

**North Carolina Agriculture Cost Share Program Review Summary
(January, 2016)**

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| County | <u>Caswell</u> | Date of Previous Review/Report | <u>2010</u> |
| District Staff Name(s) | <u>Tonya Wingate, Mitch Thompson</u> | Date | <u>January 12-13, 2015</u> |
| NRCS Staff Name(s) | <u>Quincy Coleman</u> | | |
| Division Representative(s) | <u>Ken Parks, Ralston James, Louise Hart</u> | | |
| Additional Participants | <u></u> | | |

| Questions | Division Findings | | | | Division Comments | District Plan of Action Required | | SWCD Plan of Action | Proposed Timeline for Implementation | Division Response to Plan of Action (date) |
|---|-------------------|----------------|-------------------|-----------------------------|--|----------------------------------|----|--|--------------------------------------|--|
| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Section 1: Application Procedures and Tracking Progress (BMP Implementation and Payments) | | | | | | | | | | |
| Questions in this section focus on how the district advertises the program, how applications are developed, how contracts are developed, how funds are tracked and how the board approves each. | | | | | | | | | | |
| How/when are the district board meetings scheduled? | | | | X | The board meetings are schedule the 2 nd Monday of each month. | | X | | | |
| How do you notify the public of the board meeting schedule? Does it adhere to the Open Meetings Law? | | X | | | Meeting notices are posted on the office bulletin boards and out front. Recommend to put an additional notice at another location for the public. | X | | Posted on bulletin board in Courthouse and on Caswell County's website http://www.caswellcountync.gov/calendar.aspx | February 9, 2016 | Plan of action accepted. |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
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| <i>Please describe the district's process for providing assistance to applicants by assessing resource concerns to determine if a BMP is "needed and feasible" and then developing the conservation plan.</i> | | | | X | Find out the problems in the field and then start the application process. A site visit determines what is needed and what is feasible. A conservation plan process is started. | | X | | | |
| <i>In what instances does the district provide technical assistance without cost share funds?</i> | | | | X | The technician helps with farmers on setting up row patterns in their field and helps with drainage questions. | | X | | | |
| <i>Are applications reviewed and approved by the Board as a separate action item?</i> | | | X | | A corrective action is given to approve applications separately from contracts. | X | | Applications will be a separate item on the agenda and minutes | Adopted February 8, 2016 | Plan of action accepted. |
| <i>Are application motions/decisions recorded in the board minutes?</i> | | | X | | Applications are not voted on and worded as applications in the minutes. | X | | Applications will be voted on separately and recorded in the minutes | Adopted February 8, 2016 | Plan of action accepted. |
| Applicants are limited when applying for incentive BMPs. How does your district track applicants so they do not go over the practice caps and to be sure they haven't already "adopted" the practice? Is your district using the self-certification for incentives form provided by the division? | | X | | X | The district has so few incentive contracts that they do not track them. Recommend to start tracking these incentive contracts. Yes, the district is using the self-certification form provided by the division. | X | X | Will track on spreadsheet | February 9, 2016 | Plan of action accepted. |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| If multiple partners farm together, how does the district track individual applicants as one operation or entity? | | | | X | The district does not have any of these type applicants. | | X | | | |
| At what point in the application process does the district develop the contract? Describe this process. | | | | X | The technician puts together all the data, maps, forms, etc. and then enters this contract in CS2. | | X | | | |
| Describe how the district reviews the contract with the applicant. Do you explain that work cannot begin until the contract is approved by the division? | | | | X | A copy of the contract is mailed to the applicant once it is approved by the division and the applicant is told to start work. | | X | | | |
| | | | | | | | | | | |
| Describe the district/board's procedure for approving supervisor contracts. | | | | X | The supervisor abstains from voting on a supervisor contract. | | X | | | |
| <i>Are contracts reviewed and approved by the Board as a separate action item?</i> | | | | X | Yes. | | X | | | |
| <i>Are contract motions/decisions recorded in the board minutes?</i> | | | | X | Yes, looked good. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Is it documented in the Board minutes that the supervisor abstained from discussing his/her own contract and from voting? | X | | | | Yes. It is documented in the minutes where the supervisors abstain from discussing and voting on their own contracts. | | X | | | |
| What procedures do you follow for notifying the applicant that work can begin? | X | | | | The technician explains when work can begin and most of the contracts are completed in yr. | | X | | | |
| What information do you provide the applicant? | X | | | | A complete copy of the contract is given to the applicant which includes the maps, contract, designs, job sheets, etc. | | X | | | |
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| What technical assistance do you provide during the BMP installation process to ensure the BMP is installed correctly and by the contract deadline? | | | | X | The technician goes out and helps recut the waterways and explains the deadline. | | X | | | |
