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(450-GM, Amend. MT21, Sept. 2006)

PART 407 – DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING
(QUALITY REVIEWS)

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PART 407 – DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

SUBPART A – POLICY

MT407.01 Policy

(a)(i) A summary of completed conservation practices shall be recorded on form MT-CPA-184 (Rev. 9/04) or other format that records the same information on the form. The purpose of the form is to list current practices and to track what practices were spot checked in past years, and which employee or Technical Service Provider was spot checked. The necessary information can be obtained from PRS and ProTracts Reports. Information concerning practices completed with Technical Service Provider assistance will be maintained at the Natural Resource Area Office since PRS or ProTracts Reports do not provide the name of the TSP.

MT407.02 Responsibilities

(a) All practices that are planned, designed and/or installed with NRCS technical assistance and/or NRCS financial assistance are subject to quality reviews.

(b) Practices planned and designed by NRCS, but installed without NRCS assistance, will be reviewed for quality through the point of last assistance provided to the cooperator.

(c) In Montana, quality reviews will be conducted on a fiscal year basis.

(d) Spot checks are intended to ensure that Resource Management Systems and their component practices planned or installed with NRCS technical/financial assistance are in compliance with NRCS policy, standards and specifications, program requirements, and meet client objectives.

(e) In order to make the spot check process a helpful tool, everyone in the process (State Program Managers, Assistant State Conservationists – Field Operations (ASTC-FO), Discipline Specialists, Reviewers, District Conservationists (DC), and Field Office Staff) needs to approach the reviews in a positive, constructive, and helpful manner. Supervisors will be responsible for ensuring that their staffs understand the purpose of the technical spot check process.

(f) Spot checks will be conducted annually in each field office on a fiscal year basis.

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MT407.02(g)

MT407.02 Responsibilities

(g) District Conservationists will submit form CPA-184 (Rev. 9/04) listing conservation plans, program contracts, and conservation practices completed by NRCS employees in the previous fiscal year by October 15. The form will be submitted to the Assistant State Conservationist/Field Operations for review and selection to achieve an approximate 5 percent review level by office for conservation plans completed, program contracts approved, and practices installed. Selections should also ensure that the work of each employee in the office is reviewed.

(h) The ASTC-FO will complete and maintain Form CPA-184 (Rev. 9/04) summarizing practices and services completed by Technical Service Providers within their jurisdiction for the previous fiscal year by October 15. Program documents, payment requests, or other information will be used to track individual TSP accomplishments since individual TSP information is not recorded in PRS or ProTracts.

(i) The TSP spot check summary will be submitted to the State Conservationist by October 15 for review and selection to achieve the level of review as specified in MT407.20 Procedure.

(j) Emphasis will be placed on reviewing the entire conservation plan and system, not just the individual practices. PRS data will be the primary source for selecting reviews, supplemental with information from program contracts, Customer Service Toolkit, and other lists of conservation practices installed. In addition, some plans/contracts completed in prior years may be selected so that all phases of the planning process are reviewed.

(k) Reviews will cover the following elements:

(1) Conservation planning
(2) Quality of resource data collected and used
(3) Program and contracting compliance
(4) Practices (Engineering and Ecological Science) including design, installation, documentation, and certification. Reviews conducted for TSP-assisted practices will evaluate the project from the point that the TSP assumed responsibility for the practice (design, installation oversight, and completion certification).
(5) PRS documentation.

MT407-2(2)

(l) The ASTC-FO will identify and assign discipline specialists with the appropriate level of job approval authority needed for each selected review within their area by November 1. The review team should consist of an engineer and a planning specialist from the area or field staff; however, other disciplines may be added if necessary. Requests can also be made for assistance from state office technical or program specialists, as appropriate.

m) The ASTC-FO will assign review dates along with the review team. All review team members should conduct their reviews on the same day if possible. The Planner/Assistance Provider must also be present.

(n) The STC will assign TSP spot check reviews to the applicable ASTC-FO by November 1. Review teams will be assigned by the ASTC-FO as in MT407.02 (l) above. The respective program participant and/or TSP should be present during the field visit portion of the review.

(o) Each review shall include a field visit.

(p) The reviewers will look at the entire planning process including PRS documentation and program and contracting compliance if applicable. Individual practices will be reviewed for technical adequacy and documentation.

(q) Review check lists (MT-CPA-7A and MT-CPA-7B) will be used by all reviewers. TSP spot checks will only utilize that portion of the form applicable to the TSP services provided.

(r) Remember that Spot Checks are reviews of NRCS, not reviews of our customers. However, follow-up action by the local field office staff may be required in those cases where a customer is out of compliance. Spot Check reviewers will make no attempt to correct these situations with the customer during the review.

(s) Deficiencies found between what is documented and what should be documented, between how things are analyzed and how they should be analyzed, etc., are often due to either a lack of training, a misunderstanding of the requirements, and/or a mistake. Many deficiencies can be rectified on the spot. Handling situations in this manner takes advantage of a “teachable moment” and improves the perception of the Spot Check as a “helpful” process. These items should be notes by the reviewers.

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MT407.02(t)

MT407.02 Responsibilities

(t) Deficiencies noted for TSP assisted practices will be documented on MT-CPA-7A and 7B. 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 certification specified in the TSP Handbook, 610.26 .

