

## Frequently Asked Questions

### **Why do we still have to maintain award and payment data in NCGrants if it is no longer being used for reporting?**

NCGrants is still used for reporting information to the public and the General Assembly on awards and payments to non-state entities. The system is also used to generate a report on recipient reporting levels so that agencies are aware when a recipient has met the threshold for an audit. The system also serves as a data source for the State's transparency site, [NCOpenBudget](#).

### **How should we handle reporting requirements for recipients with contracts that were put in place prior to the rule changes?**

For recipients with existing contracts that reference the NCGrants requirements, agencies may issue an addendum to the contract to modify the requirements based on the revised rules and allow their recipients to report using existing agency forms and procedures. Alternatively, agencies may require recipients to comply with the old reporting requirements until the end of the contract using electronic copies of the NCGrants forms. In the latter option, agencies will need to notify recipients of where to submit forms since the NCGrants reporting function is now disabled.

### **Where can I find electronic copies of the old NCGrants report forms?**

NCGrants forms are available on the website [here](#). The forms are available in Microsoft Word and may be modified as needed by agencies.

### **How do I determine a recipient's reporting level if I do not have access to information on what the recipient received from other State agencies?**

Agencies are still required to enter awards and track payments in NCGrants. We have developed a report titled "Grantee Report Level by Fiscal Year" in the system that provides recipient reporting levels and total payments based on the recipient's fiscal year end. Agency users can access this report in real time in the NCGrants system. We will also begin posting this information on the OSBM website on a monthly basis in September.

### **I have a recipient on the SOFL for outstanding reporting issues prior to August 1, 2016. How do I have them removed from the SOFL?**

Each agency should establish procedures for collecting outstanding reporting information. Electronic copies of the old NCGrants forms are available [here](#) if needed, though agencies may use their own format as long as the same information is collected.

Once the recipient has complied, email NCGrants at [ncgrants@osbm.nc.gov](mailto:ncgrants@osbm.nc.gov) confirming that all outstanding information has been reported. If an audit was required, please forward a copy of the audit so it may be provided to the recipient's other funding agencies. Other information should be retained by the agency and is subject to audit by OSBM or the State Auditor. We will remove the recipient from the SOFL unless there are still outstanding reports to other funding agencies.

Agencies should also establish procedures for notification, determining whether to manage centrally or by individual program. NCGrants will establish a list of agency points of contact that are authorized by the agency to make notifications of changes to suspension status.

**I am a funding agency and have identified an issue with a recipient that warrants suspension per 09 NCAC 03M. What are the procedures for notifying OSBM?**

Email NCGrants at [ncgrants@osbm.nc.gov](mailto:ncgrants@osbm.nc.gov) and provide supporting documentation of the identified issue. If the agency discovers evidence of management deficiencies or criminal activity leading to the misuse of funds, the entity will be suspended immediately upon notification. For other issues the recipient should be notified and given 60 days to remedy the issue. In these cases, please also provide documentation of the notification.

Agencies should also establish procedures for notification that will ensure timely notification of high risk issues. Agencies may manage this process centrally or delegate to individual programs. NCGrants will establish a list of agency points of contact that are authorized by the agency to make notifications of changes to suspension status.

**The new Suspension of Funding List (SOFL) format does not identify the funding agency. Why did the format change and how can I more easily identify which of my recipients are on the list?**

Previously, the SOFL was generated automatically by the NCGrants system based on missing reports. As a result, the SOFL listed each recipient multiple times for every award for which the entity had overdue reports. Under the new process, entities are added/removed from the list manually upon notification from an agency of a change in compliance status. The suspension is done at the entity level, not based on an individual agency or award.

To assist agencies with more easily identifying which of their recipients are suspended, we are creating a new report in NCGrants that will be available shortly. While we will still continue to issue the official SOFL in the current format, this new report will serve as an additional tool for agencies to more easily identify which of their recipients are suspended.

**Is there a standard format or template for agency monitoring plans?**

Because programs can vary widely, we have issued general guidance on the basic elements of a monitoring plan and did not attempt to prescribe a standard format or template. Most programs with federal funds will likely already have documented plans or internal policies and procedures in place that will be sufficient to meet this requirement. For programs that have not previously had such requirements, we expect the initial development of plans will be an iterative process and the quality of plans will improve over time. As agency plans are submitted, we will build a library of sample plans that agencies can reference and will help identify resources in other agencies that can share expertise and best practices.

**Are there any future plans to update or modify the NCGrants system based on the new rules?**

OSBM is currently working to migrate both CRIS and NCGrants functions to a new solution. Through this transition, we are working to improve upon the existing system capabilities and will provide additional information as this effort progresses.