notify the licensee of the proposed disciplinary action, in writing, outlining the reasons for the proposed discipline. This notice shall be sent to the party's last known address by certified mail, return receipt requested, or by another means of personal service.

(5) Any licensee who receives a notice of commission action shall respond to the commission within thirty (30) days of the date the notice is mailed from the commission.

(A) If the licensee does not respond to the commission within thirty (30) days of the date the notice is mailed, the commission may petition the Administrative Hearing Commission (AHC) for findings of fact and conclusions of law to support unsuitability, ineligibility, or discipline.

(B) If the licensee responds to the commission within thirty (30) days of the date the notice is mailed, the commission may take any action it deems appropriate, including, but not limited to, dismissing the matter, initiating settlement negotiations pursuant to 11 CSR 45-13.065, or petitioning the AHC for findings of fact and conclusions of law to support unsuitability, ineligibility, or discipline.

(6) Hearings before the AHC shall be governed by Chapter 536, RSMo and the rules in 1 CSR 15-3. The AHC shall, after opportunity for hearing, issue findings of fact and conclusion of law and refer the matter back to the commission.

(A) If the AHC does not find a factual basis to support the notice of commission action, the matter will be dismissed and no action will be taken against the licensee.

(B) If the AHC issues its findings of fact and conclusions of law supporting cause to discipline, the case will be returned to the commission to convene a hearing to consider and determine the appropriate disciplinary action, and enter a final order.

(7) Upon receiving findings of fact and conclusions of law supporting cause to discipline from the AHC, the commission shall set the matter for a hearing pursuant to 11 CSR 45-13.030 before the commission's hearing officer in accordance with this chapter. The notice of hearing shall be in writing and shall notify the licensee of the time and place of

the hearing, unless a waiver of hearing is filed by the licensee or the parties reach a settlement, negating the need for a hearing. Service of the hearing notice shall be sent by mail to the party's last known address.

(8) Following the hearing, the hearing officer shall make a recommendation of discipline or other action to the commission as authorized and set forth by 11 CSR 45-13.020.

AUTHORITY: sections 313.004, 313.015, 313.052, 313.065, 621.045, and 621.110, RSMo 2016. Original rule filed June 30, 2003, effective Feb. 29, 2004. Amended: Filed June 25, 2015, effective Feb. 29, 2016. Amended: Filed June 30, 2016, effective Feb. 28, 2017.*

**Original authority: 313.004, RSMo 1993, amended 1994, 2014; 313.015, RSMo 1981, amended 1983, 1993, 1994, 1996, 2010; 313.052, RSMo 1994; 313.065, RSMo 1981, amended 1993, 1995; 621.045, RSMo 1965, amended 1978, 1995, 2005, 2007, 2011; and 621.110, RSMo 1965, amended 1978, 2006, 2011.*

11 CSR 45-13.055 Emergency Order Suspending License Privileges—Expedited Hearing

PURPOSE: This rule establishes a procedure for immediately suspending the privileges under a license where the public health, safety or welfare is endangered and preservation of the public interest requires such suspension of privileges.

(1) Upon a finding that sufficient facts exist to show that a licensee has violated a provision of section 313.004 to 313.090, RSMo, or sections 313.800 to 313.850, RSMo or any rule promulgated by the commission under 11 CSR 30, et seq. or 11 CSR 45, et seq. as may be amended from time-to-time and that such facts constitute an immediate threat to the public health, safety or welfare, the director may issue an emergency order immediately suspending the privileges under the license that allow the licensee to—

(A) Conduct gambling games on an excursion gambling boat; or

(B) Serve as an officer, director, trustee, proprietor, managing agent, or general manager of a licensee or key person of a licensee; or

(C) Work on an excursion gambling boat or have access to restricted areas on an excursion gambling boat; or

(D) Sell gambling supplies; or

(E) Operate a bingo game; or

(F) Sell or manufacture bingo supplies.

The director shall have notice of the emergency order personally served upon the licensee or, if the licensee is not available personally,

it may be served by certified mail or overnight express mail, postage prepaid.