| How do you track the Commission's interim performance milestone? One-third of the work must be completed within 12 months of division approval. | | X | | | The technician does not track the 1/3 rd rule, but works closely with the farmers to make sure the BMP gets installed the first year. Recommend to include a 1/3 rd column on the tracking spreadsheet. | X | | Verbal communication with the farmer. Added 1/3 column to Cost Share Spreadsheet for tracking. | February 9, 2016 | Plan of action accepted. |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| If 1/3 of the work has not been completed within 12 months and the cooperater requests additional time, is the district recording 6-month extensions in the board minutes? | | X | | | The district has not had to give 6 month extensions. Recommend to use the NC-ACSP-5 form. | X | | Form recommended will be completed and kept in the client's file and a copy will be sent to Ken Parks. | PY2016 Contracts | Plan of action accepted. |
| What documentation do you include in the contract file that certifies that the BMP was inspected and is installed to the standards and specifications? | X | | | | The technician uses an inspection check out sheet and "as-builts" maps to document that the BMP is installed to standards and specifications. | | X | | | |
| Are BMPs measured then certified before the request for payment is approved? How is this documented? | X | | | | The technician uses the GPS and re-measures the BMP before the RFP is made and it is documented on the "as-builts" maps. | | X | | | |
| Are receipts received and reviewed for CSP BMPs that are based on actual cost? | | | | X | Yes. | | X | | | |
| Are request for payments reviewed and approved by the board as a separate action item? | | | | X | Yes. | | X | | | |
| <i>Are payment motions/decisions recorded in the board minutes?</i> | X | | | | Yes, looked good. | | X | | | |
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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Section 2: Spot Checks and Compliance Issues | | | | | | | | | | |
| Questions in this section focus on how the district reviews BMPs for compliance and how maintenance and/or non-compliance issues are addressed. | | | | | | | | | | |
| <i>Who participates in annual spot checks? When are they conducted?</i> | | | | X | At least one or two supervisors participates in the spotchecks as required by Commission policy. They are usually done around the end of May before the June 1 st deadline. | | X | | | |
| How does the district randomly select which contracts to spot check? | | | | X | A random number is picked and that number is used throughout the active contracts. | | X | | | |
| <i>Are all BMPs under the waste management category spot checked for the first five years after installation? This applies to all farms that fall under the thresholds that are regulated by DWR.</i> | | | | X | They do not have any waste management BMPs older than 5 years old. | | X | | | |
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| Are all agriculture new ponds, pond repair/retrofits, and water collection systems being spot-checked every year during the maintenance period? | | | | X | The district does not have any pond contracts for these spotchecks. | | X | | | |
| Are all agriculture road repair/stabilizations being spot-checked at least every 2 years during the maintenance period? | | | | X | The district does not have any of these type contracts. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| How does the district notify the NRCS area office (for ACSP contracts) or division (for CCAP contracts) to conduct spot checks on lands owned or operated by a district, county, division or NRCS employee or district supervisor? This includes CPOs, revisions, supplements or repairs. | | | X | | A corrective action is given to the district for not notifying the NRCS area office for contracts in this category. | X | | Will notify NRCS District Conservationist for future contracts for District, County, Division, NRCS employee or District Supervisor. | Beginning February 9, 2016 | Plan of action accepted. |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| <p>The North Carolina Statute 02 NCAC 59D.0107(f) states "If the technical representative of the district determines that a BMP for which program funds were received has been destroyed or has not been properly maintained, the applicant will be notified that the BMP must be repaired or re-implemented within 30 working days. For vegetative practices, applicants are given one calendar year to re-establish the vegetation."</p> <p>How does your district notify individuals that have destroyed or mismanaged a BMP?</p> | | | | X | The technician will do a site visit and then the district send a letter of non-compliance. | | X | | | |
| How are supervisors notified of BMPs that are found to be destroyed or mismanaged at any time throughout the year? | | | | X | The supervisors are notified on spotchecks or at board meetings. | | X | | | |
| Does the district provide a written notice that the BMP must be repaired or re-implemented within 30 working days? (Vegetative practices have to be reestablished within one calendar year.) Is a copy of the notification kept in the contract file? | | | | X | Yes, but has not had to provide a written letter due to know compliance issues. | | X | | | |
| If the BMP was not repaired or re-implemented, was repayment requested? Please provide documentation. | | | | X | The district has not had any to request repayment. | | X | | | |
| <i>Is the district notifying the division of non-compliance and resolutions?</i> | | | | X | Not had to do this, but the technician knows the procedure. | | | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Section 3: Record Keeping | | | | | | | | | | |
