

PART 407 – DOCUMENTATION, CERTIFICATION AND SPOT-CHECKING

SUBPART C – SPOT-CHECKING

ID407.20 Procedure.

(a) Purpose. Spot-checks will be conducted to:

- (1) Ensure compliance with FOTG standards and specifications
- (2) Assure that the certified practice amounts were correct
- (3) Maintain the technical quality of conservation practices
- (4) Identify training needs
- (5) Ensure that practices meet the needs of the customer

(b) Frequency. Spot-checking will be completed annually on a fiscal year basis. Spot-checks should be completed throughout the year and can be completed any time after practice certification.

(c) Amount of Spot Checking. Complete spot checks on 5% of the practices in each of the categories for management, vegetative and structural practices. Generally no more than five (5) spot checks of individual jobs/practices will need to be checked per field office.

The Assistant State Conservationist-Operations [ASTC (O)] reserves the option to complete additional spot-checks as may be needed when deficiencies are identified.

Each type of conservation practice applied in the field office should be spot-checked once every three (3) years. Spot checks of each individual employee will be completed at least once every three (3) years. New employees and employees who are new to their present position need to be spot checked annually for three (3) years following their appointment.

(d) Selecting Practices to be Spot-Checked.

(1) Each Area will set their spot check schedules and will assign personnel to spot check duties. Spot checks on engineering practices shall be completed by personnel with equal or higher design engineering job approval authority than that required to initially approve the practice being checked.

(2) The District Conservationist (DC) will provide a list of certified practices to the spot checker. Computer generated reports, or NRCS-LTP-4 (Exhibit 1) may be used. The spot checker will select random samples of the certified practices to ensure adequate checks are completed to meet the requirements.

(e) Personnel – Responsibilities.

(1) Designated Spot-Checker – works with the DC to schedule checks at an appropriate time; completes spot checks, including needed reports and forms, and submits them to the DC; and recommends appropriate corrective action and training needs.

(2) District Conservationist (DC) – responsible for ensuring all required spot-checks are completed. Sends completed ID-TCH-001b to respective ASTC (O) by December 15 each year.

(3) The DC and/or the person completing the work to be spot checked should accompany the spot checker whenever possible.

(4) ASTC (O) – receives the spot check reports from the field offices and consolidates reports for the State Conservationist.

(5) Assistant State Conservationist for Technical Services [ASTC (TS)] – as directed by the State Conservationist, makes review of the spot check reports to determine adequacy of checks, technical quality, indications of training needs or problems, and notifies the State Conservationist of adequacy of checks and recommends corrective actions.

(f) Reporting.

(1) Differences between the measured certified amount(s) and those calculated during the spot check will be considered significant when they exceed the following percentages:

(i)	Linear measurement	2 percent
(ii)	Area measurement	4 percent
(iii)	Volume measurement – concrete	5 percent
(iv)	Volume of earth, rock, etc.	6 percent

(2) Upon completion of spot-checks, the checker will leave the original copy of ID-TCH-002 and/or ID-TCH-003 with the DC.

(3) When all spot-checks in a field office are completed, the DC will forward a copy of the ID-TCH-001b and individual spot check form, ID-TCH-002 and ID-TCH-003 as appropriate to the ASTC(O) by December 15<sup>th</sup>.

(h) Follow-up.

(1) Recommended corrective action for deficiencies will be recorded in the appropriate space on forms ID-TCH-002 or 003.

(2) When deficiencies are found, the DC will take the necessary action to correct and prevent future recurrence. Such action will include appropriate training and checking of future work. The action taken will be recorded on Part V of form ID-TCH-002 or Part IV of ID-TCH-003.

(3) When deficiencies are found in design procedures or judgment, the DC will take the following action:

(a) Determine if the error(s) will seriously affect the intended operation of the practice.

(b) If the error(s) will not permit the practice to function as expected, meet with the participant and review changes needed in operating procedures and/or what must be done to make the practice meet specifications.

(4) When a cost-shared or required non-cost-shared practice fails to meet specifications and corrective action is not completed in a reasonable period of time, the DC will notify the ASTC (O) of the facts in writing.





Form ID-TCH-001b will be used to summarize completed spot-checks. When deficiencies are noted during the spot-check, the letters D, N, T, PG, and S will be used on Form ID-TCH-001b to denote the type of deficiency:

D – This includes items such as incomplete designs or plans, error in design or plan, incomplete field investigation, incomplete construction drawings, and/or specifications, incomplete or incorrect documentation of certified practice.

N – This includes items such as incomplete and improper survey notes, format or computations, use of forms or job sheets, job class, approval authority, notes for “as built” changes, and cooperator signature where needed.

S – This includes items such as improper practice certification (certified practice fails to meet minimum plans and specifications), error in measurements or computations for certified quantities.

T – This includes items such as whether the practice certified was the best choice conservation practice to be applied.

PG – This includes items that due to Federal or State guidance were unimplementable according to policy.

**SUBPART E – EXHIBITS**

This exhibit, the Engineering Spot Check form will be posted as a separate file.

**SUBPART E – EXHIBITS**

This exhibit, the Management/Vegetative practice Spot Check form will be posted as a separate file.