(u) Other deficiencies (systematic deficiencies, disagreements, policy interpretations, etc.,) will be reported and relayed as outlined below. In these cases, the reviewers do not have any responsibility beyond the review itself. District Conservationists and ASTC-FOs are responsible for ensuring corrections are made.

(v) Spot Check reports will be completed and routed as follows:

(1) Reviewers will complete a summary from information completed on the individual check lists and provide it to the ASTC-FO along with any notes and explanations.

(2) The ASTC-FO will compile the result for each office into a report detailing commendable and/or corrective actions and timelines for completion. The process should also involve the supervisor of any staff that will be expected to commit time and effort to a corrective action.

(3) The ASTC-FO will review completed reports with the DC. Copies of the reports and progress reports on any corrective actions will also be provided to the Assistant State Conservationist for Operations (ASTC-Operations).

(4) TSP-assisted practice deficiencies that are not resolved within the specified time period will be referred by the ASTC-FO to the STC along with all supporting documentation. Program non-compliance issues may also need to be addressed by the STC, as appropriate.

(w) All Spot Checks will be completed by September 30 of the following fiscal year.

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SUBPART B – DOCUMENTATION AND CERTIFICATION

MT407.10 Supporting data.

(b) Copies of plans, drawings, construction specifications, operation and maintenance requirements, and any special provision provided to the cooperator, will be maintained in the NRCS case file or Tool Kit as appropriate. The cooperator's signature certifying review and approval of the plan, specifications, drawings, and any special provisions are required.

(c) The individual performing the Spot Check will ascertain that there is adequate documentation to show that the practice was planned in accordance with the applicable standards. All practices will also need documentation that shows that the practice was installed in accordance with the drawings, job sheets, construction specifications, and any required special provisions. Additional minimum acceptable documentation can be found in the Field Office Technical Guide, National Planning Procedures Handbook, the Engineering Field Manual, the National Engineering Handbook Series, the Montana Supplement to the Engineering Field Handbook, program handbooks, and technical handbooks and manuals. The Check List for Evaluation of Management Systems and Associated Practices (MT-CPA-7B) provides a check list of the most general items that should be reviewed for documentation. Additional guidance can be found in Montana Supplements to the Engineering Field Handbook and Technical Notices to the National Planning Procedures Handbook.

To make the Montana list more inclusive, the National list has been combined with the Montana documentation requirements for the following conservation practices. NOTE: To keep the list in alphabetical order, the National data is listed as whole numbers in **bold text [(i.e., (1)-(22)]** and the Montana additions are shown as extension numbers [i.e., (0.1,) (1.1,) (2.1,) etc.].

(0.1) 311–Alley Cropping

a) Conservation Management Unit or field number, acreage of treated area
b) Planting date(s)
c) Conservation Tree/Shrub Suitability Group (CTSG)
d) Species selected, number plants planted
e) Width of cultivated strip around the planting
f) Spacing of shrubs/trees within the row, spacing between the rows, between belts

PART 407--DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

MT407.10(c)(0.1)g)

MT407.10 Supporting data.

g) Belt width and length, number of rows in belt
h) Method of site preparation
i) Method of protection/competition control
j) Documented percent of survival rate in the second year is required for final certification

(0.2) 397–Aquaculture Ponds
a) Conservation Management Unit or field number and location/acreage of pond
b) Date of installation
c) Documentation, including field notes that pond was built according to 378–Pond design and criteria specific to 397–Aquaculture Ponds

(1.) 314–Brush Management
Species controlled, species benefited
Method of control
Acres treated
Management before and after control
Date of application
Density, canopy, or number of shrubs or trees per acre before treatment, and percent of kill or canopy reduction of target species

(1.1) 314–Brush Management (MT ADDITIONAL REQUIREMENTS)
a) Chemical treatment – method of application, chemicals and rates applied, type of carrier if used
b) Mechanical treatment – kind of equipment used, techniques applied and, if needed, type of erosion protection, method of application, date applied
c) Biological treatment – type of biological agent or animal, and if grazed, number of animals (AU's) and the percent use on target species controlled, species benefited
d) Prescribed Burning – refer to documentation requirements under Practice Standard 338
e) Method of determining degree of infestation (for example, MT-ECS-117)

MT407-6(2)

(1.2) 322–Channel Bank Vegetation

a) Conservation Management Unit or field number, acreage of treated area
b) Method of site preparation information including slope of treated zone
c) Planting date
d) Species and size of vegetation/plugs
e) Planting spacing, row spacing
f) Type of erosion control fabric, if required, method of application
g) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting
h) Kind, amount, timing, method of application of mulch, if applicable

(1.3) 327–Conservation Cover

a) Conservation Management Unit or field number, acreage of treated area
b) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting
c) Date planted
d) Kind, amount, timing, method of application of fertilizer, if applicable
e) Location map, sketch of design area,
f) Soil map unit information
g) measured acres
h) Date practice scheduled and applied
i) Operation and Maintenance (O&M) requirements

(1.4) 328–Conservation Crop Rotation

a) Conservation Management Unit or field number, acreage of treated area, percent slope of field
b) Identify crops in rotation and duration (i.e., small grain 3 years, fallow 1 year)
c) Kind, amount, timing, method of application of fertilizer, if applicable
d) Before and after Soil Quality Index calculated
e) If re-cropped, document basis for decision
f) Documentation that Pesticide Management Plan is being followed, if applicable

(2.) Conservation Tillage System (OBSOLETE)
Estimated amounts and kinds of residue and types of tillage operations

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MT407.10(c)(2.1)

MT407.10 Supporting data.

