3.8(68A)

# ETHICS AND CAMPAIGN DISCLOSURE BOARD, IOWA[351]

IOWA[351]
Rules transferred from agency number [190] to [121] to conform with the reorganization numbering scheme in general, IAC Supp. 9/9/87.
Prior to 3/30/94, Campaign Finance Disclosure Commission [121]

### CHAPTER 1

	CHAPTER I			
IOWA ETHICS AND CAMPAIGN DISCLOSURE BOARD				
1.1(68A,68B)	General agency description			
1.2(68B)	Requirements for requesting board advisory opinions			
1.3(68B)	Processing of advisory opinion requests; routine administrative advice			
1.4(68B)	Board code of ethics			
	CHAPTER 2			
	PUBLIC RECORDS AND FAIR INFORMATION PRACTICES			
2.1(22,68A,68B)	Definitions			
2.2(22,68A,68B)	Statement of policy			
2.3(22,68A,68B)	Requests for access to records			
2.4(22,68A,68B)	Procedures for access to confidential records			
2.5(22,68A,68B)	Request for treatment of a record as a confidential record			
2.6(22,68A,68B)	Procedure by which a subject may have additions, dissents or objections entered			
	into the record			
2.7(22,68A,68B) Consent to disclosure by the subject of a confidential record				
2.8(22,68A,68B)	Notice to suppliers of information			
2.9(22,68A,68B)	Disclosure without the consent of the subject			
2.10(22,68A,68B)	Routine use			
2.11(22,68A,68B)	Consensual disclosure of confidential records			
2.12(22,68A,68B)				
2.13(22,68A,68B)	Availability of records			
2.14(22,68A,68B)	Personally identifiable information			
2.15(22,68A,68B)	Other groups of records			
2.16(22,68A,68B)	Data processing systems			
2.17(22,68A,68B)	Limitation of applicability			
2.18(68B)	Use of information prohibited			
	CHAPTER 3			
	IOWA ELECTION CAMPAIGN FUND			
3.1(68A)	Interpretation of checkoff markings			
3.2(68A)	Distribution of funds			
3.3(68A)	Director of revenue—monthly reports			
3.4(68A)	Funds—application and transfer			
3.5(68A)	· · · · · · · · · · · · · · · · · · ·			
,	funds			
3.6(68A)	Legitimate campaign expenses			
3.7(68A)	Loss of party status			

Filing of Iowa election campaign fund report

## CHAPTER 4 CAMPAIGN DISCLOSURE PROCEDURES

## DIVISION I

DIVISION I ORGANIZATIONAL REQUIREMENTS				
4.1(68A,68B)	Requirement to file statement of organization (DR-1)—persons subject to			
4.1(00A,00D)	requirements; financial thresholds; where to file; when due			
4.2(68A,68B)				
4.3(68A,68B)	•			
	Information required: committee purpose; party affiliation			
4.4(68A,68B)	Information required: officers; committee information; signatures			
4.5(68A,68B) Segregation and timely deposit of funds; information required: identification				
1 6 (60 A 60D)	financial institution, account name; notice to treasurer			
4.6(68A,68B)	Amendments to statement of organization; requirement for new statement of			
	organization for new office sought			
	DIVISION II			
17(60 A 60D)	REPORTING AND FINANCIAL TRANSACTION REQUIREMENTS  Disclosure reporting required; information on initial report; minimum filing if no			
4.7(68A,68B)	Disclosure reporting required; information on initial report; minimum filing if no activity			
4.8(68A,68B)	Disclosure reporting required—where reports filed			
4.9(68A)	Campaign disclosure report due dates			
4.10(68A)	Time of filing			
4.11(68A)	Voluntary registration—Form DR-SFA			
, ,	Exception from reporting requirement—reports due within five days of one another			
4.12(68A,68B)	Report forms—summary page (DR-2) and supporting schedules			
4.13(68A,68B)	Schedule A - Monetary Receipts			
4.14(68A,68B)	, 1			
4.15(68A,68B)	Schedule B - Monetary Expenditures			
4.16(68A,68B)	Schedule D - Incurred Indebtedness			
4.17(68A,68B)	Schedule E - In-kind Contributions			
4.18(68A,68B)	Schedule F - Loans Received and Repaid			
4.19(68A)	Schedule G - Breakdown of Monetary Expenditures by Consultants			
	20(68A,68B) Schedule H - Campaign Property			
4.21(68A)	Filing of reconciled bank statement			
4.22(68A,68B)	Verification of reports; incomplete reports			
4.23(68A,68B)	Amendment—statements, disclosure reports and notices			
4.24(68A)	Reporting of state party building fund transactions			
4.25(68A,68B)	Legitimate expenditures of campaign funds			
4.26(68A)	Transfers between candidates			
4.27(68A)	Filing of independent expenditure statement			
4.28(68A)	Prohibition on contributions and independent expenditures by foreign nationals			
4.29(68A,68B)	Contributions by minors			
4.30(68A,68B)	Funds from unknown source prohibited; subsequent identification of source;			
	notice to contributors			
4.31(68A)	Information required for a trust to avoid a contribution in the name of another			
1.00(50.1)	person			
4.32(68A)	Contributions from political committees not organized in Iowa			
4.33(68A)	Reporting of earmarked contributions			
4.34(68A)	Copies of reports filed by 527 Committees			
4.35(68A)	Permanent organizations forming temporary political committees; one-time contributor filing Form DR-OTC			
4.36(68A)	Cash transactions			
4.37(68A,68B)	Record keeping			
, ,	. •			

