

## Section G: Forms

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	<b>Document Number</b>
Checklist	AudCheck 00/01
Level Two Field Inspection Audit Checklist	InsCheck 00/01
Level Two Sampling Audit Checklist	SamCheck 00/01
OECD Sample Status Log	SamStat 00/01
Level Two Labeling Audit Checklist	LabCheck 00/01
Uniform Agency Field Application	HybApp 00/01
Guidelines for Corn Field Inspection	CornAccred 00/01
Accreditation Inspection Summary Record	
Guidelines for Sunflower Field Inspection	SunAccred 00/01

Official Accredited Organization List

Entity	State/location (one line for each location)	Contact name/phone/email	Approval date	Crop kind	Approval date (check all that apply)	Annual evaluation (yes/no)
					<input type="checkbox"/> All components <input type="checkbox"/> Inspection <input type="checkbox"/> Sampling <input type="checkbox"/> Testing <input type="checkbox"/> Labeling	
					<input type="checkbox"/> All components <input type="checkbox"/> Inspection <input type="checkbox"/> Sampling <input type="checkbox"/> Testing <input type="checkbox"/> Labeling	
					<input type="checkbox"/> All components <input type="checkbox"/> Inspection <input type="checkbox"/> Sampling <input type="checkbox"/> Testing <input type="checkbox"/> Labeling	
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					<input type="checkbox"/> All components <input type="checkbox"/> Inspection <input type="checkbox"/> Sampling <input type="checkbox"/> Testing <input type="checkbox"/> Labeling	
					<input type="checkbox"/> All components <input type="checkbox"/> Inspection <input type="checkbox"/> Sampling <input type="checkbox"/> Testing <input type="checkbox"/> Labeling	
					<input type="checkbox"/> All components <input type="checkbox"/> Inspection <input type="checkbox"/> Sampling <input type="checkbox"/> Testing <input type="checkbox"/> Labeling	
					<input type="checkbox"/> All components <input type="checkbox"/> Inspection <input type="checkbox"/> Sampling <input type="checkbox"/> Testing <input type="checkbox"/> Labeling	

Doc # AudCheck 00/01

## Audit Checklist -- Eligibility for Accreditation

Date of Audit	Entity/location being audited
Auditor(s)	

Criteria	Requirement	Activity Compliance	Comments/Remarks	
Managerial responsibility	Do you have a Quality Policy? (one page)			
	Do your employees understand the Quality Policy?			
	Do you have an organizational chart for accountability and responsibility?			
	Show organizational chart			
	Who are the key company contacts for accreditation?			Field inspection
				Sampling
			Testing	
			Labeling	
Who are your primary OECD certification contacts?				
Quality system	Do you have a documented quality system in place for those activities for which you are applying for accreditation?			
	Show copy of quality manual			
	Do you have standard operating procedures (SOPs) for each activity?			Field inspection
				Sampling
				Testing
			Labeling	
Is the latest edition of the OECD crop standards (or equivalent) available for your employees?				

Criteria	Requirement	Activity Compliance	Comments/Remarks
Control of critical documents	What is your system to assure key personnel are working with the latest version of your Quality Manual, SOPs and seed certification standards? (stamps, dates, electronic, revisions/versions, etc.)		
	How do you authorize the release of new documents?		
Identification and traceability of seed and seed sources	Do you have a system in place that allows seed to be tracked from planting through shipping (tags, maps, signs, electronic records, bar codes, etc.)?		
	Do you have procedures to segregate for conforming and non-conforming product (lot numbers, warehouse segregation, bin labeling, quality status indicators, etc.)?		
	Describe your system to comply with certification traceability requirements (tag records, bulk transfer certificates, inter-county permits, interagency transfer certificates, etc.).		
Process control	Show procedures, work instructions (SOPs) and documents (as applicable) for:		
	Field inspections		
	Sampling		
	Testing		
	Labeling		
Non-conforming seed	How do you assure segregation of non-conforming product to OECD seed scheme standards (physical segregation, labeling, electronic controls, etc.)?		
Quality records	Show quality record systems (as applicable) for:		
	Inspection		
	Sampling		
	Testing		
	Labeling		
Employee training	How do you assure employees are properly trained and competent to perform their responsibilities (records of who trained and in what area)?		