(2.1) 332–Contour Buffer Strips
- a) Conservation Management Unit or field number, total acres of buffer strip(s)
- b) Date practice installed
- c) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting
- d) Cultivated width of each strip
- e) Layout grid with sketched contour lines
- f) Buffer strip width
- g) Buffer strip length
- h) Row grade percent
- i) Kind, amount, timing, method of application of fertilizer, if applicable
- j) Kind, amount, method of application of mulch, if applicable
- k) Companion crop and rate, if applicable
- l) Soil loss estimate (before and after)

(2.2) 330–Contour Farming
- a) Conservation Management Unit or field number, acreage of treated area
- b) Date practice installed
- c) Percent of field slope, critical slope length (ft), minimum row grade
- d) Before and after soil loss prediction from water
- e) Layout grid with sketched contour lines and measured width of strips and baseline location
- f) Kind, amount, timing, method of application of fertilizer, if applicable
- g) Runoff water disposal
- h) Hydrologic group

(2.3) 331–Contour Orchard and Other Fruit Areas
- a) Conservation Management Unit or field number, acreage of treated area
- b) Date practice installed
- c) Percent of field slope, critical slope length (ft), minimum row grade
- d) Calculate before and after soil loss prediction from water
- e) Layout grid with sketched contour lines and measured width of strips
- f) Kind, amount, timing, method of application of fertilizer, if applicable

MT407-6(4)

g) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting, if vegetation was established between rows of trees

(2.4) 340–Cover Crop

a) Location map, including Conservation Management Unit or field number, sketch or outline of area
b) Measured acres
c) Planting/termination dates – method of termination
d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting
e) Kind, amount, timing, method of application of fertilizer, if applicable
f) Design soil map unit
g) Soil conditioning index (before and after)
h) Before and after soil loss prediction

(2.5) 342–Critical Area Planting

a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Percent of field slope, critical slope length (ft), percent of minimum row grade
d) Kind, amount, timing, method of application of fertilizer, if applicable
e) Topsoil placement and depth, if required, is applied as per design
f) Kind, amount, method of application of mulch, if applicable
g) Excavation, if required completed as per cut/fill design
h) Fencing requirements, if required, designed, installed as per 382–Fence specification(s)

(2.6) 589A–Cross Wind Ridges

a) Plan map
b) Soils map with design map unit identified
c) Ridge height
d) Ridge spacing
e) Before and after soil loss prediction (WEQ)

(2.7) 589C–Cross Wind Trap Strips

a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed

MT407.10(c)(2.7)c)

MT407.10 Supporting data.

c) Layout grid with sketched, measured width/length of strips (both cultivated and grass strips), number of rows installed
d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting
e) Before and after soil loss prediction of wind erosion calculated
f) Percent or pounds of surface residue, (measured during critical erosion period)
g) Kind, amount, timing, method of application of fertilizer, if applicable
h) Contributing area (in)
i) Percent saltation
j) Bulk density value
k) Deposition depth
l) vegetative height

(2.8) 324–Deep Tillage
a) Conservation Management Unit or field number, acreage of treated area
b) Map unit slope percent
c) Date practice applied
d) Tillage point spacing, depth, direction applied
e) Depth of soil deposit, if applicable
f) Depth of restrictive layer, if applicable
h) Soil erosion prediction (before and after)

(3.) 362–Diversion
Profile of channel and ridge, cross section, length, outlet conditions, and adequacy of vegetation

(3.1) 647–Early Successional Habitat Development/Management
a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Calculated before and after soil loss prediction from water and wind, if applicable
d) Resulting canopy cover or production of species controlled and/or species benefited

MT407-6(6)

e) Chemical treatment–method of application, chemical and rates applied, type of carrier if used
f) Mechanical treatment–kind of equipment used, techniques applied and, if needed, type of erosion protection, method of application and date applied
g) Biological treatment–type of biological agent or animal and if grazed, number of animal(s), the percent use on species controlled and/or species benefited
h) Prescribed Burning–refer to documentation requirements under Practice Standard 338

(3.2) 592–Feed Management
a) Feeding practices/technology that will be utilized
b) Feed analysis and ration formulation
c) Estimated or measured nutrient content of manure before and after implementation

(3.3) 382–Fence
a) Conservation Management Unit or field number and length (feet) of fence
b) Date(s) of installation
c) Number of strands, height, spacing of wires, charge for power fences
d) Wire type, size (gauge), coating, strength (psi), tension
e) Line post material, size in inches, shape, length, coating
f) Line post spacing and buried depth in inches
g) Type of insulators for power fence
h) Brace post location and material
i) Vertical post size in inches, length, buried depth, coating
j) Horizontal brace size in inches, length in feet
k) Diagonal brace material, size in inches and length in feet
l) Power fence only: Energizer output (volts), capacity
m) Power fence only: Grounding rod material, number of rods, size
n) Special provisions used for crossing rough terrain or streams

(3.4) 386–Field Border
a) Conservation Management Unit or field number, acreage of borders
b) Date practice installed
c) Layout grid with sketched, measured border width, length (along edge of field), slope percent

MT407.10(c)(3.4)d)

MT407.10 Supporting data.

d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting
e) Kind, amount, timing, method of application of fertilizer, if applicable

