

**Criteria and Checklist**  
**Forest Management Plan Conservation Planning Activity (Code CPA-106)**  
**and Forest Management Design and Implementation Activity (Code DIA-165)**  
**Natural Resources Conservation Service – Indiana 2022 v1.0**

<b>Participant Name:</b>		<b>County:</b>	
<b>Plan Writer Name:</b>		<b>Date Submitted:</b>	
<b>Plan Type:</b>	<input type="checkbox"/> CPA 106	<input type="checkbox"/> DIA 165	<input type="checkbox"/> CPA 106 + DIA 165
<b>NRCS Reviewer Name:</b>		<b>Date Reviewed:</b>	

This plan  meets /  does not meet the criteria listed below. \_\_\_\_\_ (reviewer initials)

<b>Review/Certification</b> <b>Notes:</b>
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**Introduction**

Starting in Fiscal Year 2022, two primary types of planning activities are available to NRCS participants with forest land:

- A Forest Management Plan Conservation Planning Activity (Code CPA 106) is a site-specific conservation plan that contains planned forest related conservation treatment activities for one or more resource concerns.
- A Forest Management Design and Implementation Activity (Code DIA 165) is the development of one or more site-specific, forest-related conservation practice specifications to treat one or more resource concerns.

Both activities are developed by certified Technical Service Providers (TSPs). This checklist can be used to review both types of activities individually, or to review plans that were contracted for both together.

There is also a third type of forestry planning activity, a Forest Management Assessment Conservation Evaluation and Monitoring Activity (CEMA) (Code CEMA 223), but it is not addressed by this checklist.

**Forest Management Plan Deliverables Checklist**

This section details the minimum criteria to be addressed by a Forest Management Plan (CPA 106) and a Forest Management DIA (DIA 165). Additional information, such as tax information, a glossary, etc., should be considered for inclusion as well. This checklist can be used as a tool to assist both plan writers and reviewers.

These deliverables are based on the current national CPA 106 and DIA 165 criteria, as found [online here](#). In addition to the forest management plan criteria in the checklist below, there are other required deliverables related to the plan development process. These are summarized in Appendix A. A circle or triangle in the “106” or “165” column indicates which criteria are required for each activity type. If a plan is written for both activities, all applicable items below are required.

**Property Identification and Overview (include all on cover page(s))**

	106	165	Yes	No	N/A
<b>1. Participant and Site Information</b>					
a. Program name (EQIP); activity name and code; EQIP contract #	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	

b. Participant name and property location description	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
c. Farm name and owner name (if different than participant name); street address of farm (if available); county; and state; participant phone #		▲	<input type="checkbox"/>	<input type="checkbox"/>	
d. Participant objectives	●		<input type="checkbox"/>	<input type="checkbox"/>	
e. Participant's acceptance statement, signature, and date <sup>1</sup>	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2. Technical Service Provider Information</b>					
a. TSP's name, mailing address, phone number, and email address; TSP # and expiration date	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
b. Required TSP Statement, signature, and date <sup>2</sup>	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3. Other Information</b>					
a. Block for NRCS acceptance, including signature and date	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	

## Maps

	106	165	Yes	No	N/A
<b>4. Maps *</b>					
a. General location map of the planning area showing access roads	●		<input type="checkbox"/>	<input type="checkbox"/>	
b. Forest management plan base map (this may consist of several maps to account for the entire planning area). This map will specifically include: <ul style="list-style-type: none"> <li>• Boundary lines for the Planning Land Units (PLUs) with labels (name, number, or both)</li> <li>• Land use designation, including applicable modifiers (CPA 106 only)</li> <li>• Acreage for each PLU</li> <li>• Forest stand boundaries, and unique identifying code (DIA 165 only)</li> <li>• Location of sensitive resources and setbacks, if applicable (CPA 106 only)</li> <li>• Location of planned and applied conservation practices</li> <li>• If the planning area includes nonprivate lands, include ownership categories (Private, State, etc.)</li> </ul>	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
c. Soils map	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
d. Other applicable resource maps	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
e. An existing wetland delineation map, if applicable		▲	<input type="checkbox"/>	<input type="checkbox"/>	

\* At a minimum, all maps developed for the CPA or DIA will include:

1. Map title; participant's name; "Assisted by [TSP planner's name];" name of applicable conservation district, county, and state; date prepared
2. Appropriate map symbols and legend; map scale, north arrow
3. Information needed to locate the planning area, such as geographic coordinates, public land survey coordinates, etc.

