

CHAPTER 10A

DEPARTMENT OF INSPECTIONS AND APPEALS

Referred to in §235.5, 322C.6, 324A.5

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ARTICLE I
ORGANIZATION

10A.101 Definitions.

As used in [this chapter](#), unless the context otherwise requires:

1. “*Administrator*” means a person coordinating the administration of a division of the department.
2. “*Department*” means the department of inspections and appeals.
3. “*Director*” means the director of inspections and appeals.
[86 Acts, ch 1245, §501](#); [88 Acts, ch 1109, §1](#); [89 Acts, ch 231, §1](#); [2000 Acts, ch 1148, §1](#); [2002 Acts, ch 1119, §200, 201](#); [2002 Acts, ch 1162, §1](#); [2003 Acts, ch 44, §4](#)

10A.102 Department established.

The department of inspections and appeals is established. The director of the department shall be appointed by the governor to serve at the pleasure of the governor subject to confirmation by the senate no less frequently than every four years, whether or not there has been a new director appointed during that time. If the office becomes vacant, the vacancy shall be filled in the same manner as provided for the original appointment.

[86 Acts, ch 1245, §502](#)

Referred to in [§7E.5](#)
Confirmation, see [§2.32](#)

10A.103 Purpose of the department.

The department is created for the purpose of coordinating and conducting various audits, appeals, hearings, inspections, and investigations related to the operations of the executive branch of state government.

86 Acts, ch 1245, §503

10A.104 Powers and duties of the director.

The director or designees of the director shall:

1. Coordinate the internal operations of the department and develop and implement policies and procedures designed to ensure the efficient administration of the department.

2. Appoint the administrators of the divisions within the department and all other personnel deemed necessary for the administration of [this chapter](#), except the state public defender, assistant state public defenders, administrator of the racing and gaming commission, members of the employment appeal board, and administrator of the child advocacy board created in [section 237.16](#). All persons appointed and employed in the department are covered by the provisions of [chapter 8A, subchapter IV](#), but persons not appointed by the director are exempt from the merit system provisions of [chapter 8A, subchapter IV](#).

3. Prepare an annual budget for the department.

4. Develop and recommend legislative proposals deemed necessary for the continued efficiency of department functions, and review legislative proposals generated outside of the department which are related to matters within the department's purview.

5. Adopt rules deemed necessary for the implementation and administration of [this chapter](#) in accordance with [chapter 17A](#).

6. Issue subpoenas and distress warrants, administer oaths, and take depositions in connection with audits, appeals, investigations, inspections, and hearings conducted by the department. If a person refuses to obey a subpoena or distress warrant issued by the department or otherwise fails to cooperate in proceedings of the department, the director may enlist the assistance of a court of competent jurisdiction in requiring the person's compliance. Failure to obey orders of the court renders the person in contempt of the court and subject to penalties provided for that offense.

7. Enter into contracts for the receipt and provision of services as deemed necessary. The director and the governor may obtain and accept federal grants and receipts to or for the state to be used for the administration of [this chapter](#).

8. Administer and enforce [this chapter](#), and [chapters 99B, 135B, 135C, 135H, 135J, 135O, 137C, 137D, and 137F](#).

9. Enter into and implement agreements or compacts between the state of Iowa and Indian tribes located in the state which are entered into under the authority of the Indian Gaming Regulatory Act, 25 U.S.C. §2701 et seq. The agreements or compacts shall contain provisions intended to implement the policies and objectives of the Indian Gaming Regulatory Act.

10. Administer inspection and licensing of social and charitable gambling pursuant to [chapter 99B](#).

11. Administer inspections and licensing of hotels and home bakeries.

12. Administer inspections and licensing of food establishments, including but not limited to restaurants, vending machines, food processing plants, grocery stores, convenience stores, temporary food establishments, and mobile food units.

13. Administer inspections for sanitation in any locality of the state upon the written petition of five or more residents of the locality.

