

## **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

#### RULE MAKING AND DECLARATORY ORDERS

- 2.1(17A) Applicability
- 2.2(17A) Advice on possible rules before notice of proposed rule adoption
- 2.3(17A) Public rule-making docket
- 2.4(17A) Notice of proposed rule making
- 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 rule-making procedures
- 2.11(17A) Concise statement of reasons
- 2.12(17A) Contents, style, and form of rule
- 2.13(17A) Agency rule-making 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 rule making
- 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—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

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