(3.5) 393–Filter Strip
a) Conservation Management Unit or field number, acreage of strips
b) Date practice installed
c) Layout grid with sketched and measured strip width, length, slope percent of filter strip and field above strip contributing to runoff
d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting
e) Kind, amount, timing, method of application of fertilizer, if applicable

(3.6) 394–Firebreak
a) Conservation Management Unit or field number, location of practice
b) Date practice applied
c) Length and width of practice
d) Duration, type of firebreak
e) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting of vegetative breaks
f) Number of water bars and spacing between bars for bare mineral soil breaks

(3.7) 398–Fish Raceway or Tank
a) Conservation Management Unit or field number, location/acreage of practice
b) Date of installation
c) Design drawings and construction notes showing initial land survey, design, as-built schematics for raceway or tank and outlets (if applicable), quantities, calculations of cuts/fill, total yardage moved

(3.8) 399–Fishpond Management
a) Conservation Management Unit or field number, location/acreage of practice
b) Date practice was applied
c) The pond must meet or exceed requirements in 378–Pond

MT407-6(8)

d) Documentation that the fishpond management plan was followed

(3.9) 396–Fish Passage
- a) Conservation Management Unit or field number, location/acreage of practice
- b) Date of installation and documentation that it did not occur during the spawning/migration season for the target species
- c) Documentation that the structure was designed for the target fish species and life stage
- d) Design drawings and construction notes showing initial land survey, design, as-built schematics for fish passage, quantities, calculations of cuts/fill, total yardage moved

(3.10) 511–Forage Harvest Management
- a) Conservation management unit or field number, location/acreage of practice
- b) Stand maturity at harvest, harvest intervals, stubble height and moisture content of each harvest
- c) Kind, amount, timing, method of application of fertilizer and amendments
- d) Fall grazed after killing frost, if applicable

(3.11) 655–Forest Trails and Landings
- a) Conservation Management Unit or field number, location, acres of practice
- b) Number, size, distance between landings
- c) Spacing, size, percent disturbance, percent slope of harvest trails
- d) Number of and spacing between water bars
- e) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting

(3.12) 384–Forest Slash Treatment
- a) Conservation Management Unit or field number, acreage of practice
- b) Date practice installed
- c) Slash disposal method
- d) Type of equipment used
- e) Depth of chipped material
- f) Date piles burned

(3.13) 666–Forest Stand Improvement
- a) Conservation Management Unit or field number, acreage of practice

MT407.10(c)(3.13)b)

MT407.10 Supporting data.

b) Date practice installed
c) Harvesting: System, type of material cut/remaining, spacing, season, equipment, slash disposal method, timing
d) Pre-commercial thinning: Desired spacing, type of leave/remove trees, dates performed, type of equipment, slash disposal method, timing
e) Type and spacing of desired species after treatment

(3.14) 383–Fuel Break
a) Size of fuel break in acres
b) Distance treated
c) Separation distances for shrub, trees, and ladder fuels

(4.) 410–Grade Stabilization Structure
Measurements of completed structure
Type and quality of materials
Adequacy of vegetation

(5.) 412–Grassed Waterway
Length, width, depth, grade
Temporary measures
Location of subsurface drains if needed
Adequacy of vegetation

(5.1) 412–Grassed Waterway (MT ADDITIONAL REQUIREMENTS)
a) Conservation Management Unit or field number, acreage of waterway
b) Date practice installed
c) Design drawings and construction notes showing initial land survey, design, as-built schematics for waterway and outlets (if applicable), quantities, calculations of cuts/fill, and total yardage moved
d) Kind, amount, timing, method of application of fertilizer, if applicable
e) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting
f) Kind, amount, method of application of mulch, if applicable

(5.2) 548–Grazing Land Mechanical Treatment

a) Conservation Management Unit or field number, acreage of treated area
b) Date(s) of treatment
c) Type of treatment applied, depth, width, spacing, kind of equipment used, techniques applied and, if needed, type of erosion protection, method of application, date applied
d) If chemical post-treatment was applied, document type, amount, method of application, type of carrier, if used
e) Resulting canopy cover or production of target species controlled and species benefited
f) Pre-treatment canopy cover or production of target species to be controlled and species to benefit (can be evaluated using MT-ECS-117)
g) If range seeding was applied post-treatment, must meet 550–Range Planting Specification.

(5.3) 422–Hedgerow Planting

a) Conservation Management Unit or field number, acreages of treated area
b) Date practice applied
c) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting
d) Layout grid with sketched hedgerow lines and measured hedgerow width and length

(5.4) 603–Herbaceous Wind Barriers

a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Layout grid with sketched, measured width/length of strips (both cultivated and barrier strips), number of rows installed
d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting
e) Before and after soil loss prediction of wind erosion calculated
f) Percent of pounds of surface residue, (measured during critical erosion period)
g) Kind, amount, timing, method of application of fertilizer, if applicable

(6.) 320–Irrigation Canal or Lateral
Grade
Cross section

MT407.10(c)(6.)

MT407.10 Supporting data.