DIVISION III POLITICAL MATERIAL—ATTRIBUTION STATEMENTS				
4.38(68A)	Political attribution statement—contents			
4.39(68A)				
4.59(00A)	Specific items exempted from or subject to attribution statement requirement; multiple pages			
4.40(68A,68B)	Newspaper or magazine			
4.41(68A,68B)				
4.42 and 4.43 Reserved				
	DIVISION IV			
4.44(60.4.60D)	CORPORATE POLITICAL ACTIVITY			
4.44(68A,68B)	Prohibited corporate activity			
4.45(68A,68B)	Corporate-sponsored political committee			
4.46	Reserved			
	4.47(68A,68B) Permitted activity—reimbursement required			
4.48(68A)	Sham newspapers subject to campaign laws			
4.49(68A,68B)	Individual property			
4.50	Reserved			
4.51(68A)	Candidate debate—media organization; debate structure; debate funding; contribution reporting inapplicable			
4.52(68A,68B)	Corporate involvement with political committee funds			
	DIVISION V			
	INDEPENDENT EXPENDITURES AND IN-KIND CONTRIBUTIONS			
4.53(68A,68B)	Express advocacy; in-kind contributions; independent expenditures— definitions			
	DIVISION VI COMMITTEE DISSOLUTION			
4.54(68A)	Committee dissolution; disposition of property; resolution of loans or debts			
4.55(68A)	Statement of dissolution; final report; final bank statement			
4.56 and 4.57	Reserved			
	DIVISION VII			
4.50((OD)	CIVIL PENALTIES FOR LATE REPORTS			
4.58(68B)	Late-filed campaign disclosure reports			
4.59(68B)	Routine civil penalty assessment for late-filed disclosure reports			
4.60(68B)	Requests for waiver of penalties			
4.61(68B)	Contested case challenge			
4.62(68B)	Payment of penalty			
	CHAPTER 5			
	USE OF PUBLIC RESOURCES FOR A POLITICAL PURPOSE			
5.1(68A)	Scope of chapter			
5.2(68A)	Applicability			
5.3(68A)	Definitions			
5.4(68A)	Use of public resources for a political purpose prohibited			
5.5(68A)				
5.6(68B)	Board advice			
5.7(68B)	Complaints			
5.8(68A)	Holders of certain government positions prohibited from engaging in political			
	activities			