| Questions in this section focus on how funds are managed and accounted for, maintaining proper design and job approval authority, as well as disclosure forms. | | | | | | | | | | |
| How does the district track BMP funds? | | | | X | The district uses a spreadsheet to track the contracts and BMP funds. | | X | | | |
| In what instances does the district use the division on-line (website & CS ²) reports? | | | | X | Yes. | | X | | | |
| How are technical assistance and operating funds tracked? Are they audited? What is the date of the last audit? Who performed the audit? | | | | X | These are being tracked by the county finance dept. Yes, an audit was completed December 2014 by Winston, Williams, Creech, Evans, & Company, LLP. | | X | | | |
| Who in the office is funded by Cost Share Technical Assistance (TA) from the State? | | | | X | Mitch Thompson | | X | | | |
| How are matching funds tracked? Are they audited? What is the date of the last audit? Who performed the audit? | | X | | | One of the board supervisors, Joan, keeps track of the matching funds. There was no indication that a self-audit has been done. Recommend to do an end of year self-audit. | X | | Will conduct end-of-year annual self-audit and will document in the file and in the minutes | December 2016 | Plan of action accepted. |
| Is proper job approval authority (JAA) documented for each technical and cost share position? Please provide a copy of the latest approved JAA. | | | | X | Yes. | | X | | | |
| Office Section Comments: There were 6 commendations given, 5 recommendations and 2 corrective actions on the office section of the review. | | | | | | | | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Section 4: Contract Reviews and Site Visits Below is a list of the contracts the division reviewed. Spot checks were also conducted. Notes include recommendations and/or corrective action for contract files as well as the BMP. Contracts/BMPs are listed by contract number. | | | | | | | | | | |
| Contract Number: 17-2005-040 Applicant Name: Joseph Stilwell BMP: Lagoon Closure  | | | | X | The BMP was functioning properly and looked good. The documentation in the file was okay. | | X | | | |
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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2009-019 Applicant Name: Robert Wiley BMP: Pasture Renovation  | | | | X | The BMP was functioning properly and looked good. The documentation in the file was okay. | | X | | | |
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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2009-009, 17-2005-035 Applicant Name: William Boaz, Supervisor BMP: Grassed Waterways  | | | | X | The BMPs were functioning properly and looked good. The documentation in the file was okay. | | X | | | |
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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2008-008 Applicant Name: Jan Sorrells BMP: Cropland Conversion to Grass  | | | | X | The BMP was functioning properly and looked good. The documentation in the file was okay. | | X | | | |
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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2015-018, 17-2009-017, 17-2012-016 Applicant Name: Dennis Simmons, Supervisor BMP: Water Tanks, Fencing, Stream Crossing  | | | | X | The BMPs were functioning properly and looked good. The documentation in the file was okay. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2012-025 Applicant Name: H.O. Davis BMP: Cropland Conversion to Grass  | | | | X | The BMP was functioning properly and looked good. The documentation in the files was okay. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2012-010 Applicant Name: Terry Ribelin BMP: Sod-Based Rotation  | | | | X | The BMP looked good and was functioning properly. The documentation in the file was okay. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2006-025, 17-2011-021, 17-2012-015 Applicant Name: Tim Yarbrough, Supervisor BMP: Field borders, grassed waterways  | | | | X | The BMPs were functioning properly and looked good. The documentation in the file was okay. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-06-035 Applicant Name: William Tatum BMP: Cropland Conversion to Trees  | | | | X | The BMP was functioning properly and looked good. The documentation in the file was okay. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2012-021 Applicant Name: Van Barker BMP: Cropland Conversion to Trees  | | | | X | The BMP was functioning properly and looked good. The documentation in the file was okay. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2010-001 Applicant Name: Ronald Daniel BMP: Grassed Waterways  | | X | | | The BMPs were functioning, but need some maintenance. Recommend to reshape and reseed the grassed waterways based on technical specifications. The documentation in the file was okay. | X | | District Technician will talk with farmer about the recommendations. | Immediately. | Plan of action accepted. Division staff will follow up on the maintenance of this BMP. |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2009-039 Applicant Name: S.H Crumpton BMP: Well, tank, fencing  | | | | X | The BMPs were functioning properly and looked good. The documentation in the file was okay. | | X | | | |

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| | Commendation | Recommendation | Corrective Action | No Concerns/ Not Applicable | | Yes | No | | | |
| Contract Number: 17-2010-009 Applicant Name: Robert Brandon BMP: Grassed Waterway  | | | | X | The BMP was functioning properly and looked good. The documentation in the file was okay. | X | | | | |
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Field Section Comments: There was only 1 BMP recommendation and no corrective actions in the field section of the review.