Spoil bank treatment
Adequacy of vegetation
Quantity computations if needed

(7.) 464–Irrigation Land Leveling
Kind of soil or irrigation soil group
Planned cuts and fills
Profile of selected grids showing completed work or equivalent statement if laser-controlled
Quantity computations if needed

(8.) 428A–Irrigation Water Conveyance, Ditch and Canal Lining
Cross section and profile
Thickness of lining
Width of earth shoulders
Method of curing concrete
Certification or test data for materials
Quantity computations if needed

(9.) 430–Irrigation Water Conveyance, Pipeline
Manufacturer and markings if applicable
Length of lines by size, kind, class of pipe, and depth
Location and size of stands, vents, checks, air-release valves, and pressure-relief valves
Number of outlets by size and type
Pressure test results

(9.1) 544–Land Reconstruction, Currently Mined Land
a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Design drawings, construction notes showing initial land survey, design, as-built schematics for reconstruction, including method of scarification and depth of replacement soil material
d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting

MT407-6(12)

e) Soil loss prediction of wind and water erosion calculated for reconstructed site
f) Kind, amount, timing, method of application of fertilizer, if applicable

(9.2) 484–Mulching
a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Type of mulch used (hay, small grain straw, or wood fiber)
d) Anchoring technique used (stake/twine, mulch netting, mechanical, asphalt emulsion, resin emulsion, etc.)
e) Method of seedbed preparation
f) Planned and applied application rated (per 100 square feet or acre) of mulch and tackifiers (asphalt/resin)

(9.3) 590–Nutrient Management
a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Results of soil, plant, water, manure or organic by-product analysis
d) Quantification of all nutrient sources
e) Applied nutrient rates, timing, form, method of application and incorporation
f) Complete Nutrient Budget for nitrogen, phosphorus, potassium calculated for entire rotation
g) Phosphorus Index worksheet if applicable

(10.) 512–Pasture and Hay Planting
Acres
Species or mixtures seeded
Date and method of seeding
Type of seedbed preparation
Fertilizer and lime applied

(10.1) 512–Pasture and Hay Planting (MT ADDITIONAL REQUIREMENTS)
a) Date practice installed
b) Companion crop if used and rate
c) Calculated erosion rate before and after (WEQ/RUSLE)
d) Seeded mixture, including % and PLS Lbs/ac in mixture of each species

PART 407--DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

MT407.10(c)(10.2)

MT407.10 Supporting data.

(10.2) 595–Pest Management
- a) Conservation Management Unit or field number, acreage of treated area
- b) Date practice installed
- c) Crop sequence and rotation
- d) Before and after percent of target species controlled
- e) Applied alternatives including rates, product and form, timing, method of application
- f) Results of pest management environmental assessments (WIN-PST)
- g) For noxious weed control on rangeland or pastureland only - record of baseline and annual transects using the Line Point Intercept Method Worksheet, MT-ECS-117
- h) For a precision pest management plan:
  a. Identify within-field variability
  b. Results of field scouting within management zone
  c. Economic thresholds
  d. Documentation of pest management zone establishment

(11.) 378-Pond

(11.1) 338–Prescribed Burning
- a) Conservation Management Unit or field number, location/acreage of practice
- b) Date and beginning/ending times of burn
- c) Acres planned vs. acres burned/treated
- d) Documentation that burn plan was followed
- e) Documentation of type of firebreak installed
- f) Documentation of burning method used
- g) Burn evaluation
- h) Recommended post-burn treatment, if needed

(11.2) 528A–Prescribed Grazing

Prescribed Grazing Plan is in place and the objectives were met based on the following items:
- a) Conservation Management Unit of field numbers, dates grazed per field, AU's per field

MT407-6(14)

b) Percent utilization of key species (cannot exceed 50% of the current year's growth unless higher utilization is accounted for by more intensive grazing rotations and increased rest periods)
c) Percent utilization of key woody species (cannot exceed 50% of annual leaf and twig growth)
d) Livestock forage requirements, wildlife use, significant pest damage is balanced with forage availability
e) Grazing period on native rangeland
f) Percent utilization of key species on dormant season grazing on native rangeland (cannot exceed 65% of current year's growth)
g) Stocking rates, dates/duration of use, method of manure management on winter feeding areas
h) Documentation that riparian areas and uplands monitoring site(s) are in place, and plan is being followed

(**12.**) **<u>Proper Grazing Use</u> (OBSOLETE)**
Key species on important grazing areas in determining proper use
Estimated percentage of growth removed for key species
Grazing period
Date of determination

(12.1) 550–<u>Range Planting</u>
a) Conservation Management Unit or field number, acreage of seeded area and how measured
b) Date(s) of treatment
c) Method of mechanical seedbed prep, tillage implements used
d) Method of chemical seedbed prep, chemicals applied, application rates and type of carrier, if needed
e) Planting method, depth seeded, soil moisture at time of planting
f) Fertilizer type and rate, method of application, if applied
g) Method of weed and pest control, chemicals applied (kinds/rates/dates) and/ or tillage performed (kinds/dates)
h) Selected cultivars, seeding rate (lbs. PLS/acre), percent of mixture planted. Compare the percent of mixture planted with the percent of mixture planned on the seeding plan: <u>the resulting answer must be 90 to 110% to be certified as successfully planted under the NRCS Range Planting Standard</u>.

PART 407--DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

MT407.10(c)(12.2)

MT407.10 Supporting data.

