

AGENCY 2023 Audit Programs

June 30, 2023

STATE AGENCY CODE COMPLIANCE QUESTIONNAIRE

Code	Section	Question	Response			
			Yes	No	N/A	Remarks
7A.3 to 7A.10		Was the annual or biennial report of the Agency or the Board submitted to the Governor within the specified time frame?				
7A.30		Does the Agency maintain a written, detailed, up-to-date inventory of all real and personal property belonging to the State and under their charge, control and management?				
8A.311		Does the Agency post advertisements for bids to the Department of Administrative Services (DAS) website? A competitive bidding opportunity not preceded by an electronic posting to the DAS website is considered void. (Exception: architecture, engineering and informal bids.)				
8A.311(1)		Did the Agency give first preference when purchasing a product to an Iowa product or a product produced by an Iowa-based business?				
8A.505		Did the Agency submit the Indirect Cost Allocation Plan to DAS State Accounting Enterprise?				
8A.505		Did the Agency remit the Agency's share of indirect costs to the State General Fund, if required?				
8.23		Did the Agency transmit budget estimates of its expenditure requirements to the Department of Management on or before October 1?				
8.23		Did the Agency transmit budget estimates of its receipts and expenditure requirements from federal or other non-state funding for the ensuing fiscal year to the Department of Management and the Legislative Services Agency on or before November 15?				
8.44		For institutions and agencies overseeing institutions, upon receiving federal funds or any other funds from any public or private sources, did the Agency submit a written report stating the source of these funds, the amount received and the terms under which they were received to the Department of Management within thirty days after receipt?				
8.44		Did the Agency notify the Department of Management and the Legislative Services Agency, of any change in the receipts of federal or other non-state grants, receipts and funds from the funding levels on which appropriations for the current or ensuing fiscal year were based on a quarterly basis?				

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8.62		Upon encumbering funds from the previous fiscal year for employee training, technology enhancement and/or purchases from Iowa Prison Industries, did the Agency report to the Joint Appropriations Subcommittee which recommends funding for the Agency, the Legislative Services Agency, the Department of Management and the Legislative Fiscal Committee of the Legislative Council detailing how the moneys were expended?				
12C.4		Did the Agency deposit public funds with the State Treasurer or into an account owned by the State Treasurer at a depository located in the State?				
12.10		Did the Agency deposit 90% of all fees, commissions and moneys received within 10 days following collection? If the balance remaining at the Agency was less than \$5,000, was the balance deposited within 30 days?				
17A.6A		Did the Agency make available to the public a uniform, searchable and user-friendly rules database, published on an internet site?				
17A.7		Over each five-year period, did the Agency conduct an ongoing and comprehensive review of all the Agency's rules?				
21.4		Did the Agency give proper public notice for all official meetings open to the public, as outlined in the Code?				
21.5		Did the Board or Commission hold closed sessions in compliance with Chapter 21 of the Code of Iowa?				
22.13		Did the Agency comply with Chapter 22 of the Code of Iowa in regards to settlement agreements?				
64.6		Are the State Officials who are not required to obtain surety bonds covered under the State Employee blanket bond?				
69.15		Did the members of the Board comply with the attendance requirements outlined in the Code or was a resignation submitted for those members not meeting the attendance requirements of Chapter 69.15 of the Code of Iowa? Did the salary of the Director and other higher level positions within the Agency stay within the limits set by the General Assembly? (2010 Iowa Acts, Chapter 1193, Section 17 refers to 2008 Iowa Acts, Chapter 1191, Section 14 for FY23 salary limits.)				
73.2		Do all requests made for bids and proposals for materials, products, supplies, provisions and other articles to be purchased contain a paragraph stating a preference will be given to products and provisions grown and coal produced within the State of Iowa?				

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73.16	Did the Director of each Agency having purchasing authority issue electronic bid notices for distribution to the targeted small business web page located at the Iowa Economic Development Authority for solicitation for bids for procurement of equipment, supplies or services? Were the notices provided to the targeted small business manager forty-eight hours prior to issuance of all bid notices?				
73.16	Did the Agency submit a report within fifteen business days following the end of each calendar quarter to the Iowa Economic Development Authority, providing the total dollar amount of certified purchases from certified targeted small businesses during the previous calendar quarter?				
556.11	Determine unclaimed property as described in Chapters 556.1(10) and 556.2B of the Code of Iowa has been reported to the State Treasurer annually before November 1 as required.				
<u>Overall Conclusion:</u>					