Doc # InsCheck 00/01

## Field Inspection Audit Checklist

Date of Audit	Entity/location being audited
Auditor(s)	

Criteria	Requirement	Activity Compliance	Comments/Remarks
Application process	Who is responsible for the applications?		
	Do you have a standard operating procedures (SOP) manual?		
	Do you have the applications on file from last year?		
Field maps	What is the SOP for the development of field maps?		
	How do you determine the isolation requirements?		
	How do you assure the correct products are planted in the field?		
Inspector training	How do you perform inspector training?		
	What are your training materials?		
	What training records exist?		
Isolation inspections	How do you assure the isolation requirements are being met?		
	What do you do if the isolation does not meet the requirements?		
	What records do you keep on isolations?		

<b>Criteria</b>	<b>Requirement</b>	<b>Activity Compliance</b>	<b>Comments/Remarks</b>
Purity inspections	What kind of purity inspections do you perform?		
	Are these inspection processes documented?		
	What records do you keep on these inspections?		
	What do you do if the inspection reveals purity that does not meet the certification requirements?		
Reports	Who is responsible for consolidating inspection information?		
	Who has access to these reports?		
	How are the fields which do not meet certification requirements identified?		
	Do you have final disposition report for fields with irregularities?		
Authorized Inspectors	Show list of authorized inspectors		

Doc # SamCheck 00/01

## Sampling Audit Checklist

Date of Audit	Entity/location being audited
Auditor(s)	

Criteria	Requirement	Activity Compliance	Comments/Remarks
Preconditioning samples	How do you gather samples for bulk materials?		
Conditioned samples	Where do you gather conditioned samples?		
	How do you gather conditioned samples?		
	If you sample sealed bags, what type of probe do you use?		
Carryover samples	How do you collect carryover samples?		
	Do you retest seed inventory that has been carried over from one season to the next?		
	How do you obtain your sample for the retest?		
All sampling activities	What references do you use to establish this procedure?		
	What information is placed on sample containers?		
	How do you store samples?		
	How large of a sample do you collect?		

	How do you know what seed this sample represents?		
	What do you do if the results do not meet the certification requirements?		
	Who is responsible for taking these samples?		
	What qualifies these people to take these samples?		
	What record do you have on the samples that have been taken and sent to labs for analysis?		
	How long do you retain these samples?		
Authorized samplers	Show list of authorized samplers		





Doc # LabCheck 00/01

## Labeling Audit Checklist

Date of Audit	Entity/location being audited
Auditor(s)	

Criteria	Requirement	Activity Compliance	Comments/Remarks
Product identification and traceability	What system do you use to track the status of the products in your location?		
	How do you know that a selected seed lot is qualified for OECD tags?		
	How do you verify that a hybrid name is on the OECD cultivar list?		
	How do you keep track of the inventory of OECD tags that you have?		
	How do you track tags that could not be used?		
Management responsibility	Who is responsible for ordering OECD tags?		
	How do they determine the quantity of tags needed?		
	How do you know these people are qualified for this role?		
Tag printing	How do you assure the correct information is printed on the tag?		
	What records do you have on tags printed and their accuracy?		
	How do you know these people are qualified for this role?		
Attaching labels	How do you attach labels to your packages?		
	How does the person know they are attaching the correct label to the correct package?		
	What happens if a label is not used?		
	What happens if a label is damaged?		
	What happens if you attach labels not eligible for OECD?		

	How do you track what labels were attached and how much material was labeled?		
<b>Criteria</b>	<b>Requirement</b>	<b>Activity Compliance</b>	<b>Comments/Remarks</b>
After labeling	What happens if the final tests on a label lot come back and the lot does not meet OECD requirements?		
	What happens if the germination date on the tag expires before shipping?		
	What reports or documents do you send to the OECD Program Manager and OECD Seed Certifying Agency?		
	Who is responsible for these reports and documents?		
	How do you know this person is qualified for this role?		
Obsolete labels	How do you identify obsolete labels?		
	How do you dispose of obsolete labels?		