## Resource Inventory and Assessment Documentation

	106	165	Yes	No	N/A
<b>5. Property-Level Description</b> – Describe the following, as they apply to the property as a whole.					
a. Protected species and cultural resources	●		<input type="checkbox"/>	<input type="checkbox"/>	
b. Adjacent stand or ownerships that present opportunities or limitations to management options	●		<input type="checkbox"/>	<input type="checkbox"/>	
c. Recreation uses by the participant	●		<input type="checkbox"/>	<input type="checkbox"/>	

	106	165	Yes	No	N/A
d. Access to the site and condition of roads, trails, landings, and stream crossings	●		<input type="checkbox"/>	<input type="checkbox"/>	
e. Soil and site descriptions, including relevant soil interpretations, slope, topography, and aspect	●		<input type="checkbox"/>	<input type="checkbox"/>	
f. Streams, wetlands, ponds, and lakes	●		<input type="checkbox"/>	<input type="checkbox"/>	
g. Past management, harvesting, natural disturbances, and/or other land use history that has affected stand condition and/or growth potential	●		<input type="checkbox"/>	<input type="checkbox"/>	
h. Grazing practices	●		<input type="checkbox"/>	<input type="checkbox"/>	
i. Potential for carbon sequestration	●		<input type="checkbox"/>	<input type="checkbox"/>	
j. Fish and Wildlife species and habitat elements	●		<input type="checkbox"/>	<input type="checkbox"/>	
k. Risk of insect and disease infestation	●		<input type="checkbox"/>	<input type="checkbox"/>	
l. Reforestation opportunities	●		<input type="checkbox"/>	<input type="checkbox"/>	
m. Prescribed burning opportunities	●		<input type="checkbox"/>	<input type="checkbox"/>	
n. Wildfire risk	●		<input type="checkbox"/>	<input type="checkbox"/>	
<b>6. Management Unit-Level Description - Describe the following for each stand. Note:</b>					
a. Stand name or number, acres	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
b. Forest type	●		<input type="checkbox"/>	<input type="checkbox"/>	
c. Basal area	●		<input type="checkbox"/>	<input type="checkbox"/>	
d. Percent Stocking	●		<input type="checkbox"/>	<input type="checkbox"/>	
e. Description of stand health	●		<input type="checkbox"/>	<input type="checkbox"/>	
f. Diameter distribution by species	●		<input type="checkbox"/>	<input type="checkbox"/>	
g. Site indices for major species, estimated from published height-age curves	●		<input type="checkbox"/>	<input type="checkbox"/>	
h. Estimate of current stand age, or of age cohorts if an uneven-aged stand	●		<input type="checkbox"/>	<input type="checkbox"/>	NA
i. Estimated canopy height for dominant and codominant trees	●		<input type="checkbox"/>	<input type="checkbox"/>	NA
j. Description of regeneration, if pertinent to management recommendations	●		<input type="checkbox"/>	<input type="checkbox"/>	
k. Noxious and invasive plant species	●		<input type="checkbox"/>	<input type="checkbox"/>	
<b>7. Identification of Resource Concerns</b>					
a. Documentation of Resource Concerns (RCs), using NRCS-recognized RC categories. Document RCs using the “Resource Concern Checklist” <sup>3</sup> , or in the body of the plan. Resource concerns must be documented for each land use at a minimum.	●		<input type="checkbox"/>	<input type="checkbox"/>	
b. Forest inventory data. Follow inventory guidance in <a href="#">NRCS Forestry Inventory Methods, Technical Note No. 190-FOR-01, Jul 2018</a> .	●		<input type="checkbox"/>	<input type="checkbox"/>	
c. Other resource assessments tools used and results of resource assessments for all resource concerns <sup>4</sup> . Document on the Resource Concern Checklist or in the body of the plan.	●		<input type="checkbox"/>	<input type="checkbox"/>	

## Prescriptions

	106	165	Yes	No	N/A
<b>8. Planned Forestry Conservation Practices<sup>5</sup> – At least one forestry practice must be included in each plan (CPA, DIA, or CPA+DIA).</b>					
a. Desired Future Conditions (DFC) narrative.	●		<input type="checkbox"/>	<input type="checkbox"/>	

	106	165	Yes	No	N/A
b. Practice Schedule table, including tract number, field/stand number, Conservation Practice name and code, estimated extent in appropriate units, installation month and year <sup>6</sup>	●		<input type="checkbox"/>	<input type="checkbox"/>	
c. Brief descriptions of the planned conservation practices to explain their use in the context of the plan.	●		<input type="checkbox"/>	<input type="checkbox"/>	
d. Contrast planned alternatives with a no-action alternative	●		<input type="checkbox"/>	<input type="checkbox"/>	
e. Considerations to avoid or mitigate any adverse effects on unique resources and other soil, water, air, plants, animals (including livestock, fish, and wildlife), energy, or human concerns, as well as on special environmental considerations.	●		<input type="checkbox"/>	<input type="checkbox"/>	
f. An evaluation of the alternatives' effects on the participant's land use, capital, labor, management, risk, profitability, and public health and safety.	●		<input type="checkbox"/>	<input type="checkbox"/>	NA
g. NRCS practice name and code, and amount to be applied (in appropriate units)		▲	<input type="checkbox"/>	<input type="checkbox"/>	
h. Practice Specifications: Site-specific practice installation details that meet the criteria in the "Plans and Specifications" section of the applicable Conservation Practice Standard(s). Use Implementation Requirements or include prescriptions and specifications in the body of the plan.		▲	<input type="checkbox"/>	<input type="checkbox"/>	
i. Operation and Maintenance agreements and procedures		▲	<input type="checkbox"/>	<input type="checkbox"/>	

