Part 407 – Documentation, Certification, and Spot Checking

Subpart A – Policy

407.0 General

The Natural Resources Conservation Service (NRCS) has responsibility for installing conservation practices under a number of programs. These practices protect natural resources and affect public safety, health, and well-being. It is essential that the practices as installed and maintained perform their intended function. This subpart sets forth NRCS policy and responsibility for

(1) Recording supporting data for practices applied with NRCS technical assistance.
(2) Certifying conservation practices installed under cost-share programs.
(3) Spot checking compliance with standards and specifications of all completed conservation practices.

NOTE: The State Conservationist has supplemented the national policy (see bold text) to provide specific guidance for documentation, certification, and spot checking in Tennessee.

TN407.1 Policy

Responsibility for practice compliance with applicable standards and specifications rests with the line officer. To assist line officers carrying out this responsibility, it is NRCS policy to

(1) Obtain, record, and file information on quantity of practice units installed.
(2) Verify that all practices completed with NRCS technical assistance meet approved standards and specifications and are a part of a conservation plan consistent with Part 407, Subpart B, Documentation and Certification, Section 407.10.
(3) Document spot checks of completed conservation practices.
(4) Check a sufficient number of certified practices in accordance with Part 407, Subpart C, Spot Checking, Section 407.20.
(5) Record evidence that all necessary corrective action has been completed.

(6) Ensure that all NRCS employees and partner employees obtain and maintain Certified Conservation Planner status in order to approve and certify individual conservation practices.
(7) Ensure that engineering job approval authority (EJAA) is earned and assigned using Form Tennessee Engineering Job Approval Authority, TN-ENG-1. EJAA must be obtained and maintained to approve and certify individual engineering conservation practices. Each NRCS employee with responsibilities for planning, design, or construction certification of any of the engineering conservation practices contained in Section IV of the Tennessee Field Office Technical Guide (FOTG) must have EJAA. In some cases, as with partner employees where NRCS has direct technical supervision, only planning and construction approval authority is assigned. The employee's EJAA chart must be developed to reflect current capabilities based upon experience, training, and demonstrated competence.

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Subpart A – Policy

TN407.2 Responsibilities

A. Each State Conservationist (STC) and Director, Pacific Islands and Caribbean Areas, will maintain up-to-date State policy and procedures indicating:

(1) Planning, installation, and certification information (on appropriate forms) to be obtained, recorded, and filed for all practices.

(i) The supporting data and information to be obtained, recorded, and filed during practice implementation is listed in detail in the Statement of Work (SOW) for the practice. An abbreviated guidance document for practices more commonly used in Tennessee, "Abbreviated Conservation Practice Documentation Requirements, TN-MGT-10" [Exhibit 1], is located in Section IV of the Tennessee Field Office Technical Guide along with other practice supporting materials.

(ii) Check-out documents, supporting data, and all planning, installation, and certification information for conservation practices will be recorded and filed in the conservation planning case file in addition to the requirements of the appropriate conservation program.

(iii) NRCS-TN employees certifying practices in Protracts for payment will record in the Comments section the name of the employee, technical service provider (TSP), or qualified non-TSP who actually performed the check-out of the completed practice.

(iv) Information about practices planned and installed under Conservation Technical Assistance (CTA) funds will be recorded and filed in accordance with Title 180, National Planning Procedures Handbook (NPPH), Part 600, Subpart D, Plan Format and Content, and the conservation plan requirements of Title 440, Programs Manual. Practice planning, installation, and certification records will be retained and disposed according to national policy (see Title 120, General Manual (GM), Part 408, Records).

(2) The requirements and procedures for spot checking installed practices.

The national spot checking procedure identified in 450-GM, Part 407, Subpart C will be followed along with the requirements listed in Subpart C, Section TN407.20, Procedure of this supplement.

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Subpart A – Policy

(3) Non-cost-shared items to be spot checked. (Resource management systems, land adequately treated, etc., may also be included.). Adequate checks of conservation practices are to be made to insure quality work.