**Use separate form for each field**

Date Received     /     /	State	<input type="checkbox"/> OECD accredited for certified hybrids only
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Applicant Name and address           Phone number	Grower Name and address           Phone number
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Field #	Hybrid/Inbred name or #	Gross Acres
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<p><b>Female</b></p> <input type="checkbox"/> Fertile only <input type="checkbox"/> Sterile only <input type="checkbox"/> Fertile & Sterile Ratio _____ (% not acres) Restorer used <input type="checkbox"/> Yes <input type="checkbox"/> No	<p><b>Female Pedigree/Planting Date(s)</b></p> <hr/> <p style="text-align: center;">Fertile Female</p> Planting date _____  <hr/> <p style="text-align: center;">Sterile Female</p> 1st planting _____ 2nd planting _____	<p><b>Lot Number</b></p> <p style="text-align: center;">must match Foundation seed tag</p> <hr/> <hr/> <hr/> <hr/>	<p><b>Color/Type of Crop</b></p> <hr/> <hr/>
<p><b>Male Pedigree/Planting Date(s)</b></p> <hr/> <p style="text-align: center;">Male</p> 1st planting _____ 2nd planting _____		<hr/> <hr/>	<hr/> <hr/>

Seed harvested will be classified as: <input type="checkbox"/> Certified hybrid <input type="checkbox"/> Foundation Single-X <input type="checkbox"/> Foundation Inbred <input type="checkbox"/> Service inspection Explain _____	Planting ratio _____ : _____ <p style="text-align: center;">Female                          Male</p> <hr/> County field location _____  <hr/> Phytosanitary inspection? <input type="checkbox"/> Yes <input type="checkbox"/> No (to be completed for IL, IN, KY & NE <b>ONLY</b> ) All others, contact appropriate state agency	<p><b>Previous crop kind</b></p> (if corn, note color & type)
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Attach a detailed map of field and give directions to field (include township and section number)

I am herewith making application for inspection and certification of the crop kind listed above. I agree to abide by the by-laws, rules, standards and regulations of the Association, and pay all fees and charges assessed by the Association. I agree that my application may be suspended or terminated if I violate any of the provisions of such by-laws, rules, standards and regulations, of if I engage or persist in practices likely to injure or discredit the Association. I understand it is the applicant's responsibility to so handle certified seed that its varietal identity is preserved through all stages of production, conditioning and shipping. I understand all information generated by this service will be kept confidential between the Association and me, except as necessary under USDA, OECD and other regulatory agencies' regulations. All liability for inspection shall be limited to the amount of the fees assessed for the inspection.

Applicant's signature	Date
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Document number: CornAccred 00/01

## **OECD CERTIFICATION FIELD INSPECTION ACCREDITATION GUIDELINES FOR HYBRID SEED CORN IN THE UNITED STATES**

### **GENERAL**

An accreditation program will be carried out for OECD certified hybrid seed corn. This program must be carried out in accordance with OECD Procedures. The U.S. OECD Program Manager, the state seed certifying agencies, and cooperating seed companies will work together to plan and execute the program.

### **APPLICATION FOR FIELDS**

The seed companies will complete applications for hybrid seed corn fields in the production location. All agency eligibility requirements must be met. Applications and maps for each field will be provided by the normal application due dates in each state. This will enable the agencies to provide regular inspections for the "control" acres as well as "spot check" inspections randomly across the entire acreage.

### **FEES**

Certification fees are set by individual agencies.

Fees for laboratory testing, tags/labels, post-harvest testing, post-control testing and other related services will be assessed by each agency in their usual manner.

### **INSPECTIONS**

The cooperating seed companies will carry out inspections for every field in the program. The following basic criteria will apply:

1. Every field will be inspected at least five times during the production season. At least three inspections will be made after 5% receptive silk. One of the three inspections will be made no earlier than 75% silk.
2. A minimum of five counts will be made in the female rows for each field of 20 acres or less in size to check for shedding tassels. Ten counts will be made in fields over 20 acres. A count will be 100 plants in the female rows. An alternative system of counts may be utilized by the company as approved by the agency.
3. Fields must not have at any time during pollination:
  - a. More than 1% shedding female tassels per one inspection
  - b. More than 2% shedding female tassels per three inspections
4. Purity will be determined with plant counts made in each parent (1000 plant minimum). Each parent must not contain more than .1% off-type plants during pollination.
5. The seedstocks planted must be certified Foundation seed, which is equivalent to OECD basic seed.
6. Additional specific procedures may be required by individual certifying agencies. These will be communicated to the seed companies.
7. If approved, inspection by the approved entities will be carried out according to inspection guidelines and standards established by the appropriate OECD Seed Certifying Agency.

