

## RACING AND GAMING COMMISSION[491]

[Prior to 11/19/86, Chs 1 to 10, see Racing Commission[693]; Renamed Racing and Gaming Division [195] under the “umbrella” of Commerce, Department of [181], 11/19/86]

[Prior to 12/17/86, Chs 20 to 25, see Revenue Department[730] Chs 91 to 96]

[Transferred from Commerce Department[181] to the Department of Inspections and Appeals “umbrella”[481] pursuant to 1987 Iowa Acts, chapter 234, section 421]

[Renamed Racing and Gaming Commission[491], 8/23/89; See 1989 Iowa Acts, ch 67 §1(2), and ch 231 §30(1), 31]

### CHAPTER 1

#### ORGANIZATION AND OPERATION

- 1.1(99D,99E,99F)           Function
- 1.2(99D,99F)            Organization, meetings, and procedure
- 1.3(99D,99F)            Administration of the commission
- 1.4(17A,22,99D,99F)       Open records
- 1.5(17A,99D,99F)        Forms
- 1.6                        Reserved
- 1.7(99D,99F)            Criteria for granting licenses, renewing licenses, and determining race dates
- 1.8(17A,99D,99F)        Granting of a waiver

### CHAPTER 2

#### RULEMAKING AND DECLARATORY ORDERS

- 2.1(17A)                Applicability
- 2.2(17A)                Advice on possible rules before notice of proposed rule adoption
- 2.3(17A)                Public rulemaking docket
- 2.4(17A)                Notice of proposed rulemaking
- 2.5(17A)                Public participation
- 2.6(17A)                Regulatory analysis
- 2.7(17A,25B)            Fiscal impact statement
- 2.8(17A)                Time and manner of rule adoption
- 2.9(17A)                Variance between adopted rule and published notice of proposed rule adoption
- 2.10(17A)              Exemption from public rulemaking procedures
- 2.11(17A)              Concise statement of reasons
- 2.12(17A)              Contents, style, and form of rule
- 2.13(17A)              Agency rulemaking record
- 2.14(17A)              Filing of rules
- 2.15(17A)              Effectiveness of rules prior to publication
- 2.16(17A)              General statements of policy
- 2.17(17A)              Review by commission of rules
- 2.18(17A)              Petition for rulemaking
- 2.19(17A)              General
- 2.20(17A)              Petition for declaratory order
- 2.21(17A)              Notice of petition
- 2.22(17A,99D,99F)     Intervention
- 2.23(17A)              Briefs
- 2.24(17A)              Inquiries
- 2.25(17A)              Service and filing of petitions and other papers
- 2.26(17A)              Consideration
- 2.27(17A)              Action on petition
- 2.28(17A)              Refusal to issue order
- 2.29(17A)              Contents of declaratory order—effective date
- 2.30(17A)              Copies of orders
- 2.31(17A)              Effect of a declaratory order

### CHAPTER 3

#### FAIR INFORMATION PRACTICES

(Uniform Rules)

- 3.1(17A,22)            Definitions
- 3.3(17A,22)            Requests for access to records
- 3.6(17A,22)            Procedure by which additions, dissents, or objections may be entered into certain records

|              |  |
|--------------|--|
| 3.9(17A,22)  | Disclosures without the consent of the subject |
| 3.10(17A,22) | Routine use                                    |
| 3.11(17A,22) | Consensual disclosure of confidential records  |
| 3.12(17A,22) | Release to subject                             |
| 3.13(17A,22) | Availability of records                        |
| 3.14(17A,22) | Personally identifiable information            |

#### CHAPTER 4

##### CONTESTED CASES AND OTHER PROCEEDINGS

|          |                         |
|----------|-------------------------|
| 4.1(17A) | Scope and applicability |
| 4.2(17A) | Definitions             |
| 4.3(17A) | Time requirements       |

#### DIVISION I

##### GAMING REPRESENTATIVE, GAMING BOARD, AND BOARD OF STEWARDS

|                   |  |
|-------------------|--|
| 4.4(99D,99E,99F)  | Gaming representatives and administrator's designees—licensing and regulatory duties |
| 4.5(99D,99E,99F)  | Gaming board—duties  |
| 4.6(99D,99F)      | Stewards—licensing and regulatory duties   |
| 4.7(99D,99E,99F)  | Penalties (gaming board and board of stewards)                                       |
| 4.8(99D,99E,99F)  | Effect of another jurisdiction's order   |
| 4.9(99D,99E,99F)  | Service of administrative actions  |
| 4.10(99D,99E,99F) | Appeals of administrative actions  |
| 4.11 to 4.19      | Reserved   |