(2) Upon receipt of notice of an emergency suspension of license privileges as set forth in section (1) of this rule, the licensee may request an immediate informal hearing before the director. A request for informal hearing must be in writing and delivered to the director at the commission's office in Jefferson City via facsimile, personal delivery or express mail, postage prepaid. The director or his/her designee shall hold the informal hearing within forty-eight (48) hours of receipt of the request for hearing. The procedure for the hearing shall be as follows:

(A) The director or his/her designee shall call the hearing to order and present a statement of facts summarizing the violations of statute and regulation committed by the licensee and the reason(s) why the licensee's conduct constitutes an immediate threat to the public health, safety or welfare such that it demands an emergency order;

(B) The licensee may respond by submitting evidence and/or witnesses supporting its position that the conduct does not constitute a violation of law or that it is not of such severity that it demands emergency action. The director or his/her designee may require that witnesses testify under oath. All relevant evidence is admissible. The director or his/her designee may question witnesses. At the conclusion of the licensee's presentation of evidence, the licensee may make a concluding argument as to why the emergency order should not stand; and

(C) Upon receiving all evidence presented by the licensee and hearing the licensee's final argument, the director or his/her designee shall render a decision as to whether or not the order will stand. If the director reaffirms the order, it shall be scheduled for a hearing before the full commission as provided in section (3) of this rule.

(3) Emergency orders issued pursuant to section (1) of this rule, except those that have been rescinded by the director after an informal hearing provided for in section (2), shall be presented to the commission at its next meeting where a hearing will be conducted to determine the validity of the issuance of the order. The hearing shall be commenced within seven (7) days of the service of notice of the emergency order upon the licensee unless sufficient cause can be shown as to why a hearing cannot be commenced within that time. Under no circumstance shall such hearing be commenced more than fourteen (14) days after service of notice of the emergency order unless a delay is requested by the licensee. The commission shall preside over the hearing which



shall be conducted in accordance with the procedures set forth in 11 CSR 45-13.060. The commission may designate a hearing officer to direct the hearing and rule on evidentiary matters. However, the hearing officer's rulings shall be advisory only and may be overruled by the commission. Upon conclusion of oral arguments and evidentiary presentations, the commission shall determine whether sufficient cause exists to uphold the proposed emergency order.

(4) If the commission finds there are facts sufficient to support a finding that the alleged conduct occurred, that it poses an immediate threat to the public health, safety or welfare and that the effective regulation of gaming demands the action, it shall adopt a resolution ratifying the emergency order. The commission may amend the language in the emergency order based upon the evidence presented at the hearing. The commission's resolution shall establish the length of term for the order by establishing an expiration date. The expiration date may be a specific date, dependent on the completion of specified remedial actions or dependent on the outcome of a proposed disciplinary action issued by the commission pursuant to 11 CSR 45-13.050. If the expiration date is dependent upon specific remedial actions, the commission shall provide a detailed description of the remedies in the resolution and shall establish procedures whereby the licensee can demonstrate that it has complied with the required remedies. Any resolution adopted to ratify the emergency order is a final decision of the commission for purposes of appeal.

(5) If the commission finds that there is insufficient cause to support the order, it shall adopt a resolution rescinding the emergency order and the licensee's privileges shall be reinstated.

(6) Resolutions ratifying or rescinding emergency orders adopted pursuant to the provisions of this rule shall not prohibit the commission from instituting a proposed disciplinary action using the procedures set forth in 11 CSR 45-13.050.

(7) Copies of the final commission order shall be served on the licensee by certified or overnight express mail, postage prepaid; or by personal delivery.

AUTHORITY: sections 313.004, 313.052, 313.560, 313.800 and 313.805, RSMo 1994. Emergency rule filed July 30, 1999, effective Aug. 9, 1999, expired Feb. 24, 2000. Emergency amendment filed Nov. 30, 2006, effective Dec. 10, 2006, expired June*

7, 2007. Original rule filed Dec. 17, 1999, effective July 30, 2000.

**Original authority: 313.004, RSMo 1993, amended 1994; 313.052, RSMo 1994; 313.560, RSMo 1986, amended 1987; 313.800, RSMo 1991; amended 1992, 1993, 1994; 313.805, RSMo 1991, amended 1992, 1993, 1994.*

11 CSR 45-13.060 Proceedings

PURPOSE: This rule establishes procedures for conducting hearings.

(1) The commission may issue subpoenas and subpoena *duces tecum* for the production of books, records and other pertinent documents, or upon written request to appear and offer testimony.

(A) Upon written request served on a party, the requesting party shall be entitled to the name and address of any witness who may be called to testify on behalf of a party and all documents or other material in the possession or control of a party which the party reasonably expects will be introduced into evidence, the party shall be under a continuing duty to update this list.