14. Administer inspections of cosmetology salons under [section 157.7](#) and barbershops under [section 158.6](#).

86 Acts, ch 1245, §504; 88 Acts, ch 1273, §3; 89 Acts, ch 231, §2 – 4; 92 Acts, ch 1141, §1; 93 Acts, ch 53, §1; 94 Acts, ch 1076, §1; 95 Acts, ch 67, §2; 96 Acts, ch 1052, §1; 96 Acts, ch 1079, §1; 98 Acts, ch 1162, §1, 30; 98 Acts, ch 1202, §1, 46; 2000 Acts, ch 1155, §1; 2002 Acts, ch 1162, §2, 3, 15, 75; 2003 Acts, ch 145, §128; 2004 Acts, ch 1026, §1; 2008 Acts, ch 1184, §34;

2009 Acts, ch 136, §1; 2011 Acts, ch 16, §1, 5; 2014 Acts, ch 1026, §4; 2016 Acts, ch 1086, §1; 2017 Acts, ch 160, §4

Referred to in §216A.167

10A.105 Confidentiality.

1. For the purposes of [this section](#), “governmental entity” includes an administrative division within the department.

2. The confidentiality of all information in the department produced or collected during or as a result of a hearing, appeal, investigation, inspection, audit, or other function performed by the department on behalf of another governmental entity is governed by the law applicable to the records of that governmental entity. The department may provide information to a governmental entity for which it is conducting a hearing, appeal, inspection, audit, investigation, or other function.

3. The state shall maintain records and materials related to an agreement or compact entered into pursuant to the Indian Gaming Regulatory Act, 25 U.S.C. §2701 et seq., as confidential records if confidentiality is required by the terms of the agreement or compact.

4. The lawful custodian of all records produced or collected during or as a result of any function performed by the department on behalf of another governmental entity is that governmental entity for the purpose of examination and copying pursuant to [chapter 22](#).

5. If information in the possession of the department indicates that a criminal offense may have been committed, the information may be reported to the appropriate criminal justice or regulatory agency.

6. However, [this section](#) does not prohibit the department from releasing the minimal amount of information necessary in its judgment to conduct audits, inspections, investigations, appeals, and hearings, and does not prohibit the introduction of the information as evidence at any hearing conducted by the department.

7. The director, administrators, and their designees shall have access to all records deemed by the department to be pertinent to a hearing, appeal, audit, investigation, inspection, or other related function assigned under [this chapter](#).

[86 Acts, ch 1245, §505; 89 Acts, ch 231, §5; 2014 Acts, ch 1026, §5](#)

10A.106 Divisions of the department.

1. The department is comprised of the following divisions:

- a. Administrative hearings division.
- b. Investigations division.
- c. Health facilities division.

2. The allocation of departmental duties to the divisions of the department in [sections 10A.402, 10A.702, and 10A.801](#) does not prohibit the director from reallocating departmental duties within the department.

[86 Acts, ch 1245, §506; 87 Acts, ch 234, §420; 88 Acts, ch 1134, §9; 89 Acts, ch 231, §6, 7; 98 Acts, ch 1202, §2, 46; 2000 Acts, ch 1155, §2; 2002 Acts, ch 1162, §4, 5; 2004 Acts, ch 1026, §2; 2008 Acts, ch 1032, §201](#)

10A.107 Repayment receipts.

The department may charge state departments, agencies, and commissions for services rendered and the payment received shall be considered repayment receipts as defined in [section 8.2](#).

[90 Acts, ch 1247, §2](#)

10A.108 Improper human services entitlement benefits or provider payments — debt, lien, collection.

1. a. If a person refuses or neglects to repay benefits or provider payments inappropriately obtained from the department of human services, the amount inappropriately obtained, including any interest, penalty, or costs attached to the amount, constitutes a debt and is a lien in favor of the state upon all property and any rights or title to or interest in property, whether real or personal, belonging to the person for the period established in

[subsection 2](#), with the exception of property which is exempt from execution pursuant to [chapter 627](#).

b. A lien under [this section](#) shall not attach to any amount of inappropriately obtained benefits or provider payments, or portions of the benefits or provider payments, attributable to errors by the department of human services. Liens shall only attach to the amounts of inappropriately obtained benefits or provider payments or portions of the benefits or provider payments which were obtained due to false, misleading, incomplete, or inaccurate information submitted by a person in connection with the application for or receipt of benefits or provider payments.