(i) As stated in 450-GM, Part 407, Subpart C, Section 407.20(B), all conservation practices including non-cost shared practices are subject to spot checking.

(ii) Other non-cost shared items such as planning activities and resource management systems listed in Section III of Tennessee's FOTG will be subject to compliance with applicable planning standards as described in 180-GM, Part 409, Conservation Planning Policy and related Tennessee supplements to 180-GM, Part 409.

(4) Develop and issue policy on accepting work of those outside NRCS.

(i) Individuals outside of NRCS include conservationist district employees, technical service providers (TSPs), and non-TSP partners with appropriate approvals defined by NRCS.

- **Conservation district employees and non-TSPs partners must meet qualification requirements as described by (1) 180-GM, Part 409, Conservation Planning Policy; (2) Tennessee supplements to the National Engineering Manual (NEM) for engineering job approval authority and 180-GM, Part 409; and, (3) all applicable State laws and regulations. (Engineering job approval authority and certification programs exist for engineering practices, nutrient management assistance, pest management assistance, prescribed burning assistance, and other practices.)**
- **Technical service providers must be registered in TechReg under the appropriate technical service category related to the work performed and for which they qualify.**
- **Non-TSP partners who provide expertise and services to customers on NRCS's behalf must have in place a signed Memorandum of Understanding (MOU) agreement between NRCS and the employing entity.**

(ii) Work from those outside of NRCS may be accepted if it meets standards and specifications and is recorded in NRCS reporting systems.

(iii) Check out documents may be signed by those outside of NRCS with appropriate approvals for practices that need to be certified for payment for any program and for reporting practices applied under Conservation Technical Assistance funds.

Part 407 – Documentation, Certification, and Spot Checking

Subpart A – Policy

(5) Issue policy or procedure statements outlining the responsibilities of line officers.

(i) The State Conservationist (STC) is responsible for the overall quality of documentation, certification, and spot checking of all practices. On the STC's staff, the State Resource Conservationist (SRC) is responsible for overseeing the spot check activities performed by ecological sciences discipline specialists and the State Conservation Engineer (SCE) is responsible for overseeing the spot check activities performed by engineering discipline specialists. The TSP coordinator, who assists with TSP management operations, may assist with spot check activities related to practices performed by TSPs.

(ii) Area Conservationists (ACs) and supervisory District Conservationists (DCs) will ensure that work related to planning, installation, and certification of completed practices and performed by anyone in their area or field team, including employees, TSPs, and non TSPs, is in compliance with applicable standards and specifications.

(6) Establish the format for recording information on each practice and the method of filing.

As referenced in TN407.2(A)(1) of this supplement.

(7) Include checks of supporting data and the spot-checking procedure in program and functional appraisals.

Program and functional appraisals will be scheduled in the State Quality Assurance Plan and will include spot checks of supporting data according to the procedures outlined in 450-GM, Part 407 and this supplement.

Part 407 – Documentation, Certification, and Spot Checking

Subpart B – Documentation and Certification

TN407.10 Supporting Data

A. A conservation practice is a part of a conservation plan that is functional and accomplishes the conservation objective. Supporting data are to include a record of planning, design, installation, checking, and maintenance necessary to insure an effective practice.

B. Supporting data include those features of a practice that can be measured, surveyed, tested, or observed. The completed work is to be checked against the plans and specifications or other requirements to insure a satisfactory job. Check notes or observations become a part of the supporting data along with previous planning, layout, or documenting records.

C. Each State Conservationist is to develop documentation requirements for conservation practices as needed. Location identification is required for all practices; this can be a sketch on the job plans, field notes, aerial photographs, or special forms, or a reference to the conservation plan map. Design data are required for most engineering practices. The data should be sufficient to show that the installation meets standards and specifications.

(1) All technical supporting data will be maintained in the client's field office case file or contract file (or a separate file with location referenced in the case file) and in the appropriate Customer Service Toolkit folder.