(B) Upon the request of a party and for good cause shown the hearing officer may allow other discovery to be conducted.

(2) The burden of proof is at all times on the petitioner. The petitioner shall have the affirmative responsibility of establishing the facts of his/her case by clear and convincing evidence including, but not limited to:

- (A) Why s/he should be licensed;
- (B) Why s/he should not be disciplined or excluded; and
- (C) Why s/he does not owe a tax or penalty.

(3) All testimony shall be given under oath or affirmation.

(4) Petitioner may present an opening statement, and the commission shall present an opening statement on the merits. Petitioner proceeds first to present evidence, except in the case of disciplinary actions against gaming licensees, in which case the commission shall present evidence first. The hearing officer shall then hear evidence from the other party and any evidence in rebuttal.

(5) Each party may conduct cross-examination of adverse witnesses.

(6) Both parties may present closing argument. The party who presented evidence first shall argue first, then the other party, fol-

lowed by any rebuttal argument.

(7) The parties may request, or the hearing officer may require, that the parties submit briefs.

(8) Failure of the petitioner to appear at the hearing shall constitute an admission of all matters and facts alleged by the commission in its notice of commission action and a waiver of the petitioner's rights to a hearing, but the commission in its discretion may nevertheless order a hearing.

AUTHORITY: sections 313.004, 313.052, 313.065, 313.560, 313.800 and 313.805, RSMo 2000. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effective Jan. 31, 1994. Emergency amendment filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Amended: Filed Dec. 12, 1997, effective July 30, 1998. Amended: Filed June 30, 2003, effective Feb. 29, 2004.*

**Original authority: 313.004, RSMo 1993, amended, 1994, 313.052, RSMo 1994; 313.065, RSMo 1981, amended 1993, 1995; 313.560, RSMo 1986, amended 1987; and 313.800, RSMo 1991, amended 1993, 1994; and 313.805, RSMo 1991, amended 1993, 1994, 2000.*

11 CSR 45-13.065 Settlements

PURPOSE: This rule establishes the procedures for settlements and settlement offers.

(1) The parties may initiate settlement negotiations at any stage of the proceedings, including prior to the initiation of the proceedings before the Administrative Hearing Commission in the case of a bingo hearing, or prior to the entry of a final order of the commission.

(2) If the parties initiate settlement negotiations in a bingo hearing, then the provisions of section 621.045, RSMo shall be followed. All other settlements not involving a bingo licensee shall be governed by Chapter 313, RSMo, and the rules in this chapter.

(3) All settlement agreements shall be in writing, signed by the parties, and accurately reflect all the terms of the settlement, including the facts agreed to by the parties constituting the grounds for the action proposed in the settlement agreement.

(4) Once signed by the parties, the settlement agreement shall be presented to the commission for its approval or disapproval. If the



commission approves the settlement offer it will become a final commission order. If the commission disapproves the settlement offer the parties shall be notified and the settlement agreement and any documents solely relating to the offer shall not constitute part of the record.

AUTHORITY: sections 313.052 and 313.560, RSMo 2000, sections 313.805 and 621.045, RSMo Supp. 2013, and sections 313.004 and 313.800, RSMo Supp. 2014. Emergency rule filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Original rule filed Dec. 12, 1997, effective July 30, 1998. Amended: Filed June 25, 2015, effective Feb. 29, 2016.*

**Original authority: 313.004, RSMo 1993, amended 1994, 2014; 313.052, RSMo 1994; 313.560, RSMo 1986, amended 1987; 313.800, RSMo 1991, amended 1993, 1994, 2005, 2014; 313.805, RSMo 1991, amended 1992, 1993, 1994, 2000, 2008, 2010; and 621.045, RSMo 1965, amended 1978, 1995, 2005, 2007, 2011.*

11 CSR 45-13.070 Transmittal of Record and Recommendation to the Commission

PURPOSE: This rule establishes the procedures for transmittal of the record and recommendations from the hearing officer.

(1) The record shall consist of the following:

(A) The commission's notice to petitioner, the Request for Hearing and all motions and rulings on the Request for Hearing;

(B) All evidence received;

(C) A statement of matters officially noticed;

(D) Offers of proof, objections and ruling on them;

(E) All pleadings filed by either party;

(F) The transcript of the hearing;

(G) All briefs filed by either party;

(H) A proposed resolution approving the recommendations of the hearing officer;

(I) Any objections filed by either party to the hearing officer's written findings of fact, conclusions of law and recommendations; and

(J) The recommendations and any findings of fact and conclusions of law made by the hearing officer.