## CHAPTER 6 EXECUTIVE BRANCH ETHICS

#### DIVISION I GENERAL PROVISIONS

	DIVISION I GENERAL PROVISIONS		
6.1(68B)	Scope of chapter		
6.2(68B)	Definitions		
6.3(68B)	Complaints or filing information alleging a violation		
6.4(68B)	Board advice		
0.4(00 <b>D</b> )	Bould advice		
	DIVISION II CONFLICT OF INTEREST AND MISUSE OF PROPERTY		
6.5	Reserved		
6.6(68B)	Dual executive branch compensation prohibited		
6.7	Reserved		
6.8(68B)	Misuse of public property		
6.9(68B)	Use of confidential information		
0.9(00Д)	Ose of confidential information		
	DIVISION III		
6 10(69D)	SALES OR LEASES OF GOODS OR SERVICES Prohibition on sales; when public bids required—disclosure of income		
6.10(68B)	Sales or leases by regulatory agency officials or employees		
6.11(68B) 6.12(68B)	Sales or leases by regulatory agency officials of employees  Sales or leases by members of the office of the governor		
0.12(00D)	sales of leases by members of the office of the governor		
	DIVISION IV EMPLOYMENT RESTRICTIONS		
6.13	Reserved		
6.14(68B)	Engaging in services against the interest of the state prohibited		
6.15	Reserved		
	DIVICION V		
	DIVISION V GIFTS AND OFFERS		
6.16 to 6.18	Reserved		
6.19(68B)	Prohibition on receipt of an honorarium		
6.20(68B)	Loans from executive branch lobbyists prohibited		
	CVI A DETERM		
	CHAPTER 7		
7.1((OD)	PERSONAL FINANCIAL DISCLOSURE		
7.1(68B)	Filing requirements and procedures		
7.2(68B)	Information disclosed on form		
7.3(68B)	Procedure for determining persons required to file with the board—distribution		
7.4	of forms		
7.4	Reserved		
7.5(68B)	Penalties  Penalties		
7.6(68B)	Requests for waiver of penalties		
7.7(68B)	Contested case challenge		
7.8(68B)	Payment of penalty		
7.9(68B)	Retention and availability of filed forms		
	CHAPTER 8		
	EXECUTIVE BRANCH LOBBYING		
8.1(68B)	Executive branch lobbying defined		
8.2(68B)	Executive branch lobbyist defined		
8.3(68B)	•		
	individuals not considered executive branch loodyists		
8.4(68B)			
8.4(68B) 8.5(68B)	Executive branch lobbyist client defined		
8.4(68B) 8.5(68B) 8.6			

8.7(68B)	Lobbyist registration required			
8.8	Reserved			
8.9(68B)	Executive branch lobbyist client reporting			
8.10(68B)	Session function registrations and reports			
8.11(68B) Penalties for delinquent reports				
8.12(68B) Request for waiver of penalty				
8.13(68B)	Contested case proceeding			
8.14(68B)	Payment of penalty			
8.15(68A)	Campaign contributions by lobbyists during the regular legislative session prohibited			
8.16(68B)	Lobbyists prohibited from making loans			
8.17(68B)	Ban on certain lobbying activities by government personnel			
8.18(68B)	False communications prohibited			
8.19(68B)	Advisory opinions			
8.20(68B)	Retention and availability of filed forms			
	CHAPTER 9			
CON	MPLAINT, INVESTIGATION, AND RESOLUTION PROCEDURES			
9.1(68B)	Complaints			
9.2(68B)	Investigations—board action			
9.3(68B)	Grounds for disciplinary action			
9.4(68B)	Disciplinary remedies; administrative resolution of enforcement matters			
9.5(68B)	Settlements			
9.6(68B)	Whistle-blower protection			
9.7(68B)	Providing false information to the board during an investigation			
	CHAPTER 10 Reserved			
	CHAPTER 11			
	CONTESTED CASE PROCEDURES			
11.1(17A,68B)	Scope and applicability			
11.2(17A,68B)	Definitions			
11.2(17A,68B) 11.3(17A,68B)	Time requirements			
11.4(17A,68B)	Requests for contested case proceeding			
11.5(17A,68B)	Notice of hearing			
11.6(17A,68B)	Waiver of procedures			
11.7(17A,68B)	Telephone proceedings			
11.7(17A,68B) 11.8(17A,68B)	Disqualification; request for administrative law judge			
11.9(17A,68B)	Consolidation—severance			
11.9(17A,68B) 11.10(17A,68B)	Pleadings			
11.10(17A,68B) 11.11(17A,68B)	Service and filing of pleadings and other papers			
11.11(17A,68B) 11.12(17A,68B)	Discovery			
11.12(17A,68B) 11.13(17A,68B)	Subpoenas			
11.13(17A,68B) 11.14(17A,68B)	Motions			
11.14(17A,68B) 11.15(17A,68B)	Prehearing conference			
	<u> </u>			
11.16(17A,68B) Continuances 11.17(17A,68B) Withdrawals				
/ / A OADI	Withdrawale			
	Withdrawals			
11.18(17A,68B)	Intervention			
11.18(17A,68B) 11.19(17A,68B)	Intervention Hearing procedures			
11.18(17A,68B) 11.19(17A,68B) 11.20(17A,68B)	Intervention Hearing procedures Evidence			
11.18(17A,68B) 11.19(17A,68B)	Intervention Hearing procedures			