(2) Documentation of conservation planning application data "will be maintained in combination of hard copy and electronically, as appropriate" (180-GM, Part 409, Section 409.5). Documentation of all practices receiving cost share assistance must be maintained as hard copies in the contract folder.

(3) Practices for which Natural Resources Conservation Service (NRCS) or Technical Service Providers (TSPs) provide technical assistance will be shown on the client's planning map and design drawings. The practice location will be identified by standard map symbols for structural practices and by delineating the area for vegetative or management practices. The practice will be included as part of the record of the landowners' decision in their conservation plan and on the conservation plan map. All planned engineering and agronomic practices will be located on the conservation plan map using ArcGIS and GPS. Planned practices will be shown with appropriate symbols or handwritten ink. Engineering field notes will include a sketch to properly locate the practice. The location is to include the field, tract, and farm number with orientation to north.

(4) Minimum supporting data for conservation practice standard design, installation, and check out is defined in the Statements of Work (SOWs). Guidance for documenting design, installation, and check out of practices commonly implemented in Tennessee is contained in Abbreviated Conservation Practice Documentation Requirements, TN-MGT-10 [Exhibit 1]. Installation specifications will be based upon the appropriate and current conservation practice standard in Tennessee's FOTG, Section IV.

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(5) Specific practice implementation requirements (IRs) or job sheets will be included in the planning document as a guide for installing the practice. The intended target audiences of TN-MGT-10 are NRCS employees holding appropriate approval authorities to develop conservation plans and systems and partner employees who work under direct technical supervision of NRCS employees where an MOU exists with the partner employee's employer.

(6) A "Landowner's Guide to Constructing Conservation Practices" [Exhibit 2] will be utilized to convey landowner's, NRCS's, TSP's, and contractor's responsibilities. This document will be provided to all landowners installing conservation practices.

(7) Construction checks will be recorded on job plans or field notes and represent the as-built plans for the practice as indicated in TN-MGT-10 [Exhibit 1].

(8) Installed and applied amounts will be documented in Toolkit or ProTracts and on Form NRCS-CPA-1245, Practice Approval and Payment Application, in the client's case file. Inclusion of pen-and-ink notation on the conservation plan is advised. When cost share assistance is provided, amounts will be recorded in ProTracts along with pen-and-ink on Form NRCS-CPA-1155, Conservation Plan, or Form NRCS-CPA-1156, Conservation Plan Revision. Practice units recorded will be consistent with the practice standard referenced in the National Handbook of Conservation Practices (NHCP).

D. Additional data are normally needed for the practices listed in the table of National Conservation Practices in the National Handbook of Conservation Practices. Similar data would be needed for approved interim conservation practices.

E. Practice documentation requirements required for Technical Service Providers (TSPs) shall be clearly stated in the conservation practice Statement of Work (SOW).

F. Additional data may be required for specific practices as identified by the STCs and Directors, Pacific Islands and Caribbean Areas.

TN407.11 Checking Completed Work

A. Check completed work for compliance with plans and specifications. The checker is to record, date, and sign the notes, and include a statement that the practice does or does not meet the requirements. The checker shall list deficiencies for practices that do not meet the requirements.

The checker will ensure that the person certifying practices (size, extent, complexity, etc.) has appropriate job approval authority. Proper authority includes engineering job approval authority (see Title 210, National Engineering Manual (NEM), Part 501, Subpart A, Sections TN501.1-TN501.9) and credentials as a certified conservation planner (see 180-GM, Part 409, Section 409.9 and related TN supplements to 180-GM, Part 409).

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Subpart B – Documentation and Certification

B. Sampling can be used to record supporting data for jobs with a number of similar components such as a system of irrigation field ditches, small laterals, and small structures for water control such as checks, turnouts, and pipe drops. The sample should be taken from segments or parts that appear least likely to meet specifications. The checker is to be satisfied that the entire job meets specifications and is to record supporting data for the selected sample. The location of the sample is to be identified.