2. a. The lien attaches at the time the notice of the lien is filed under [subsection 3](#), and continues for ten years from that date, unless released or otherwise discharged at an earlier time.

b. The lien may be extended, within ten years from the date of attachment, if a person files a notice with the county recorder or other appropriate county official of the county in which the property is located at the time of filing the extension. From the time of the filing of the notice, the lien period shall be extended for ten years to apply to the property in the county in which the notice is filed, unless released or otherwise discharged at an earlier time. The number of extensions is not limited.

c. The director shall discharge any lien which is allowed to lapse and may charge off any account and release the corresponding lien before the lien has lapsed if the director determines, under uniform rules prescribed by the director, that the account is uncollectible or collection costs involved would not warrant collection of the amount due.

3. To preserve the lien against subsequent mortgagees, purchasers, or judgment creditors, for value and without notice of the lien, on any property located in a county, the director shall file a notice of the lien with the recorder of the county in which the property is located at the time of filing of the notice.

4. The county recorder of each county shall prepare and maintain in the recorder's office an index of liens of debts established based upon benefits or provider payments inappropriately obtained from and owed the department of human services, containing the applicable entries specified in [sections 558.49](#) and [558.52](#), and providing appropriate columns for all of the following data, under the names of debtors, arranged alphabetically:

- a. The name of the debtor.
- b. "State of Iowa, Department of Human Services" as claimant.
- c. The time that the notice of the lien was filed for recording.
- d. The date of notice.
- e. The amount of the lien currently due.
- f. The date of the assessment.
- g. The date of satisfaction of the debt.

h. Any extension of the time period for application of the lien and the date that the notice for extension was filed.

5. The recorder shall endorse on each notice of lien the day and time filed for recording and the document reference number, and shall preserve the notice. The recorder shall index the notice and shall record the lien in the manner provided for recording real estate mortgages. The lien is effective from the time of the indexing.

6. The department shall pay, from moneys appropriated to the department for this purpose, recording fees as provided in [section 331.604](#), for the recording of the lien.

7. Upon payment of a debt for which the director has filed notice with a county recorder, the director shall provide to the debtor a satisfaction of the debt. The debtor shall be responsible for filing the satisfaction of the debt with the recorder and the recorder shall enter the satisfaction on the notice on file in the recorder's office.

8. The department of inspections and appeals, as provided in [this chapter](#) and [chapter 626](#), shall proceed to collect all debts owed the department of human services as soon as practicable after the debt becomes delinquent. If service has not been made on a distress warrant by the officer to whom addressed within five days from the date the distress warrant was received by the officer, the authorized investigators of the department of inspections and appeals may serve and make return of the warrant to the clerk of the district court of the

county named in the distress warrant, and all subsequent procedures shall be in compliance with [chapter 626](#).

9. The distress warrant shall be in a form as prescribed by the director, shall be directed to the sheriff of the appropriate county, and shall identify the debtor, the type of debt, and the delinquent amount. The distress warrant shall direct the sheriff to distrain, seize, garnish, or levy upon, and sell, as provided by law, any real or personal property belonging to the debtor to satisfy the amount of the delinquency plus costs. The distress warrant shall also direct the sheriff to make due and prompt return to the department or to the district court under [chapter 626](#) of all amounts collected.

10. The attorney general, upon the request of the director of inspections and appeals, shall bring an action, as the facts may justify, without bond, to enforce payment of any debts under [this section](#), and in the action the attorney general shall have the assistance of the county attorney of the county in which the action is pending.

11. The remedies of the state shall be cumulative and no action taken by the director of inspections and appeals or attorney general shall be construed to be an election on the part of the state or any of its officers to pursue any remedy to the exclusion of any other remedy provided by law.

[94 Acts, ch 1112, §1](#); [96 Acts, ch 1052, §2](#); [97 Acts, ch 23, §2, 3](#); [2002 Acts, ch 1113, §1](#); [2009 Acts, ch 27, §1](#); [2010 Acts, ch 1061, §180](#); [2013 Acts, ch 24, §1](#)

ARTICLE II RESERVED

10A.201 and 10A.202 Repealed by 98 Acts, ch 1202, §45, 46.