#### DIVISION II

##### CONTESTED CASES

|           |   |
|-----------|---|
| 4.20(17A) | Requests for contested case proceedings not covered in Division I |
| 4.21(17A) | Notice of hearing   |
| 4.22(17A) | Presiding officer   |
| 4.23(17A) | Waiver of procedures  |
| 4.24(17A) | Telephone proceedings   |
| 4.25(17A) | Disqualification  |
| 4.26(17A) | Consolidation—severance   |
| 4.27(17A) | Pleadings   |
| 4.28(17A) | Service and filing of pleadings and other papers                  |
| 4.29(17A) | Discovery   |
| 4.30(17A) | Subpoenas   |
| 4.31(17A) | Motions   |
| 4.32(17A) | Prehearing conference   |
| 4.33(17A) | Continuances  |
| 4.34(17A) | Withdrawals   |
| 4.35(17A) | Intervention  |
| 4.36(17A) | Hearing procedures  |
| 4.37(17A) | Evidence  |
| 4.38(17A) | Default   |
| 4.39(17A) | Ex parte communication  |
| 4.40(17A) | Recording costs   |
| 4.41(17A) | Interlocutory appeals   |
| 4.42(17A) | Final decision  |
| 4.43(17A) | Appeals and review  |
| 4.44(17A) | Applications for rehearing  |
| 4.45(17A) | Stays of commission actions                                       |
| 4.46(17A) | No factual dispute contested cases                                |
| 4.47(17A) | Emergency adjudicative proceedings                                |
| 4.48(17A) | Contested case hearings before the commission                     |

#### CHAPTER 5

##### TRACK, GAMBLING STRUCTURE, AND EXCURSION GAMBLING BOAT LICENSEES' RESPONSIBILITIES

|              |  |
|--------------|--|
| 5.1(99D,99F) | In general                                   |
| 5.2(99D,99F) | Annual reports                               |
| 5.3(99D,99F) | Information                                  |
| 5.4(99D,99F) | Uniform requirements                         |
| 5.5(99D)     | Pari-mutuel uniform requirements             |
| 5.6(99F)     | Excursion gambling boat uniform requirements |

## CHAPTER 6

### OCCUPATIONAL AND VENDOR LICENSING

|                       |   |
|-----------------------|---|
| 6.1(99D,99E,99F)      | Definitions   |
| 6.2(99D,99E,99F,252J) | Occupational licensing  |
| 6.3(99D,99E,99F)      | Waiver of privilege   |
| 6.4(99D,99E,99F)      | License acceptance  |
| 6.5(99D,99E,99F)      | Grounds for denial, suspension, or revocation of a license or issuance of a fine                          |
| 6.6(99D,99E,99F)      | Applications for license after denial, revocation, or suspension  |
| 6.7(99D,99E,99F)      | Probationary period placed on a license   |
| 6.8(99D,99E,99F)      | Duration of license   |
| 6.9(99D,99E,99F)      | Licensed employees moving from one location to another  |
| 6.10(99D,99E,99F)     | Required report of discharge of licensed employee   |
| 6.11(99D,99F,252J)    | Receipt of certificate of noncompliance from the child support recovery unit                              |
| 6.12                  | Reserved  |
| 6.13(99D,99F,272D)    | Receipt of certificate of noncompliance from the centralized collection unit of the department of revenue |
| 6.14(99D,99F)         | Vendor's license  |
| 6.15(99D,99F)         | Applicability of rules—exceptions   |
| 6.16(99D)             | Disclosure of ownership of racing animals   |
| 6.17(99D)             | Owners of racing animals  |
| 6.18(99D)             | Kennel/stable name  |
| 6.19(99D)             | Leases (horse racing only)  |
| 6.20(99D)             | Partnerships owning racing animals  |
| 6.21(99D)             | Corporations owning racing animals  |
| 6.22(99D)             | Authorized agents for owner entities of racing animals  |
| 6.23(99D)             | Trainers and assistant trainers of racing animals   |
| 6.24(99D)             | Jockeys and apprentice jockeys  |
| 6.25(99D)             | Jockey agent  |
| 6.26(99D)             | Driver  |
| 6.27(99D)             | Practicing veterinarians  |
| 6.28(99D,99F)         | Alcohol and drug testing  |
| 6.29(99D)             | Time by which owner, jockey and trainer must be licensed  |

## CHAPTER 7

### GREYHOUND RACING

|           |  |
|-----------|--|
| 7.1(99D)  | Terms defined  |
| 7.2(99D)  | Facility's responsibilities  |
| 7.3(99D)  | Racing officials—duties  |
| 7.4(99D)  | Lead-outs  |
| 7.5(99D)  | Trainers and assistant trainers  |
| 7.6(99D)  | Registration   |
| 7.7(99D)  | Entries  |
| 7.8(99D)  | Withdrawals and scratches  |
| 7.9(99D)  | Weights and weighing   |
| 7.10(99D) | Qualifying time  |
| 7.11(99D) | Schooling  |
| 7.12(99D) | Running of the race  |
| 7.13(99D) | Race reckless/interfered/ruled off   |
| 7.14(99D) | Medication and administration, sample collection, chemists, and practicing veterinarians |
| 7.15(99D) | Iowa greyhound pari-mutuel racing fund   |