The location of the surveying sample will be identified in the engineering field notes and preferably in red on the conservation plan map. GPS location of other segments or parts will also be located in red on the conservation plan map to indicate total installed length or quantity.

C. The supporting data for some practices include computations for quantity. Such computations are required only if cost sharing is based on quantities such as cubic yards, acres, etc. Computations made when the structure or practice was designed suffice if applicable to the completed work.

The acceptable level of tolerance used to determine final quantities for payment must be within 2 percent of the approved design or approved modification of the design.

D. Qualified contractors and other qualified individuals (non-TSPs) should be encouraged to design, lay out, and check conservation practices (see National Engineering Manual, 210-501.00 to 501.09). Class I, II, and III jobs may be accepted provided all other conditions of this section are met. Class IV jobs and above are to be reviewed and accepted by those having appropriate engineering job approval authority before installation is started. Design and installation must conform to approved technical standards and specifications. The contractor and other qualified individuals can furnish signed statements and notes that provide appropriate information and measurements to show that standards and specifications have been met. Backup data need not be in the format used by NRCS but must be complete, legible, and understandable. The NRCS employee responsible for certifying the practice must be satisfied that the work of these individuals will meet specifications before accepting their statements and measurements as supporting data.

The NRCS employee must include verbiage in the assistance notes and on the notes provided by the non-TSP as indicated in TN-MGT-10 [Exhibit 1] that the practice meets NRCS standards and specifications.

E. Landowners are encouraged to utilize TSPs to provide design, practice layout, and construction checkout of conservation practices. TSPs shall submit deliverables as required by the conservation practice Statement of Work as documentation of completed work. The responsible NRCS person shall ensure all the required deliverables are provided before accepting the work.

Part 407 – Documentation, Certification, and Spot Checking

Subpart B – Documentation and Certification

TN407.12 Certifying Performance for Cost Sharing

A. Certify performance on all identifiable units of the practice that are completed according to the plans and specifications. The measurements, computations, or other data to support certification can be recorded on job plans, field notes, or special forms.

All certified practices should be located and identified using ArcGIS and a Global Positioning Systems (GPS) unit. When the practice does not include the entire treatment unit (field) or when field boundaries are not properly or easily identified on aerial photography, a GPS unit should be used to determine actual units installed. If installed units have been measured by another means, the minimum number of points should be recorded to properly locate the practice. All points should be downloaded, labeled, and saved, and the unit area or distance calculated via GPS or planimetering application. This information will be filed in the appropriate Customer Service Toolkit folder.

B. In certifying performance of practices that are cost shared according to a proportion of total cost, report compliance or non-compliance with approved technical specifications and the amount of the practice performed in applicable cost-sharing units. It is the recipient's responsibility to present to the agency providing cost sharing documentary evidence of the amount of machine time, labor, and materials used to determine cost sharing.

C. If performance has been properly completed, except for items the recipient can check, state this on the certification. This procedure should be followed only when there is good reason to expect that the recipient will follow through promptly. Discuss these items so that the recipient understands what is expected to be done.

Part 407 – Documentation, Certification, and Spot Checking

Subpart C – Spot Checking

TN407.20 Procedure

A. Offices to be Spot Checked

All offices that certify conservation practices shall be spot checked based on the State Quality Assurance Plan (GM-340, Part 404, Subpart C, Quality Assurance, Section 404.22 (B)). Each office should be checked at least every third year.

B. Practices to be Spot Checked

All certified practices are subject to spot checking. Spot checking procedures for non-cost-shared practices are exactly the same as for cost-shared practices.

(1) Certified practices for all programs are subject to spot checking including those for which cost share is provided by the Tennessee Department of Agriculture (TDA).
(2) Practices subject to spot checking will be those installed within the current fiscal year as reported in Performance Results System (PRS), ProTracts, or IDEA (Integrated Data for Enterprise Analysis). The data in IDEA cannot be shared with a non-employee unless a signed Memorandum of Understanding (MOU) is in place specifying the outside party is providing technical or financial assistance on behalf of the USDA and assumes the responsibility for safeguarding the information.

