

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) Maintain the technical quality of conservation practices,
- (3) Identify training needs and,
- (4) 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 at the time of 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 Area Conservationist 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.

At least one spot check shall be completed on every Technical Service Provider (TSP) who completes a practice certification within the Field Office.

(d) Selecting practices to be spot-checked.

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

(2) The district conservationist will provide a list of certified practices to the spot-checker. The spot-checker will select random samples of the certified practices to ensure adequate checks are completed to meet the requirements.

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(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 Area Conservationists by December 15 each year.

The DC and/or the person completing the work to be spot-checked should accompany the spot-checker whenever possible. DCs with SAWQP projects will notify the Division of Environmental Quality (DEQ) Field Office and the Soil Conservation Commission (SCC) Program Assistant of dates the projects are to be checked and afford them the opportunity to participate. Their participation is not required.

(3) Area Conservationist – receives the spot-check reports from the field offices and consolidates reports for the State Conservationist.

(4) 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, etc., notifies the State Conservationist of adequacy of checks and recommends corrective actions.

(g) Reporting.

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

(2) 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 ID-TCH-002 reported and ID-TCH003 as appropriate to the Area Conservationist by December 15th.

(h) Followup.

(1) 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 the appropriate form.

(2) Recommended corrective action will be recorded in the appropriate space on Forms ID-TCH-002 or 0003.

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

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

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(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 Farm Service Agency (FSA) County committee of the facts in writing with a copy to the ASTC (O). When SAWQP funds are involved, the DC will notify the District.

SUBPART D – EXHIBITS

U.S. DEPARTMENT OF AGRICULTURE
NATURAL RESOURCES CONSERVATION SERVICE

Summary of Spot-checks
Send to Area Conservationist by December 15

Field Office _____

Practice	Participant	Pro-gram	Designed Of		Results of Check		Date Corrective Action Taken**
			Planned By	Finaled By	Checked By	* Results	

- * OK – Okay
 - S – Error in certification
 - N – Error in documentation
 - D – Error in design
 - T – Training need
 - PG – Policy, Guidance error
- ** Date shown on ID-TCH-002 under follow-up action.

I certify that all spot-checks required for fiscal year _____ have been made.

Signature: _____

District Conservationist Date

Forward copy to Area Conservationist.

Concurrence: _____

Area Conservationist Date

Return copy to District Conservationist.

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 D – EXHIBITS

U.S. DEPARTMENT OF AGRICULTURE
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ID-TCH-002

**SPOT-CHECK REPORT
ENGINEERING/STRUCTURAL PRACTICES**

PART I

Division _____ Date _____ Field Office _____

Program Year _____ County _____

1. Name of Producer _____ FOTG Practice _____

2. Program _____

3. Planning Data:

a. Planned by _____ Date _____

b. Does practice fit RMS: Yes ___ No ___

Benefits (effects) have been determined: Yes ___ No ___

Does practice meet owners' objectives: Yes ___ No ___

4. Design Data:

a. Name of Designer: _____ Approved by: _____

b. Engineering Job Class _____

Is NRCS delegated engineering approval authority adequate:

Yes ___ * No ___ N/A ___

c. Type of specifications provided to farmer: _____

d. Does design meet NRCS standards: Yes ___ * No ___

e. Are field investigations and computations adequate for design: Yes ___ * No ___
(Reference supporting data documentation sheet)

f. Are drawings and specifications provided to farmer adequate: Yes ___ * No ___
(Including farmer's signature on drawings)

5. As-built Data:

Who determined that practice met standards and specs: _____

a. Who did field work: _____ Date _____

b. Practice was installed in accordance with plans, drawings, and specifications: Yes ___ No ___

c. Does practice meet NRCS standards and specifications and are changes properly documented: Yes ___ * No ___ N/A ___

* Action is required on any item(s) having asterisks. Reference General Manual, Part 402, Subpart C.

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- d. Were quantities certified correct: Yes ___ * No ___
- e. Are practice items properly reported: Yes ___ * No ___
- f. Does the design data include an O&M statement: Yes ___ No ___
- g. Spot-checker's comments to district conservationist:
Follow-up actions are needed: Yes ___ No ___
Describe possible actions needed: _____

6. Remarks:

Signature: _____ Date _____
Spot-checker

Part II. Follow-up Actions on Deficiencies.

This part is to be completed and signed by the district conservationist after actions are taken to correct the deficiencies set forth in Part I. Describe in detail the actions taken to correct deficiencies.

Signature: _____ Date: _____
District Conservationist

SUBPART D – EXHIBITS

U.S. DEPARTMENT OF AGRICULTURE
NATURAL RESOURCES CONSERVATION SERVICE

ID-TCH-003

**SPOT-CHECK REPORT
MANAGEMENT/VETATATIVE PRACTICES**

PART I

Division _____ Date _____ Field Office _____

Program Year _____ County _____

1. Name of Producer _____ FOTG Practice _____

2. Program _____

3. Planning and Design Data:

a. Planned by _____ Date _____

b. Practice meets Conservation objective: Yes ___ * No ___

c. Were specifications provided to producer: Yes ___ * No ___

d. Are Forms, Job Sheets, and Specifications provided to producer complete: (Including producer's signature) Yes ___ * No ___

e. Does design meet minimum NRCS standards and specifications: Yes ___ * No ___

f. Are resource investigations and computations adequate for design: Yes ___ * No ___

4. Spot-check evaluation:

a. Date practice certified as completed: _____

b. Conservationist certifying practice: _____

c. Was project installed in accordance with plan design: Yes ___ * No ___

d. Was amount certified on referral correct: Yes ___ * No ___

e. Does the As Built Project solve the conservation problem: Yes ___ * No ___

f. Spot-checker's report to district conservationist:

Follow-up actions are needed: Yes ___ No ___

Describe actions needed: _____

* Action is required on any item(s) having asterisks. Reference General Manual, Part 402, Subpart C.

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ID-TCH-003

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5. Remarks:

Signature: _____ Date _____
Spot-checker

PART II Follow-up Actions on Deficiencies.

This part is to be completed and signed by the district conservationist after actions are taken to correct the deficiencies set forth in Part I. Describe in detail the actions taken to correct deficiencies.

Signature: _____ Date _____
District Conservationist