For equivalency arrangements with the EU, the level of inspection required is at least 5% of the total acreage in the usual manner. During the inspection of these “control” fields, an attempt (as possible) shall be made by the agency inspectors and the accredited inspectors to jointly monitor and resolve major differences. The official inspection records shall be compared to the “accredited” inspection records at the end of the inspection season for all control fields. Agency records shall be used to determine final eligibility for certification if differences exist. The company shall receive regular reports during the season for all control fields. The agency shall have access to the field reports from the accredited field inspectors for all control fields during the season. The SCA and the approved accredited entity will provide immediate feedback to each other on fields which fail to meet the certification criteria at the time of discovery

The company inspectors’ records shall be used to determine the eligibility of the fields not inspected by the agency. A “summary sheet” (sample copy attached) shall be submitted to the agency for every field in the program at the close of the inspection season. The summary sheet shall include the following information:

1. Identification of the field. Hybrid name, field number, acres, location, etc.
2. A log of all inspections with a minimum of five inspections completed. This shall include the date, inspection number, inspectors name, percent shedding female tassels, number of counts, percent receptive silks, and remarks (if warranted).
3. A section listing the counts for seedstock purity.
4. A section for isolation information. If isolation is not acceptable at any time during the season, the inspector should check (✓) the appropriate areas on the form and explain how the problem may be corrected or describe or map the area not eligible for certification.
5. An area to check if the field is approved, not approved for certification or pending additional information.
6. The signature of the accredited inspector completing the report.

The agency shall randomly conduct “spot check” inspections for any of the fields in the program outside the control acreage. Spot checks may be single visits to check for specific information or may be complete inspections to obtain a “random” set of records for fields not in the control acreage. The agency shall use spot check inspection data to compare to the company inspectors’ records.

All inspection records shall be used to evaluate the accuracy and reliability of the accreditation system. These records shall be held in strict confidence by all parties.

## **POST HARVEST TESTING**

Agencies will reserve the right to audit genetic purity test data that the company performs and to request samples for independent third party testing.

## **POST CONTROL TESTING**

At least 5% of the labeled seed lots must have post control testing. Subsamples from the certification seed samples may be used for these post control grow out tests. Growouts will be conducted in the Agency’s customary manner and at a location selected by the agency.

## **REVOCAION OF ACCREDITATION**

The OECD Program Manager may withdraw accreditation privileges from a company production location for just cause. The criteria for evaluation include: 5% or more fields incorrectly passed by the company, failure to follow these Guidelines, failure to provide adequate documentation, failure to provide access to records, failure to provide documentation in a timely manner, and anything else that diminishes the ability of the agency to certify the seed, with confidence.

In addition, if an entity chooses not to participate in the Accreditation program for two consecutive years and is not being audited on an annual basis by a designated auditor then the entire program or locations not participating should be re-evaluated prior to re-instatement in the Program.

**ACCREDITATION INSPECTION SUMMARY RECORD**

COMPANY NAME & ADDRESS \_\_\_\_\_ Crop Year \_\_\_\_\_ Hybrid \_\_\_\_\_  
 Field # \_\_\_\_\_  
 Acres \_\_\_\_\_  
 County \_\_\_\_\_

Location: \_\_\_\_\_

**SEEDSTOCK PURITY RECORD**

MALE purity count \_\_\_\_\_ (Minimum count of 1000 plants)  
 Female purity count \_\_\_\_\_ (Minimum count of 1000 plants)

(Field not acceptable if more than .1% off type)

**RECORD OF DETASSELING INSPECTIONS**

Date	Insp. No.	Inspector	Hour	% Shedding Female Tassels	No of counts	% Receptive Silks in Female Tassels	% Shedding Male Tassels	REMARKS

(Field not acceptable if over 1% shedding tassels on any one inspection or if over 2% shedding tassels on any three inspections)

ISOLATION: OK  NOT OK  CORRECTED

1. Check "OK" if all isolation is within the certification standards.
2. Check "NOT OK" if the field is completely unacceptable due to isolation deficiencies.
3. Check "CORRECTED" if the field had an isolation program and was corrected.