(12.2) 562–Recreation Area Improvement
- a) Conservation Management Unit or field number, location/acreage of treated area
- b) Date practice applied
- c) Seeding plan followed including seedbed prep, species selection (PLS), seeding rate (PLS per acre), or plant spacing, size and quantity, if root stock, method of planting, date of planting, soil moisture conditions at planting
- d) Average spacing and method of slash removal, if thinned
- e) Pruning height, if pruned
- f) Kind, amount, timing, method of application of fertilizer, if applicable

(12.3) 329–Residue and Tillage Management, No-Till/Strip-Till/Direct Seed
- a) Conservation Management Unit or field number, acreage of treated area
- b) Date practice installed
- c) Crop sequence and rotation
- d) Residue Budget complete identifying crop, previous residue, all tillage and planting operations, residue reduction, percent residue retained, percent of residue left during critical erosion period
- e) Height of standing residue and orientation (flat or standing)
- f) Calculated soil for loss for wind/water before and after application of practice
- g) Soil Tillage Intensity Rating
- h) Soil Conditioning Index

(12.4) 345–Residue and Tillage Management, Mulch Till
- a) Conservation Management Unit or field number, acreage of treated area
- b) Date practice installed
- c) Crop sequence and rotation
- d) Residue Budget complete identifying crop, previous residue, all tillage and planting operations, residue reduction, percent residue retained, percent of residue left during critical erosion period
- e) Height of standing residue and orientation (flat or standing)
- f) Calculated soil for loss for wind/water before and after application of practice

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i) Soil Tillage Intensity Rating
j) Soil Conditioning Index

(12.5) 346–Residue and Tillage Management, Ridge Till
a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Crop sequence and rotation
d) Residue Budget identifying crop, previous residue, all tillage and planting operations, residue reduction, percent residue retained, percent of residue left during critical erosion period
e) Height of standing residue and orientation (flat or standing)
f) Calculated soil for loss for wind/water before and after application of practice
g) Soil Tillage Intensity Rating
h) Soil Conditioning Index
i) 10-year storm EI
J) Designed row grade %

(12.6) 344–Residue Management, Seasonal
a) Conservation Management Unit or field number, acreage of treated area
b) Date practice installed
c) Crop sequence and rotation
d) Residue Budget complete identifying crop, previous residue, all tillage and planting operations, residue reduction, percent residue retained, percent of residue left during critical erosion period
e) Height of standing residue and orientation (flat or standing)
f) Calculated soil for loss for wind/water before and after application of practice

(12.7) 643–Restoration and Management of Declining Habitats
a) Conservation Management Unit or field number, acreage of treated area
b) Data practice applied (documentation that primary nesting season was avoided/minimized)
c) Calculated before and after soil loss prediction from water and wind, if applicable
d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting

PART 407--DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

MT407.10(c)(12.7)e)

MT407.10 Supporting data.

e) Resulting canopy cover or production of species controlled and/or species benefited
f) Chemical treatment–method of application, chemicals, rates applied, type of carrier if used
g) Mechanical treatment–kind of equipment used, techniques applied and, if needed, type of erosion protection, method of application and date applied
h) Biological treatment–type of biological agent or animal, and if grazed, number of animal(s), the percent use on species controlled and/or species benefited
i) Prescribed Burning–refer to documentation requirements under Practice Standard 338

(12.8) 391–Riparian Forest Buffer
a) Conservation Management Unit or field number, acreage of buffers
b) Date of installation
c) Site preparation, selected cultivars, kind of stock, number of plants, spacing, method of planting
d) Layout grid with sketched buffer strip width and length
e) Kind, amount, timing, method of application of fertilizer, if applicable
f) Kind, amount, method of competition control, if applicable
g) Documentation of percent survival rate in the second year is required for final certification

(12.9) 390–Riparian Herbaceous Cover
a) Conservation Management Unit or field number, acreage, and dimensions of treated area
b) Date of installation
c) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting

(12.10) 610–Salinity and Sodic Soil Management
a) Conservation Management Unit or field number, acreage of treated area (recharge and discharge areas/acres identified)
b) Date practice(s) installed

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c) Design and as-built notes of conservation practices installed on recharge and discharge areas
d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting, date of planting

(12.11) 646–Shallow Water Development and Management
a) Conservation Management Unit or field number and location/acreage of practice
b) Date practice was applied
c) Documentation, including field notes that structures were installed according to design as per Field Office Technical Guide practice specifications for 356-Dike and 587-Structure for Water Control
d) Documentation that a Water Level Management Plan is in place and food plant species are identified in the plan

12.12) 381 – Silvopasture
a) Conservation Management Unit or field number, and acreage of practice
b) Date of installation
c) Method of site preparation, species selected, number installed, method of planting, and spacing between plants
d) Sketched layout and design (width, length, number of rows, and spacing between rows)
e) Kind, amount, and method of vegetative competition control
f) Percent survival rate (2^{nd} year)
g) Kind and amount of herbaceous plant materials, if applicable

(13.) 574–Spring Development
Dimensions and elevations of collection system, spring box, pipeline, watering trough, and quantities if needed.