ARTICLE III RESERVED

10A.301 and 10A.302 Repealed by 2002 Acts, ch 1162, §14.

ARTICLE IV INVESTIGATIONS DIVISION

10A.401 Definitions.

As used in [this article](#), unless the context otherwise requires:

1. “Administrator” means the person coordinating the administration of this division.
2. “Division” means the investigations division of the department of inspections and appeals.

[86 Acts, ch 1245, §511](#); [2002 Acts, ch 1162, §6](#)

10A.402 Responsibilities.

The administrator shall coordinate the division’s conduct of various audits and investigations as provided by law including but not limited to the following:

1. Investigations relative to the practice of regulated professions and occupations, except those within the jurisdiction of the board of medicine, the board of pharmacy, the dental board, and the board of nursing.
2. Audits relative to the administration of hospitals and health care facilities.
3. Audits relative to administration and disbursement of funding under the state supplementary assistance program and the medical assistance program.
4. Investigations and collections relative to the liquidation of overpayment debts owed to the department of human services. Collection methods include but are not limited to small

claims filings, debt setoff, distress warrants, and repayment agreements, and are subject to approval by the department of human services.

5. Investigations relative to the administration of the state supplementary assistance program, the state medical assistance program, the food stamp program, the family investment program, and any other state or federal benefit assistance program.

6. Investigations relative to the internal affairs and operations of agencies and departments within the executive branch of state government, except for institutions governed by the state board of regents.

86 Acts, ch 1245, §512; 90 Acts, ch 1204, §1; 91 Acts, ch 107, §1; 93 Acts, ch 53, §2; 93 Acts, ch 97, §23; 2000 Acts, ch 1155, §3; 2002 Acts, ch 1162, §7; 2007 Acts, ch 10, §6; 2007 Acts, ch 218, §191; 2009 Acts, ch 23, §2; 2013 Acts, ch 18, §1

Referred to in §10A.106, 10A.403

10A.403 Investigators — peace officer status.

Investigators of the division shall have the powers and authority of peace officers when acting within the scope of their responsibilities to conduct investigations as specified in [section 10A.402, subsection 5](#). An investigator shall not carry a weapon to perform responsibilities as described in [this section](#).

99 Acts, ch 80, §1

ARTICLE V

RESERVED

10A.501 and 10A.502 Repealed by 2004 Acts, ch 1026, §4.

ARTICLE VI

EMPLOYMENT APPEAL BOARD

10A.601 Employment appeal board — created — duties.

1. A full-time employment appeal board is created within the department of inspections and appeals to hear and decide contested cases under [chapter 8A, subchapter IV](#), and [chapters 80, 88, 91C, 96, and 97B](#).

2. The employment appeal board is composed of three members appointed by the governor, subject to confirmation by the senate, to six-year staggered terms beginning and ending as provided in [section 69.19](#). One member shall be qualified by experience and affiliation to represent employers, one member shall be qualified by experience and affiliation to represent employees, and one member shall represent the general public. No more than two members shall be members of the same political party. A vacancy in membership shall be filled in the same manner as the original appointment. A member of the appeal board may be removed by the governor for inefficiency, neglect of duty, or malfeasance in office. The members of the employment appeal board shall receive an annual salary as set by the governor.

3. The members of the appeal board shall select a chairperson and vice chairperson from their membership. The appeal board shall meet at least once per month but may meet as often as necessary. Meetings shall be set by a majority of the appeal board or upon the call of the chairperson, or in the chairperson's absence, upon the call of the vice chairperson. The employment appeal board, subject to the approval of the director, may appoint personnel necessary for carrying out its functions and duties.

4. The appeal board may on its own motion affirm, modify, or set aside a decision of an administrative law judge on the basis of the evidence previously submitted in the contested case, or direct the taking of additional evidence, or may permit any of the parties to the decision to initiate further appeals before the appeal board. The appeal board shall permit further appeal by any of the parties interested in a decision of an administrative law judge and by the representative whose decision has been overruled or modified by the

administrative law judge. The appeal board shall review the case pursuant to rules adopted by the appeal board. The appeal board shall promptly notify the interested parties of its findings and decision.