- Participant's acceptance statement:  
"I accept the completed CPA/DIA deliverables as thorough and satisfying my objectives.  
Participant Signature \_\_\_\_\_ Date \_\_\_\_\_"
- TSPs must include a statement that services meet the CPA or DIA requirements, such as:  
"I certify the work completed and delivered for this CPA/DIA:
  - Complies with all applicable Federal, State, Tribal, and local laws and regulations.
  - Meets the General and Technical Requirements for this CPA/DIA.
  - The planned practices are based on NRCS Conservation Practice Standards (CPSs) in the state Field Office Technical Guide where the practices are to be implemented.
  - Is consistent with and meets the conservation goals and objectives for which the program contract was entered into by the participant.
  - Incorporates alternatives that are both cost effective and appropriate to address the resource issue(s) and participant's objective(s).
TSP Signature \_\_\_\_\_ Date \_\_\_\_\_"
- The Resource Concern Checklist (excerpt of Form CPA-52, Revised Environmental Evaluation) can be found online at [https://www.nrcs.usda.gov/wps/portal/nrcs/mi/technical/landuse/forestry/nrcs141p2\\_024578/](https://www.nrcs.usda.gov/wps/portal/nrcs/mi/technical/landuse/forestry/nrcs141p2_024578/) ("Resources for Technical Service Providers" section).
- Resource Concern information, including appropriate assessment tools for each resource concern, can be found in the National Resource Concern List and Planning Criteria in the [Indiana | FOTG Section 3 Resource Concern List | NRCS - USDA](#) (FOTG), Section III.

Include conservation practices that address a resource need as indicated on the Resource Concern checklist or other documentation.

For conservation practices to be eligible for EQIP program funding they must comply with NRCS-IN Conservation Practice Standards (see Section IV of the [Indiana | FOTG Section 4 Practice Standards | NRCS - USDA](#)), address a resource concern, and meet NRCS Planning Criteria.

Note: not all conservation practices are eligible for funding through NRCS Programs (EQIP, CSP, etc.). For a complete list of eligible conservation practices, visit the specific program pages at [Indiana | Natural Resources Conservation Service \(usda.gov\), Programs and Initiatives](https://www.usda.gov/nrcs/indiana-natural-resources-conservation-service). However, TSPs are encouraged to include any and all appropriate conservation practices and activities in the plan to provide technical guidance to participants.

6. The Practice Schedule is used in conjunction with a conservation plan map to document the participant’s decision and vision for conservation implementation. See the following example:

Tract #	PLU (Field) #	Practice Code	Practice Name	Planned Amount	Practice Units	Planned Date
1000	1	666	Forest Stand Improvement	24	Ac.	April 2023
1000	1	384	Woody Residue Treatment	24	Ac.	April 2023
1000	1	490	Tree/Shrub Site Preparation	24	Ac.	August 2023
1000	1	612	Tree/Shrub Establishment	24	Ac.	October 2023

**Appendix A – Additional (non-plan) Deliverables**

The following table provides a list of additional deliverables required for a CPA 106 and a DIA 165, beyond those addressed by the plan document itself. Provide documentation of the following as applicable. Include a copy of notes and correspondence for items 4 and 5.

	106	165	Yes	No	N/A
<b>1. Pre-work meeting</b>					
a. Arrange a pre-work meeting (in-person or remote) between participant, TSP and NRCS field office to establish collaboration and address any questions.	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2. Alternative Evaluation and Decisions</b>					
a. Collect and evaluate data on special environmental concerns, such as wetlands, endangered species, or cultural/historic sites on and near the planning area, and provide to NRCS field office.	●		<input type="checkbox"/>	<input type="checkbox"/>	
b. Present and explain technically feasible conservation alternatives to the participant and obtain the participant’s decision about what conservation practices to use, the practice location(s), and schedule.	●		<input type="checkbox"/>	<input type="checkbox"/>	
c. Provide results of design tools, resource assessments, or other analyses that are required to meet the Criteria in the state’s CPSs.		▲	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3. Conservation Assistance Notes (use NRCS-CPA-6 or equivalent)</b>					
a. Document of each interaction with the participant, include notes and results of the interaction, date, and TSP initials. See Appendix A for additional activities to conduct and document.	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
b. Document each site visit, parties present, activity completed, results of site visit, date, and TSP initials	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
c. Document any additional assessments, maps, photographs, and sketches used to support the selected alternatives	●		<input type="checkbox"/>	<input type="checkbox"/>	
<b>4. Correspondence</b>					
a. Retain and provide any correspondence between the TSP and the participant relating to the development of the CPA or DIA	●	▲	<input type="checkbox"/>	<input type="checkbox"/>	
<b>5. Plan Format and Delivery</b>					

b. Provide two copies (hardcopy or electronic) of plan to participant, one for participant and one for NRCS field office. TSP may transmit directly to NRCS, with participant authorization.	●	▲	□	□	
a. Upload electronic copies of all the items listed under the Deliverables heading on NRCS Registry.					