Explain below the details of any field checked "NOT OK" or "CORRECTED". For example, "Sweet corn patch in northwest was mowed down on July 25." Or, "A 100 foot strip of seed along the east side cannot be saved for certification due to commercial corn to east." IF NECESSARY, PLEASE DRAW A MAP OF THE ISOLATION SITUATION ON A SEPARATE SHEET AND ATTACH TO THIS FORM.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

INSPECTION STATUS: \_\_\_ approved \_\_\_\_\_  
 \_\_\_ not approved Inspector Signature Date



Document number: SunAccred 00/01

## **OECD CERTIFICATION FIELD INSPECTION ACCREDITATION GUIDELINES FOR SUNFLOWER IN THE UNITED STATES**

### **GENERAL**

An accreditation program will be carried out for OECD certified hybrid sunflower seed. This program must be carried out in accordance with OECD Procedures. The U.S. OECD Program Manager, the state seed certifying agencies, and cooperating seed companies will work together to plan and execute the program.

### **APPLICATION FOR FIELDS**

The seed companies will complete applications for hybrid sunflower seed fields in the production location. All agency eligibility requirements must be met. Applications and maps for each field will be provided by the normal application due dates in each state. This will enable the agencies to provide regular inspections for the “control” acres as well as “spot check” inspections randomly across the entire acreage.

### **FEES**

Certification fees are set by individual agencies.

Fees for laboratory testing, tags/labels, post-harvest testing, post-control testing and other related services will be assessed by each agency in their usual manner.

### **INSPECTIONS**

The cooperating seed companies will carry out inspections for every field in the program. The following basic criteria will apply:

1. Every field will be inspected at least two times during pollination (early and full bloom).
2. A minimum of five counts will be made in the male and female rows for each field to check for shadders, off-types and wilds. A count will be 1000 plants. An alternative system of counts may be utilized by the company as determined by the agency.
3. The seedstocks planted must be certified Foundation seed.
4. Additional specific procedures may be required by the individual certifying agency. These will be communicated to the seed company.

For equivalency arrangements with the EU, the level of Agency inspection required is of the total acreage in the usual manner. During the inspection of these “control” fields, an attempt shall be made by the agency inspectors and the accredited inspectors to jointly monitor and resolve major differences. The official inspection records shall be compared to the “accredited” inspection records at the end of the inspection season for all control fields. Agency records shall be used to determine final eligibility for certification if differences exist. The company shall receive regular reports during the season for all control fields. The agency shall have access to the field reports from the accredited field inspectors for all control fields during the season. The agency will provide immediate feedback on fields which fail to meet the certification criteria at the time of discovery.

The company inspectors’ records shall be used to determine the eligibility of the fields not inspected by the agency. A “summary sheet” (sample attached) shall be submitted to the agency for every field in

the program upon completion of the last field inspection. The summary sheet shall include the following information:

1. Identification of the field. Hybrid name, field number, acres, location, etc.
2. A log of all inspections with a minimum of two inspections completed. This shall include the date, inspection number, inspector's name, percent of shedders, off-types and wilds, number of counts, nick percentage, bloom maturity ('R' stage for male and female), and remarks (if warranted).
3. A section for isolation information. If isolation is not acceptable at any time during the season, the inspector should check (✓) the appropriate areas on the form and explain how the problem may be corrected or describe or map the area not eligible for certification.
4. An area to check if the field is approved, not approved for certification or pending additional information.
5. The signature of the inspector completing the report.

The agency shall randomly conduct "spot check" inspections for any of the fields in the program outside the control acreage. Spot checks may be single visits to check for specific information or may be complete inspections to obtain a "random" set of records for fields not in the control acreage. The agency shall use spot check inspection data to compare to the company inspectors' records.

All inspection records shall be used to evaluate the accuracy and reliability of the accreditation system. These records shall be held in strict confidence by all parties.

### **POST HARVEST TESTING**

Agencies will reserve the right to audit genetic purity test data that the company performs and to request samples for independent third party testing.

### **POST CONTROL TESTING**

At least 5% of the labeled seed lots must have post control testing. Subsamples from the certification seed samples may be used for these post control grow out tests. Growouts will be conducted in the Agency's customary manner and at a location selected by the agency.

### **REVOCAION OF ACCREDITATION**

The OECD Program Manager may withdraw accreditation privileges from a company production location for just cause. The criteria for evaluation include: 5% or more fields incorrectly passed by the company, failure to follow these Guidelines, failure to provide adequate documentation, failure to provide access to records, failure to provide documentation in a timely manner, and anything else that diminishes the ability of the agency to certify the seed, with confidence.

In addition, if an entity chooses not to participate in the Accreditation program for two consecutive years and is not being audited on an annual basis by a designated auditor then the entire program or locations not participating should be re-evaluated prior to re-instatement in the Program.