(2) Oral proceedings, or any part of them, shall be recorded stenographically or by other means which adequately insure the preservation of the testimony or oral proceedings and shall be transcribed on request of any party. The transcript shall be paid for by the requesting party.

(3) Upon conclusion of the hearing, the hear-

ing officer shall issue to the commission and the petitioner written findings of fact and conclusions of law and his/her recommendations at least twenty (20) days prior to the public meeting at which the case is to be considered by the commission. Findings of fact shall be based exclusively on the evidence and on matters officially noticed. The parties may file written objections or comments with the commission to the proposed findings of fact, conclusions of law and recommendations issued by the hearing officer at least ten (10) days prior to the public meeting at which the case is to be considered by the commission.

(4) Final Commission Order.

(A) The commission shall review the entire record and shall render a written decision on the merits which shall contain findings of fact and conclusions of law, and after that will issue a final Commission Order. During the public meeting at which the commission considers proposed findings of fact, conclusions of law and recommendations issued by a hearing officer, the parties may present oral argument to the commission within the time limits that the commission may impose. The commission may take any of the following actions:

1. The commission may adopt the findings of fact, conclusions of law and recommendations of the hearing officer as its final Commission Order;

2. The commission may modify the findings of fact, conclusions of law and recommendations submitted by the hearing officer;

3. The commission may reject the findings of fact, conclusions of law and recommendations submitted by the hearing officer; or

4. The commission may remand the matter, with instructions, to the hearing officer for further proceedings.

(B) As part of the final Commission Order, the commission may assess hearing costs, not to exceed fifty dollars (\$50), against any party who without good cause fails to appear at a hearing conducted pursuant to this chapter.

(C) Copies of the final Commission Order shall be served on a petitioner by certified or overnight express mail, postage prepaid, or by personal delivery.

AUTHORITY: sections 313.004, 313.052, 313.065, 313.560, 313.800 and 313.805, RSMo 2000. Emergency rule filed Sept. 1, 1993, effective Sept. 20, 1993, expired Jan. 17, 1994. Emergency rule filed Jan. 5, 1994, effective Jan. 18, 1994, expired Jan. 30, 1994. Original rule filed Sept. 1, 1993, effec-*

tive Jan. 31, 1994. Emergency amendment filed Dec. 12, 1997, effective Dec. 22, 1997, expired June 19, 1998. Amended: Filed Dec. 12, 1997, effective July 30, 1998. Amended: Filed Dec. 7, 2001, effective June 30, 2002. Amended: Filed June 30, 2003, effective Feb. 29, 2004.

**Original authority: 313.004, RSMo 1993, amended 1994; 313.052, RSMo 1994; 313.065, RSMo 1981, amended 1993, 1995; 313.560, RSMo 1986, amended 1987; 313.800, RSMo 1991, amended 1993, 1994; and 313.805, RSMo 1991, amended 1993, 1994, 2000.*

11 CSR 45-13.080 Prohibition on Ex Parte Communications

PURPOSE: This rule prohibits ex parte contacts between the parties and a hearing officer.

(1) A party or its representative shall not communicate directly or indirectly with the hearing officer regarding any pending matter, except upon notice and opportunity for all parties to participate or as provided in section (3).

(2) The prohibition on ex parte communications commences with the filing of a request for hearing pursuant to 11 CSR 45-13.030.

(3) Communications with the hearing officer involving scheduling or uncontested procedural matters do not require notice or the opportunity for parties to participate. Parties should notify other parties prior to initiating such contact with the hearing officer when seeking to continue hearings or extend other deadlines.

(4) The hearing officer may recommend sanctions and penalties if the hearing officer determines that a party has violated this rule. Such sanctions and penalties include, but are not limited to, censure, default judgment, or a directed finding on one (1) or more issues.

AUTHORITY: sections 313.004, 313.065, 313.560, 313.800 and 313.805, RSMo 2000. Original rule filed June 30, 2003, effective Feb. 29, 2004.*

**Original authority: 313.004, RSMo 313.004, RSMo 1993, amended 1994; 313.065, RSMo 1981, amended 1993, 1995; 313.560, RSMo 1986, amended 1987; 313.800, RSMo 1991, amended 1993, 1994; 313.805, RSMo 1991, amended 1993, 1994, 2000.*