C. Frequency

(1) Spot checking shall be performed on a fiscal year (FY) basis.
(2) Practices should be spot checked as soon after completion as practical. Spot checking should be performed throughout the year to correct errors or omissions in promptly complying with specifications and prevent a heavy spot-checking work load at the end of the year. However, if many practices are completed later in the FY, spot checking may be extended into the first quarter of the next FY. Some vegetative and management practices can be spot checked only during certain seasons.
(3) Spot checking of agronomic, wildlife, engineering, and management practices will be done in every office at least every third year on a fiscal year basis.
(4) Spot checking should occur throughout the year so that time specific practices such as the residue management practices (329 and 345) are spot checked at the appropriate time.
(5) A representative sampling of applied practices in each office will be spot checked each year. Three to five practice applications should be sufficient even though a literal application of the five (5) percent rule would identify more.
(6) Over a three-year period, all installed or applied practices will be spot checked in each field office. In addition, all field office employees (NRCS and partners) shall have technical practices spot checked during this three-year period.

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Subpart C – Spot Checking

(7) The Area Conservationist (AC) may require additional spot checking as a result of suggestions from area staff, state office staff, field office personnel, etc.

(8) Additional spot checks are to be conducted:

(i) If significant errors were noted from the previous year's spot checks.

(ii) For recurring problems until they are rectified.

(iii) For jobs completed by new employees until they become experienced with the practice(s).

(iv) For jobs completed by new TSPs or other non-NRCS sources.

D. Amount of Spot Checking

(1) Spot checks of completed conservation practices or practice components shall be completed by NRCS employees.

NRCS employees that spot check engineering practices must hold appropriate engineering job approval authorities.

(2) Spot check five (5) percent of the total practices installed or reported in the State. In States where a practice exceeds 400 occurrences, only 20 installations of that practice need to be checked. The State Quality Assurance Plan (GM-340, Part 404, Subpart C, Quality Assurance, Section 404.22 (B)) should identify offices, field offices, counties and practices to be spot checked during the year. It should not be necessary to check more than three to five low risk practice installations in an office, field office or county (see GM-450, Part 407, Section 407.20 (G), Selecting Installations to be Spot Checked).

(3) Spot checks should be distributed among various practices applied during the year, and each practice should be spot checked at least every three (3) years. If errors or deficiencies are found, check additional installations until a true picture of the quantity and quality of the work is obtained. All conservation practices for which NRCS is technically responsible on any land that NRCS employees own or have an interest in are to be checked. These checks, as well as those checks made during State Quality Reviews, are counted as part of the spot-check requirement.

E. Spot Checks of Qualified Contractors and other Qualified Individuals (non-TSPs).

Spot check five (5) percent of contractor certifications. Complete construction checks and checks of the documentation furnished by the contractor, including approved drawings and specifications, should be made on one or more jobs installed by each contractor during the year. The check notes shall be recorded and filed.

NRCS employees will spot check five (5) percent of contractor certified work.

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F. Spot Checks of Completed Conservation Practices or Practice Components Completed by TSPs.

(1) For the first three (3) years after certification (excluding renewals) or recertification of the TSP, a spot check will be performed for at least 10 percent of the conservation practice and practice components. For a TSP where the number of installations of a conservation practice or practice component exceeds 50 in a given year, only 5 are required to have a spot check.

(2) After the first three (3) years of certification or recertification of the TSP, a spot check will be performed on at least 5 percent of the conservation practice or practice components. For a TSP where the number of installations of a particular type of conservation practice or practice components exceeds 100 in a given year, only five (5) are required to have a spot check.

(3) STCs and Directors, Pacific Islands and Caribbean Areas, will ensure that the sample of an individual TSP's work is a representative cross section by geographic area, size of projects, and complexity of projects.