## CHAPTER 8

## PARI-MUTUEL WAGERING, SIMULCASTING AND ADVANCE DEPOSIT WAGERING

|          |                                 |
|----------|---------------------------------|
| 8.1(99D) | Definitions                     |
| 8.2(99D) | General                         |
| 8.3(99D) | Approval of pari-mutuel wagers  |
| 8.4(99D) | Simulcast wagering              |
| 8.5(99D) | Interstate common-pool wagering |
| 8.6(99D) | Advance deposit wagering        |
| 8.7(99D) | Alternative simulcast operator  |

## CHAPTER 9

Reserved

## CHAPTER 10

## THOROUGHBRED AND QUARTER HORSE RACING

|           |   |
|-----------|---|
| 10.1(99D) | Terms defined   |
| 10.2(99D) | Facilities' responsibilities  |
| 10.3(99D) | Facility policies   |
| 10.4(99D) | Racing officials  |
| 10.5(99D) | Trainer, jockey, and jockey agent responsibilities                                      |
| 10.6(99D) | Conduct of races  |
| 10.7(99D) | Medication and administration, sample collection, chemists, and practicing veterinarian |

## CHAPTER 11

## GAMBLING GAMES

|            |  |
|------------|--|
| 11.1(99F)  | Definitions  |
| 11.2(99F)  | Conduct of all gambling games  |
| 11.3(99F)  | Gambling games approved by the commission  |
| 11.4(99F)  | Approval for distribution, operation, or movement of gambling games and implements of gambling |
| 11.5(99F)  | Gambling games authorized  |
| 11.6(99F)  | Gambling game-based tournaments  |
| 11.7(99F)  | Table game requirements  |
| 11.8(99F)  | Keno   |
| 11.9(99F)  | Slot machine requirements  |
| 11.10(99F) | Slot machine hardware and software specifications  |
| 11.11      | Reserved   |
| 11.12(99F) | Progressive slot machines  |
| 11.13(99F) | Licensing of manufacturers and distributors of gambling games or implements of gambling        |

## CHAPTER 12

## ACCOUNTING AND CASH CONTROL

|            |   |
|------------|---|
| 12.1(99F)  | Definitions   |
| 12.2(99F)  | Accounting records  |
| 12.3(99F)  | Facility internal controls  |
| 12.4(99F)  | Accounting controls within the cashier's cage                             |
| 12.5(99F)  | Gaming table container  |
| 12.6(99F)  | Accepting currency at gaming tables                                       |
| 12.7(99F)  | Procedures for the movement of gaming chips to and from gaming tables     |
| 12.8(99F)  | Dropping or opening a gaming table  |
| 12.9(99F)  | Slot machine container and key  |
| 12.10(99F) | Procedures for hopper fills and attendant payouts                         |
| 12.11(99F) | Attendant and ticket payout accounting                                    |
| 12.12(99F) | Computer recording requirements and monitoring of slot machines           |
| 12.13(99F) | Transportation of containers  |
| 12.14(99F) | Count room—characteristics  |
| 12.15(99F) | Opening, counting, and recording contents of containers in the count room |
| 12.16(99F) | Electronic wagering accounts  |

CHAPTER 13  
SPORTS WAGERING

|           |                                 |
|-----------|---------------------------------|
| 13.1(99F) | Definitions                     |
| 13.2(99F) | Conduct of all sports wagering  |
| 13.3(99F) | Approval of sports wagers       |
| 13.4(99F) | Designated sports wagering area |
| 13.5(99F) | Advance deposit sports wagering |
| 13.6(99F) | Testing                         |
| 13.7(99F) | Licensing                       |

CHAPTER 14  
FANTASY SPORTS CONTESTS

|            |   |
|------------|---|
| 14.1(99E)  | Definitions   |
| 14.2(99E)  | Application for fantasy sports contest service provider license and licensing |
| 14.3(99E)  | Temporary license certificates  |
| 14.4(99E)  | Withdrawal of application   |
| 14.5(99E)  | Fees  |
| 14.6(99E)  | Taxes   |
| 14.7(99E)  | Account registration  |
| 14.8(99E)  | Fantasy sports contest service provider requirements                          |
| 14.9(99E)  | Contest rules   |
| 14.10(99E) | Segregation account requirements and financial reserves                       |
| 14.11(99E) | Annual audit  |
| 14.12(99E) | Abandoned accounts  |
| 14.13(99E) | Problem gambling  |
| 14.14(99E) | Licensing of internet fantasy sports contest service providers                |