

IOWA LOTTERY AUTHORITY
RECORDS RETENTION AND OPEN RECORDS POLICY
Effective March 8, 2012

Application of this Policy

This policy addresses the Iowa Lottery's records retention practices and how it responds to requests for open records. Inquiries regarding this policy should be addressed to the Lottery's Vice President of External Relations, using the contact information in this document.

Policy Statement

The Iowa Lottery Authority is an entrepreneurial enterprise accountable to the Governor, the state Legislature and the public. The Lottery's first priority is to operate with integrity. Our integrity involves two potentially competing ideals – allowing public scrutiny of Lottery operations while at the same time maintaining and operating games in a secure manner. With the goal of satisfying both, this policy has been developed to educate the public regarding those records that are confidential, while at the same time providing a procedure for access to open records at the Lottery.

Confidential Records

The term "open record" as used in this policy, means any record, document, tape, or other information, stored or preserved in any medium, of or belonging to the Iowa Lottery Authority. Public records include both open records and confidential records. Most business records of the Lottery are open records, and the public will be allowed access to them as provided by law. However, under Iowa law, the following records of the Lottery are confidential:

- Marketing plans, research data, and proprietary intellectual property owned or held by the Authority under contractual agreements.
- Personnel, vendor, and player Social Security or tax identification numbers.
- Computer system hardware, software, functional and system specifications, and game play data files.
- Security records pertaining to investigations and intelligence-sharing information between lottery security officers and those of other lotteries and law enforcement agencies, the security portions or segments of lottery requests for proposals, proposals by vendors to conduct lottery operations, and records of the security division of the Authority pertaining to game security data, ticket validations tests, and processes.
- Player name and address lists, provided that the names and addresses of prize winners shall not be withheld.
- Operational security measures, systems, or procedures and building plans.

- Security reports and other information concerning bids or other contractual data, the disclosure of which would impair the efforts of the Authority to contract for goods or services on favorable terms.
- Information that is otherwise confidential obtained pursuant to investigations.
- Any records excluded from public access by Iowa Code section 22.7 or any other law.

Record Retention Requirements

Every record made or received under the authority of the Iowa Lottery in connection with the transaction of official lottery business, and having sufficient legal, fiscal, administrative, or historical value, shall be retained in accordance with Iowa law. The Iowa Lottery has designated a Records Officer to oversee its records retention program and to serve as the primary point of contact with the state archives. The Lottery follows the record retention protocol that is established by the State Records Commission. As the Lottery's Record Officer, its general counsel provides guidance to all Lottery personnel when inquiries arise regarding the retention of records.

Availability of Open Records

Open records will be available to the public during the Lottery's customary office hours, which are 8 a.m. to 4:30 p.m. Monday through Friday (except holidays). Immediate access to records may be affected by a good faith-effort to verify the scope of the records request, locate the specific records requested, and determine whether any of the records, or information contained therein, are confidential in nature. The Lottery will make every effort to provide the public with access to open records in a prompt and efficient manner. If special circumstances are anticipated to delay a timely response, the Lottery will notify the requester at once.

Confidential records may be withheld and confidential information within an otherwise open record may be redacted prior to a record's release for public examination and copying. Upon request, the Lottery will provide the statutory authority for deeming a record or part of a record confidential.

Requests for Open Records

Requests for access to open records may be made in person, in writing or by telephone. A request for access to an open record should be directed to the Lottery's Vice President of External Relations. Requests transmitted by mail shall be addressed to:

Mary Neubauer
Vice President of External Relations
Iowa Lottery

13001 University Ave.
Clive, IA 50325
mneubauer@ialottery.com
515-725-7900

Requests by email should include the term “Open Records Request” in the subject field.

Persons who submit a mail, electronic, or oral request for open records should provide their name, address, and telephone number in order to facilitate effective communication regarding the request.

Requests for access to an open record shall identify the particular record to which access is requested by name or description in order to accurately identify the desired record. To expedite the search, a request for an open record should include the following information:

- The particular type of record sought.
- The time period to be searched by providing a start and end date.
- The author and/or recipient of the record requested, to the extent possible.
- The type of records to be searched (letters, reports, email, etc.).
- Any other pertinent information that will assist the Lottery in locating the record requested.
- If the request applies to a record believed to be stored in electronic form, the requester should specify that the request pertains to electronic records and should list the search terms to be used to conduct the electronic search.

Please note that the Lottery will be able to process a request for specific records more quickly than a request for “all information pertaining to a particular subject.”

Questions regarding the scope of a records search should be address to the Lottery’s Vice President of External Relations.

Fees

The Iowa Lottery provides up to ten (10) paper copies and three (3) hours of staff time free of charge for time spent retrieving and preparing an open record or supervising the public examination of an open record. Additional paper copies are 10 cents per page and additional time spent on a request will be charged to the requester of the record in an amount equal to the actual cost of time spent providing non-incident retrieval or supervisory services (defined as services provided by the Lottery to persons requesting open records that exceed three hours in duration), as provided under applicable law. Upon request, an estimate of fees will be provided to the requester before a search is initiated.

The actual cost for non-incident retrieval or supervisory services may vary according to the nature of the search that is desired by the requester. If assistance from Executive Branch agencies, including the Department of Administrative Services, is needed to retrieve the requested record, the requester will be charged according to that agency's fee schedule.

Administrative Rule Pertaining to Fees

Iowa Administrative Code 531-1.5 provides in relevant part, that the Iowa Lottery Authority may charge "reasonable fees, including staff research and copying time, for the processing of any public records production requests." Specific charges are a matter of policy, not rule.

Open Records Procedure

1. Contact requester to verify the request. Confirm any search terms. Explain fee policy.
2. Contact lottery staff for any documents responsive to request.
3. Review documents.
4. Burn to disc, save to file or make copies.
5. Contact requester to pick up documents or let them know records have been emailed, shared or are in the mail.
6. Provide final letter along with documents.
7. Close out request.

Additional References

- Iowa Lottery Authority Records Retention Schedule
- <http://www.ialottery.com/Pages/Legal/OpenRecords.aspx>



Terry Rich, CEO

March 8, 2012

Date