(4) The person performing the spot check may expand the sample as necessary to determine the scope of any problems or deficiencies. The expanded sample may be extended to include installations completed in previous years.

(5) If in the course of conducting a spot check where waste, fraud, or abuse is suspected, the spot check for that practice will be suspended immediately and the incident reported (see GM-360, Part 413, Subpart C, Investigations).

G. Selecting the Installation to be Spot Checked

(1) Determine the kind and number of practices installed in the fiscal year from field office records.

(2) In choosing which practices to spot check, STCs and Directors, Pacific Islands and Caribbean Areas, should prioritize the spot checking of conservation practices that pose a greater risk to: life, property, and the environment; practices where a high percentage of annual cost-share funds were used; and practices with a high installation cost compared to other practices. STCs and Directors, Pacific Islands and Caribbean Areas, shall develop a procedure to set priorities for conservation practices to be spot checked. High-risk practices may be spot checked at a higher rate than low-risk practices.

High-risk practices are those engineering practices that have higher cost (normally >$20,000) and pose a higher level of damage to life and property should they fail such as embankment type structures which store water or waste. Class III or higher engineering practices listed on Form Engineering Job Approval Authority, TN-ENG-1 are considered high risk or require more detailed design considerations. NRCS state office engineering personnel with appropriate EJAA are required to spot check these practices since they are normally approved by engineers in the area office. Twenty-five (25) percent of Class III and above practices will be checked by NRCS state office engineering personnel with appropriate EJAA.

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Subpart C – Spot Checking

(3) The person performing the spot checking should select random samples of the technical work of as many members of the staff as practicable. The work of each staff member should be spot checked a minimum of once every three 3 years.

H. Personnel

(1) Spot checking is not to be done by anyone who determined conservation need, planned and provided technical assistance during construction, made the construction check, or certified the practice.

(2) Normally, an engineer, conservationist, or technician of appropriate job approval level should spot check the more complex engineering structures, but not those for which he or she made the construction check. Agronomists, biologists, rangeland management specialists, foresters, or other appropriate disciplines should spot check appropriate practices during field office visits. No employee can spot check work on land in which he or she has a vested interest.

(i) Spot check assignments will be made by the area conservationist (AC). The district conservationist (DC) of the office being checked will ensure that appropriate personnel are available during the spot check.

(ii) District conservationists will inform their area conservationist when NRCS employees own or have interest in a farm that had conservation practices installed.

(iii) Area conservationists will select staff to spot check practice application on farms that NRCS employees own or in which they have an interest.

I. Method of Checking

(1) Checking will determine the accuracy and adequacy of the design, quality of installation, accuracy of measurements and computations, adequacy of supporting records, and the need and practicability of the practice, including its role in a resource management system. The checker should make enough notations to substantiate checking of the installation and the supporting data. The checker is to record the observations and measurements made in determining accuracy of the original document.

The spot checker shall complete Form Engineering and Non-Engineering Spot Check and Quality Assurance Review (QAR), TN-MGT-9 [Exhibit 3] for each practice checked. All additional notes and practice documentation records are attached to these forms.

(2) Notes and records of spot checks are to be filed at the field office that helped install the practice.

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J. Reporting

(1) Reporting of Spot Checks of Practices Completed by NRCS employees.

(i) Report all spot checks as soon as they are completed. Address the report to the appropriate line officer with a copy to the District Conservationist. Include the following information:

- Name and extent of each practice checked.
- Participant's name and location of property on which a practice was checked.
- Statement that the practice checked met specifications and the amount certified is correct.
- Program under which the practice was applied.
- Adequacy of supporting data.
- Other comments as needed.

- **Information required by Form TN-MGT-9 [Exhibit 3].**
- **The designer of the practice.**

(ii) If the spot check reveals deficiencies such as a practice that fails to meet specifications, lack of supporting data, or errors in quantities, the report is to include:

- Details of how the practice failed to meet specifications or lacked adequate supporting data, or both.
- Recommendations for correcting deficiencies.
- Suggested training or other action to help prevent recurrence of deficiencies.
- If the spot check reveals quality work, this should also be documented.