5. The appeal board may order testimony to be taken by deposition, and may compel persons to appear and testify and to produce books, papers, and documents in the same manner as witnesses may be deposed and compelled to appear and testify and produce documentary evidence before the district court. In the discharge of the duties imposed by [this chapter](#), the chairperson of the appeal board and any duly authorized representative designated by the appeal board, may administer oaths and affirmations, take depositions, certify official acts, and issue subpoenas. Persons deposed or compelled to testify or produce documentary evidence shall be allowed the same fees and traveling expenses as allowed witnesses in the district court.

6. The appeal board shall adopt rules pursuant to [chapter 17A](#) to establish the manner in which contested cases are to be presented, reports are to be required from the parties, and hearings and appeals are to be conducted. The appeal board shall keep a full and complete record of all proceedings in connection with a contested case. All testimony at a hearing shall be recorded, but need not be transcribed unless the contested case is further appealed. The appeal board shall retain the record for at least sixty days following the final date for appeal of a contested case. A decision of the appeal board is final agency action and an appeal of the decision shall be made directly to the district court. Any party to a contested case may appeal the decision to the district court.

7. An application for rehearing before the appeal board shall be filed pursuant to [section 17A.16](#), unless otherwise provided in [chapter 8A, subchapter IV](#), or [chapter 80, 88, 91C, 96, or 97B](#). A petition for judicial review of a decision of the appeal board shall be filed pursuant to [section 17A.19](#). The appeal board may be represented in any such judicial review by an attorney who is a regular salaried employee of the appeal board or who has been designated by the appeal board for that purpose, or at the appeal board's request, by the attorney general. Notwithstanding the petitioner's residency requirement in [section 17A.19, subsection 2](#), a petition for judicial review may be filed in the district court of the county in which the petitioner was last employed or resides, provided that if the petitioner does not reside in this state, the action shall be brought in the district court of Polk county, Iowa, and any other party to the proceeding before the appeal board shall be named in the petition. Notwithstanding the thirty-day requirement in [section 17A.19, subsection 6](#), the appeal board shall, within sixty days after filing of the petition for judicial review or within a longer period of time allowed by the court, transmit to the reviewing court the original or a certified copy of the entire records of a contested case. The appeal board may also certify to the court, questions of law involved in any decision by the appeal board. Petitions for judicial review and the questions so certified shall be given precedence over all other civil cases except cases arising under the workers' compensation law of this state. No bond shall be required for entering an appeal from any final order, judgment, or decree of the district court to the supreme court.

[86 Acts, ch 1245, §515; 88 Acts, ch 1025, §1; 88 Acts, ch 1162, §10; 88 Acts, ch 1109, §3; 2003 Acts, ch 145, §129; 2004 Acts, ch 1107, §1, 30](#)

Referred to in [§80.15, 88.3, 88.9, 91C.8, 96.1A, 96.6, 97B.27](#)

Confirmation, see [§2.32](#)

ARTICLE VII

HEALTH FACILITIES DIVISION

10A.701 Definitions.

As used in [this article](#), unless the context otherwise requires:

1. "Administrator" means the person coordinating the administration of the division.
2. "Division" means the health facilities division of the department of inspections and appeals.

[2000 Acts, ch 1155, §5; 2002 Acts, ch 1162, §10; 2017 Acts, ch 54, §8](#)

10A.702 Responsibilities.

The administrator shall coordinate the division's conduct of various inspections and investigations as otherwise provided by law including, but not limited to, all of the following:

1. Investigations relative to the standards and practices of hospitals, hospices, and health care facilities.
2. Inspections and other licensing procedures relative to the hospice program, hospitals, and health care facilities. The division is designated as the sole licensing authority for these programs and facilities.
3. Inspections relative to hospital and health care facility construction projects.
4. Inspections of child foster care facilities and private institutions for the care of dependent, neglected, and delinquent children.

[2000 Acts, ch 1155, §6](#); [2002 Acts, ch 1162, §76](#)

Referred to in [§10A.106](#)

ARTICLE VIII

ADMINISTRATIVE HEARINGS DIVISION

10A.801 Division of administrative hearings — creation, powers, duties.