(14.) 585–Stripcropping
Acres
Survey notes and measurements if needed
Crops or species
Rotation

(14.1) 585–Stripcropping (MT ADDITIONAL REQUIREMENTS)
a) Conservation Management Unit or field number, acreage of treated area

MT407.10(c)(14.1)b)

MT407.10 Supporting data.

b) Date practice installed
c) Layout grid with sketched and measured width of strips and percent of field slope
d) Before and after soil loss prediction of water erosion calculated
e) Hydrologic group
f) 10-year EI
g) Critical slope length
h) Minimum row slope
i) Maximum row slope
j) Design ridge height
k) Designed strip species
l) Crop sequence and rotation
m) Kind, amount, timing, method of application of fertilizer, if applicable

(14.2) 395–Stream Habitat Improvement and Management
a) Conservation Management Unit or field number, location/acreage of practice
b) Date practice was applied and documentation that it was timed to avoid adverse affects on spawning and nesting fish and terrestrial species
c) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), method of planting
d) Documentation of livestock impacts (where grazing was allowed) in management area
e) Documentation that associated practices (needed to implement this practice) have been installed according to design, standards, and specifications

(15.) Stubble Mulching (OBSOLETE)
Major soil types
Amount and kind of residues
Time and type of tillage

(16.) 606–Subsurface Drain
Manufacturer and markings
Length by size and kind
Location and dimensions of all structures

MT407-6(20)

Elevations of outlet and normal water level in outlet ditch or stream
Filter material
Blinding
Cover
Periodic grade checks

(17.) 607–Surface Drainage, Field Ditch
Grade
Cross section
Spoil treatment
Design capacity
Quantity computations if needed

(17.1) 609–Surface Roughening
a) Location map including Conservation Management Unit or field number, and/or sketch showing area treated
b) Acres treated
c) Date practice applied
d) Before and after wind erosion prediction calculated
e) Kind of tillage equipment used, techniques applied, tillage spacing

(18.) 600–Terrace
Profile of channel and ridge and cross section for one terrace in each field
Land slope and vertical or horizontal interval
Type and adequacy of outlet
Length of each terrace
Adequacy of vegetation if required
Underground outlets

(18.1) 600–Terrace (MT ADDITIONAL REQUIREMENTS)
a. RUSLE2 before and after soil loss prediction
b. Designed row grade or absolute grade

(19.) Tree Planting (OBSOLETE)
Kind of soil or suitability group
Site preparation
Species

PART 407--DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

MT407.10(c)(19.)

MT407.10 Supporting data.

Spacing in the row and between rows
Date and method of planting
Acreage or number of trees
Management following planting

(19.1) 612–Tree/Shrub Establishment
- a) Conservation Management Unit or field number, acreage of practice
- b) Date of installation
- c) Site preparation, selected cultivars, kind of stock, number of plants and spacing, method of planting
- d) Kind, amount, method of competition control, if applicable
- e) Kind and amount of tree protection, if applicable

(19.2) 490–Tree/Shrub Site Preparation
- a) Conservation Management Unit or field number, acreage of practice
- b) Date practice installed
- c) Site preparation method and type of equipment used
- d) Chemical treatment–method of application, chemicals, rates applied, type of carrier if used
- e) Size, depth, percent of scarification

(19.3) 660–Tree/Shrub Pruning
- a) Conservation Management Unit or field number, acreage of practice
- b) Date of application (documentation that practice was applied during dormant season)
- c) Verification that proper pruning techniques were applied and less than 1/3 crowns were removed
- d) Christmas Tree Shearing: age/species of trees, frequency of shearing, period of shearing, percent taper, amount of basal pruning
- e) Lumber Production: age/species of trees, number of trees pruned, height of pruning (up to 18 feet)

(19.4) 645–Upland Wildlife Habitat Management
- a) Conservation Management Unit or field number, acreage of practice
- b) Date practice was applied

MT407-6(22)

c) Documentation that the Upland Wildlife Habitat Management Plan was followed, which includes but is not limited to: target wildlife species identified; wildlife habitat evaluation completed; limited habitat factors identified; and needed practice elements to supply limiting factors implemented.

(19.5) 472–Use Exclusion
- a) Conservation Management Unit or field number, acreage of treated area, how measured
- b) Type of use excluded, species excluded
- c) Date(s) and duration of exclusion
- d) Barrier method/type and design

(19.6) 601–Vegetative Barriers
- a) Conservation Management Unit or field number, acreage of treated area
- b) Date practice installed
- c) Layout grid with sketched and measured width/length of strips (both cultivated and barrier strips), gradient and density of barriers, number of rows installed
- d) Seedbed prep, selected cultivars, seeding rate (lbs. PLS/acre), plant spacing if root stock, method of planting, date of planting
- e) Before and after soil loss prediction of water erosion calculated
- f) Kind, amount, timing, method of application of fertilizer, if applicable
- g) horizontal spacing
- h) gradient along barrier
- i) watershed area (acres)

(20.) 313–Waste Storage Facility
Computations for size, length, width, depth, and thickness of walls, inlet, outlet, vent, and safety feature details
Type of construction, reinforcing
If prefabricated, the manufacturer, markings, certification, and dimensions

(20.1) 633–Waste Utilization
- a) Conservation Management Unit or field number, acreage of managed area
- b) Date practice applied

PART 407--DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

MT407.10(c)(20.1)c)

MT407.10 Supporting data.

c) Estimated quantity of organic materials produced during the planning period (total volume and concentration of nutrients N-P-K), method of measurement
d) Type of manure storage or handling system, method of application, equipment used
e) A schedule of planned/actual application including per acre annual rates, frequency of application, month of application, timing of incorporation, documentation of application or avoidance of identified critical areas, amounts of nutrients available to plants at the prescribed rates
f) A nutrient budget plan applied (see 590-Nutrient Management)
g) Method of waste disposal including mass and concentration transported from farm
h) Soil test results, manure test results
i) Crops grown and yields measured