11.23(17A,68B)	Recording costs			
11.24(17A,68B)	Interlocutory appeals			
11.25(17A,68B)	Final decision			
11.26(17A,68B)	Board review			
11.27(17A,68B)	Application for rehearing			
11.28(17A,68B)	Stay of agency actions			
11.29(17A,68B)	No factual dispute contested cases			
11.25(1711,002)	The factorial dispute contested cases			
	CHAPTER 12			
	DECLARATORY ORDERS			
12.1(17A,68B)	Petition for declaratory order			
12.2(17A,68B)	Briefs			
12.3(17A,68B)	Notice of petition			
12.4(17A,68B)	•			
	Intervention			
12.5(17A,68B)	Inquiries			
12.6(17A,68B)	Board consideration			
12.7(17A,68B)	Action on petition			
12.8(17A,68B)	Refusal to issue order			
12.9(17A,68B)	A,68B) Contents of declaratory order			
12.10(17A,68B)	Copies of orders			
12.11(17A,68B)	Effect of a declaratory order			
12.12(17A,68B)	Advisory opinion			
	CHAPTER 12			
	CHAPTER 13			
	PETITIONS FOR RULE MAKING			
13.1(68B)	Petition for rule making			
13.2(68B)	Briefs			
13.3(68B)	Inquiries			
13.4(68B)	Board consideration			
	CHAPTER 14			
	BOARD PROCEDURE FOR RULE MAKING			
14 1(17 A)	Applicability			
14.1(17A)	••			
14.2(17A)	Advice on possible rules before notice of proposed rule adoption			
14.3(17A)	Public rule-making docket			
14.4(17A)	Notice of proposed rule making			
14.5(17A)	Public participation			
14.6(17A)	Regulatory analysis			
14.7(17A,25B)	Fiscal impact statement			
14.8(17A)	Time and manner of rule adoption			
14.9(17A)	Variance between adopted rule and published notice of proposed rule adoption			
14.10(17A)	Exemptions from public rule-making procedures			
14.11(17A)	Concise statement of reasons			
14.12(17A)	Contents, style, and form of rule			
14.13(17A)	Board rule-making record			
14.14(17A)	Filing of rules			
14.15(17A)	Effectiveness of rules prior to publication			
14.16(17A)	General statements of policy			
14.17(17A) 14.17(17A)	Review by board of rules			
11.1/(1/11)	Review by bound of fules			

## CHAPTER 15 WAIVERS OR VARIANCES FROM ADMINISTRATIVE RULES

V	ALVERS OR VARIANCES IT
15.1(17A)	Definition
15.2(17A,68A,68B	) Scope of chapter
15.3(17A,68A,68B	) Applicability
15.4(17A)	Criteria for waiver
15.5(17A,68A,68B	) Filing of petition
15.6(17A)	Content of petition
15.7(17A)	Additional information
15.8(17A)	Notice
15.9(17A)	Hearing procedures
15.10(17A)	Ruling
15.11(17A,22)	Public availability
15.12(17A)	Summary reports
15.13(17A)	Cancellation of a waiver

15.14(17A,68A,68B) Violations 15.15(17A,68A,68B) Defense 15.16(17A) Appeals