1. *Definitions.* For purposes of [this article](#), unless the context otherwise requires:
 - a. “Administrator” means the person coordinating the administration of the division.
 - b. “Division” means the administrative hearings division of the department of inspections and appeals.
2. The administrator shall coordinate the division's conduct of appeals and administrative hearings as provided by law, shall serve as chief administrative law judge of the division, and may conduct any proceeding for which the division provides an administrative law judge.
3.
 - a. The department shall employ a sufficient number of administrative law judges to conduct proceedings for which agencies are required, by [section 17A.11](#) or any other provision of law, to use an administrative law judge employed by the division. An administrative law judge employed by the division shall not perform duties inconsistent with the judge's duties and responsibilities as an administrative law judge and shall be located in an office that is separated from the offices of the agencies for which that person acts as a presiding officer. Administrative law judges, except the chief administrative law judge, shall be covered by the merit system provisions of [chapter 8A, subchapter IV](#).
 - b. The division shall facilitate, insofar as practicable, specialization by its administrative law judges so that particular judges may become expert in presiding over cases in particular agencies. An agency may, by rule, identify particular classes of its contested cases for which the administrative law judge who acts as presiding officer shall have specified technical expertness. After the adoption of such a rule, the division may assign administrative law judges to preside over those identified particular classes of contested cases only if the administrative law judge possesses the technical expertness specified by agency rule. The division may charge the applicable agency for the costs of any training required by the division's administrative law judges to acquire or maintain the technical expertise specified by agency rule.
4. If the division cannot furnish one of its administrative law judges in response to an agency request, the administrator shall designate in writing a full-time employee of an agency other than the requesting agency to serve as administrative law judge for the proceeding, but only with the consent of the employing agency. The designee must possess the same qualifications required of administrative law judges employed by the division.
5. The division may furnish administrative law judges on a contract basis to any governmental entity to conduct any proceeding.
6. A person shall not be employed by the division as the administrator or as an administrative law judge to preside over contested case proceedings unless that person has a license to practice law in this state.
7. The division shall adopt rules pursuant to [this chapter](#) and [chapter 17A](#) to do all of the following:

a. To establish procedures for agencies to request and for the administrator to assign administrative law judges employed by the division.

b. To establish procedures and adopt forms, consistent with [chapter 17A](#) and other provisions of law, to govern administrative law judges employed by the division, but any rules adopted under this paragraph shall be applicable to a particular contested case proceeding only to the extent that they are not inconsistent with the rules of the agency under whose authority that proceeding is conducted. Nothing in this paragraph precludes an agency from establishing procedural requirements otherwise within its authority to govern its contested case proceedings, including requirements with respect to the timeliness of decisions rendered for it by administrative law judges.

c. To establish standards and procedures for the evaluation, training, promotion, and discipline for the administrative law judges employed by the division. The procedures shall include provisions for each agency for whom a particular administrative law judge presides to submit to the division on a periodic basis the agency's views with respect to the performance of that administrative law judge or the need for specified additional training for that administrative law judge. However, the evaluation, training, promotion, and discipline of all administrative law judges employed by the division shall remain solely within the authority of the department.

d. To establish, consistent with the provisions of [this section](#) and [chapter 17A](#), a code of administrative judicial conduct that is similar in function and substantially equivalent to the Iowa code of judicial conduct, to govern the conduct, in relation to their quasi-judicial functions in contested cases, of all persons who act as presiding officers under the authority of [section 17A.11, subsection 1](#). The code of administrative judicial conduct shall separately specify which provisions are applicable to agency heads or members of multimembered agency heads when they act as presiding officers, taking into account the objectives of the code and the fact that agency heads, unlike administrative law judges, have other duties imposed upon them by law. The code of administrative judicial conduct may also contain separate provisions, that are appropriate and consistent with the objectives of such a code, to govern the conduct of agency heads or the members of multimember agency heads when they act as presiding officers. However, a provision of the code of administrative judicial conduct shall not be made applicable to agency heads or members of multimember agency heads unless the application of that provision to agency heads and members of multimember agency heads has previously been approved by the administrative rules coordinator.

e. To facilitate the performance of the responsibilities conferred upon the division by [this section](#), [chapter 17A](#), and any other provision of law.