(20.2) 658–Wetland Creation

a) Conservation Management Unit or field number and location/acreage of wetland area
b) Documentation of habitat assessment to identify target species and needed habitat practices and components
c) Date practice was applied and documentation that it was timed to avoid adverse affects on threatened, endangered, candidate, proposed or species of special concern
d) Documentation, including field notes that required structures and/or vegetative plantings were installed according to design and appropriate practice specification

(20.3) 659–Wetland Enhancement

a) Conservation Management Unit or field number and location/acreage of wetland area
b) Documentation of target species and habitat assessment to identify needed/desired habitat elements
c) Date practice was applied and documentation that it was timed to avoid adverse affects on threatened, endangered, candidate, proposed or species of special concern

MT407-6(24)

d) Documentation, including field notes that required structures and/or vegetative plantings were installed according to design and appropriate practice specification
e) Documentation of livestock impacts (where grazing was allowed) to wetland habitat values

(20.4) 657–Wetland Restoration

a) Conservation Management Unit or field number, location/acreage of practice
b) Documentation of target species and of habitat assessment used to determine type and quality of habitat to be restored
c) Date practice was applied and documentation that it was timed to avoid adverse affects on threatened, endangered, candidate, proposed or species of special concern
d) Layout grid with sketched and measured width/length, spacing, number of rows of vegetative barriers
e) Documentation, including field notes that required structures and/or vegetative plantings were installed according to design and appropriate practice specification
f) Documentation of livestock impacts (where grazing was allowed) to wetland habitat values
g) Documentation that original topography was re-established to the extent possible
h) Documentation that original hydrology was re-established to the extent possible

(20.5) 644–Wetland Wildlife Habitat Management

a) Conservation Management Unit or field number and acreage of practice
b) Habitat assessment documentation showing habitat deficiencies and needed practices
c) Date practice was applied and documentation that it was timed to avoid adverse affects on threatened, endangered, candidate, proposed or species of special concern
d) Documentation that the Wetland Wildlife Habitat Management Plan was followed
e) Documentation that associated practices (needed to implement this practice) have been installed according to design, standards, specifications

PART 407--DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING (QUALITY REVIEWS)

MT407.10(c)(20.6)

MT407.10 Supporting data.

(20.6) 648–Wildlife Watering Facility
- a) Conservation Management Unit or field number, location, acres of practice
- b) Identification of target wildlife species, water quantity needed, and season of use required
- c) Date of installation
- d) Documentation, including field notes that facility (dugouts, ponds, pits, spring developments, guzzlers, etc.), is installed as per design and specifications

(21.) Wildlife Wetland Habitat Management (OBSOLETE)
Average depth and area of ponds
Species seeded
Key species in judging proper management
Dimensions of water control structures, and appropriate elevations

(21.1) 380–Windbreak/Shelterbelt Establishment
- a) Conservation Management Unit or field number, acreage of practice
- b) Date of installation
- c) Site preparation, selected species, kind of stock, number of plants, spacing, method of planting
- d) Layout grid with sketched windbreak design (width, length, number of rows, spacing between rows)
- e) Kind, amount, method of competition control, if applicable
- f) Kind and amount of tree protection, if applicable
- g) Documentation of percent survival rate in the second year is required for final certification

(21.2) 650–Windbreak/Shelterbelt Renovation
- a) Conservation Management Unit or field number, location, acreage of practice
- b) Date of application
- c) Number and length of row(s) treated
- d) Method of renovation used

MT407-6(26)

PART 407 – DOCUMENTATION, CERTIFICATION, AND SPOT CHECKING
(QUALITY REVIEWS)

SUBPART C – SPOT CHECKING

MT407.20(c)(2)(ii)a)

MT407.20 Procedure.

(c)(1) The number of spot checks in each county shall consist of the following in this priority order:

(i) Five percent of the total cost shared and non-cost shared practices shall be checked. It is not necessary to exceed five spot checks in a given county each year.

(ii) Each of the various practices planned or applied in the field office shall be checked at least every three years.

(iii) Each employee's work including planning, design, application, or certification, will be reviewed a minimum of once every three years.

(c)(2) Spot checks for Technical Service Providers (TSPs) when technical assistance reimbursement **is** a component of the program participant's contract will be as follows:

(i) A functional review will be completed prior to processing technical assistance reimbursement or financial assistance (cost-share) payment for each TSP submitting an initial service or practice within an NRCS Natural Resource Area. At a minimum, the functional review will evaluate the submitted documentation sufficiently to determine with reasonable certainty that the service and or practice meets NRCS standards. A functional review is not necessarily a comprehensive spot check or quality assurance review. Program rules regarding payment timelines will be honored. Deficiencies noted in the functional review will be handled as per the guidance in 407.02(t). Payment for services or practices that do not pass the functional review will not be authorized for payment (technical or financial assistance) until the noted deficiencies are corrected.

(ii) For each TSP registered less than three years or inactive TSPs regardless of registration length, the greater of either:

a) Three of each reported type of practice, or

MT407.20(c)(2)(ii)b)

MT407.20 Procedure.

b) Ten percent of each reported type of practice.

(iii) For each TSP registered for three or more years and actively providing technical assistance services to program participants, the greater of either:

a) One of each reported type of practice, or

b) Five percent of each reported type of practice.