- **Recommended actions to correct identified deficiencies are to be determined jointly by the person completing the spot check and the district conservationist.**
- **Actions to help prevent recurrence of deficiencies may include a review of expected competencies by employee and noted in performance.**

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Subpart C – Spot Checking

(2) Reporting of Spot Checks of Qualified Contractors and Other Qualified Individuals (non-TSPs).

(i) Deficiencies should be reported as part of the State Quality Assurance Report (see GM-340, Part 404). In addition to notifying the participant or owner, the field office staff shall work with the contractor to satisfactorily resolve the issues. A satisfactory resolution will range from correcting a simple error or misunderstanding to not accepting future documentation until such documentation is submitted in an accurate, acceptable manner.

(ii) Upon request from a contractor, the field office staff will furnish in writing to that contractor information related to acceptance of his or her work by NRCS. The letter shall be tailored to identify the acceptance of construction and documentation for the individual contractor.

(3) Reporting Spot Checks of TSPs.

Within 15 working days of completing the spot check of the TSP's work, a report will be sent to the STC or Directors, Pacific Islands and Caribbean Areas, and the appropriate line officer(s). If the spot check identifies deficiencies, the person performing the spot check will notify the District Conservationist and the State TSP Coordinator of the findings and any recommendations for corrective action. The State TSP Coordinator will determine if further management or administrative actions will be taken in accordance with TSP policy.

A summary report of the TSP's work will be sent to STC with copies to the SCE and SRC. The summary can include a cover letter and comments made on TN-MGT-9 [Exhibit 3].

K. Follow-up

(1) Prompt and thorough follow-up of spot-checking reports is essential. If the checker questions need and practicability, he or she is to discuss the findings and opinions with the appropriate line officer. STC and Directors, Pacific States and Caribbean Areas will ensure that line officers report annually the status of spot checking to the STC within 90 days after the end of the spot-check year. Deficiencies are to be described in detail, and a follow-up report is required each 60 days until all follow-up action has been completed.

(i) Deficiencies will be described in detail and a follow-up report must be submitted to the STC every 60 days until all follow-up action has been completed.

(ii) Where deficiencies are noted, the district conservationist must send a follow-up report to the area conservationist each 30-day period, including a copy of all follow-up correspondence, until all follow-up action has been completed and deficiencies have been resolved.

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(2) If performance of the practice has been certified and significant errors in quantities certified are found, the office responsible for making cost-sharing payments and the participant are to be informed immediately. If a practice does not meet specifications, the District Conservationist is to take action immediately to assist the participant in making necessary modifications to meet specifications.

(i) Employee's performance issues and expectations will be addressed in his or her performance plan.

(ii) Employee's training needs with completion dates will be entered in his or her Individual Development Plan (IDP) via AgLearn.

(3) The program participant and the TSP will be notified in writing of the deficiencies and corrective actions needed. A reasonable time period will be specified for the corrective action needed. For TSP assisted practices, failure to correct the deficiency within the specified time period may trigger the TSP decertification process by the STC as per the causes for decertification specified in the TSP Handbook, Part 610, Section 610.26.

(4) When corrective measures have been taken, a final check is to be made and the case closed. If corrective work is not done, the agency providing cost sharing is to be given the information and take further action in accordance with program regulations.

(5) A summary of completed spot checks shall be incorporated into the yearend Quality Assurance Report (see GM-340, Part 404).

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Subpart D – Exhibits

TN407.31 First Exhibit: Form Abbreviated Conservation Practice Documentation Requirements, TN-MGT-10.

TN407.32 Second Exhibit: Landowner's Guide to Constructing Conservation Practices.

TN407.33 Third Exhibit: Form Engineering and Non-Engineering Spot Check and Quality Assurance Review (QAR), TN-MGT-9.