8. The division may do all of the following:

a. Provide administrative law judges, upon request, to any agency that is required to or wishes to utilize the services of an administrative law judge employed by the division.

b. Maintain a staff of reporters and other personnel.

c. Administer the provisions of [this section](#) and rules adopted under its authority.

9. The division may charge agencies for services rendered and the payment received shall be considered repayment receipts as defined in [section 8.2](#).

10. Except to the extent specified otherwise by statute, decisions of administrative law judges employed by the division are subject to review by the agencies for which they act as presiding officers as provided by [section 17A.15](#) or any other provision of law.

[98 Acts, ch 1202, §3, 46; 2002 Acts, ch 1162, §11 – 13; 2003 Acts, ch 145, §130; 2016 Acts, ch 1057, §1; 2017 Acts, ch 171, §57 – 59, 62](#)

Referred to in [§8A.415, 10A.106, 10A.802, 17A.11, 20.6, 216.15, 331.394, 453A.2, 455B.174, 476.2, 505.29, 903A.1](#)

10A.802 Administrative hearing electronic filing system — rules.

1. Notwithstanding [section 10A.801, subsection 7](#), paragraph “b”, and [section 554D.120](#), the division may adopt rules pursuant to [this chapter](#) and [chapter 17A](#) establishing an electronic filing system for contested case and other administrative proceedings conducted by the division and prescribing whether and to what extent the division will accept, process, distribute, and retain electronic records and electronic signatures from appellants, governmental agencies, and other persons with respect to such proceedings.

2. If the division adopts rules pursuant to [subsection 1](#), the rules may include but are not limited to the following:

- a. Defining terms.
- b. The manner and format in which an electronic record is created, generated, sent, communicated, received, filed, recorded, and stored.
- c. Establishing the electronic filing system to create, generate, send, communicate, receive, file, record, and store an electronic record.
- d. How a traditional written signature will relate to an electronic signature.
- e. The criteria establishing when an electronic document must be electronically signed.
- f. The type of electronic signature required.
- g. The manner and format in which an electronic signature is associated with an electronic record.
- h. Who can create an electronic signature.
- i. The criteria and procedures to follow when filing an electronic document, including who is allowed to file electronically, how notice is given, and electronic service of process.
- j. Establishing processes and procedures to ensure adequate preservation, integrity, security, disposition, and audit worthiness of the electronic records.
- k. Establishing the criteria for the retention of paper documents when deemed necessary to promote the integrity of electronic records.
- l. Establishing the appropriate level of public access to differing classes of electronic records and other agency records to ensure the confidentiality of any records that are required by law to be confidential.
- m. Establishing any other process or procedures attributable to creating, generating, communicating, storing, processing, and using electronic records and electronic signatures, and how these electronic records and electronic signatures will relate to nonelectronic agency records.

3. Rules adopted pursuant to [this section](#) shall provide for the division's acceptance of the filing of paper documents.

4. Rules adopted pursuant to [this section](#) shall prevail over any other law, including [chapter 17A](#), or agency rule that specifies the method, manner, or format for sending, receiving, serving, retaining, or creating paper records or other documents related to a contested case proceeding, including but not limited to a request or demand for a contested case proceeding, a notice of hearing, and a proposed or final decision. The division may limit the applicability and scope of any rules adopted pursuant to [this section](#) to one or more agencies or by specific case type for the purpose of testing and implementing an electronic filing system.

5. An electronic record that complies with the rules adopted under [this section](#) shall prevail over any law, including [chapter 17A](#), that requires a written record, and an electronic signature that complies with the rules adopted under [this section](#) shall prevail over any law that requires a written signature. An electronic record or signature that complies with rules adopted under [this section](#) shall not be denied legal effect or enforceability based solely because of the record's or signature's electronic form. The determination of an electronic record's or signature's legal consequence is determined by [this chapter](#), applicable law, and applicable division and agency rules.

6. Any electronic record, including but not limited to a recording or transcription of oral proceedings, maintained in an electronic filing system established by the division shall be the official record of the contested case and maintenance of the record in the system shall satisfy the obligation of an agency to file and maintain any such record.

[2016 Acts, ch 1057, §2](#)