



**The UK ESTA Internal Audit Checklist
European Seed Treatment Assurance (ESTA)
Quality Assurance Scheme for Seed Treatment and Treated Seed**

To be used in conjunction with the UK ESTA Quality Assurance Scheme

Effective from June 2020

ESTA 2020 Checklist

| | Requirement | Area for recording company compliance |
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| Section 4 of the ESTA Standard | Management System | |
| E 4.1 | Top management must commit to the implementation and continual improvement of the QA system (Policy Statement) | |
| E 4.2 | The participant must demonstrate how the business maintains a knowledge of current legislation. | |
| E 4.3 | The interrelation of staff and job functions within the participants operation shall be defined in an organisation chart. | |
| E 4.4 | Responsibilities in the company must be defined. | <i>Responsibilities have to be defined at least for the seed treatment plant and its management.</i> |
| E 4.5 | A management representative shall be responsible for the activities necessary to fulfil the requirements of this standard and for reporting to top management on performance of the quality assurance system and on possible improvements. | |
| E 4.6 | Organizations must have a system in place for continual improvement. This system may include: (I) measurements of critical process parameters (II) periodical customer satisfaction reviews (III) registration, analysis and mitigation of customer complaints (IV) registration, analysis and mitigation | |

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| | of internal complaints, errors and non conformities (V) corrective and preventive measures insofar these are not dealt with in the points I to IV | |
| E 4.7 | A review shall be performed at least annually to evaluate functioning of the Quality Assurance system. | |
| E 4.8 | Documents required by this standard shall be controlled. | |
| E 4.9 | Companies must keep records to allow for full tracking and tracing of all incoming, stored and outgoing products. | <i>"Products" are seed treatment chemicals, seeds and treated seeds.</i> |
| E 4.10 | Companies must have a process to recall nonconforming product. Including any processes for handling/reworking nonconforming products. | |
| E 4.11 | Terms and conditions (T&C'S) The company must have a system in place to ensure that customers'/ recipients' current terms and conditions are clear, unambiguous, recorded and acted on. Terms and conditions must be communicated to, and understood by, all relevant staff and subcontractors. | |
| E 4.12 | Specifications The company must send or receive a contract specification confirming details of the sale/purchase between the merchant and the customer/recipient, unless the customer/recipient elects not to receive such confirmations. | |
| E 4.12.1 | Specification differences Where there is a known difference in specification this must be resolved and actions recorded. | |
| Section 6 of the ESTA Standard | Process description | |
| E 6.1 | Process Measurements to assure process and product quality must be defined. | |

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| | 6 HACCP (Hazard Analysis Critical Control Point) | |
| E 6.2 | <p>A formal food/feed safety HACCP must be carried out with the aim of identifying and controlling any hazards that might adversely affect the integrity of food/feed. HACCPs must be carried out in accordance with recognised HACCP principles as summarised below</p> <ul style="list-style-type: none"> • establish a HACCP team • define process steps • carry out hazard analysis • establish prerequisites • establish critical limits • identify Critical Control Points • implement control measures • establish corrective actions • establish documentation required | |
| E 6.3 | The HACCP must include a procedure for product recall. A mock recall must be conducted at least once per year to prove the traceability system. | |
| E 6.4 | The HACCP must be reviewed annually and recorded | |
| Section 7 of the ESTA Standard | Staff training | |
| E 7.1 | Staff must receive training for all work that they are expected to undertake. | |
| E 7.2 | The designated person must ensure that all staff covered by the scope of the standard are provided with written instructions that confirm their duties and the procedures. | |
| E 7.3 | <p>Training records must be maintained for all staff (permanent and temporary). They must include the following as a minimum:</p> <ul style="list-style-type: none"> • An understanding of the purpose this standard • Any in-house procedures implementing the detailed requirements | <i>Examples of training could be BASIS and certificated of competence for handling PPPs.</i> |

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| | of this standard <ul style="list-style-type: none"> • Worker safety | |
| E 7.4 | Training must be documented and signed and dated by the trainer and trainee | |
| E 7.5 | Review of training and competence must take place annually and recorded. | |
| Section 8 of the ESTA Standard | Specific requirements for companies in various parts of the seed treatment chain | |
| E 8 | The companies in the various parts of the seed treatment chain deal with different processes which have specific requirements. In general, participants must take measures to ensure all processes conform to ESTA and that records are kept. | <i>For certified seed production, the requirements of this section are met through the official seed certification system and are therefore not audited under ESTA.</i> |
| | 8.1 Seed treating companies/seed providers | |
| E 8.1 | Seed shall meet crop-specific criteria on moisture and cleanliness agreed with the seed treating company. | |
| | 8.2 Seed treating companies (and in-house facilities) – statics and mobiles | |
| E 8.2 | The seed treatment process, including the recipes used to prepare the seed treatment and the equipment used, must have a proven stability/reliability and be monitored. Ensure treated seed meets reference standards where they apply and ensure that all dust checks and machinery calibration are carried out. | |
| E 8.2.1 | Based on the HACCP, samples shall be taken, maintained and tested for dust levels with the standard Heubach test, according to a defined scheme. Treated seeds that exceed the industry dust reference values or any legal | |

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| | requirements if lower shall not be put on the market (For further information see Annex 4). | |
| E 8.2.2 | A summary of Heubach test results must be issued to AIC annually so they are compiled and sent to Euroseeds anonymously as a requirement of the scheme. | |
| E 8.2.3 | Treated seed shall be labelled according to national requirements. | |
| E 8.2.4 | Adequate measures are to be in place for waste handling and disposal. | |
| | 8.3 Transport & logistics | |
| E 8.3 | Seed is sensitive to environmental influences. Great care should be taken to avoid temperature extremes, moisture and rough handling. Guidance on seed handling must be provided to the transport company. | |
| | 8.4 Farmers, growers, plant raisers and contractors drilling/planting the treated seed | |
| E 8.4 | The ESTA participant must make available to the farmer, grower etc. information on the correct use of the seed. Treated seed returned from distributors or farmers cannot be re-shipped without assuring that the seed still meets requirements. | |
| | 8.5 Suppliers of crop protection products and other seed treatment components | |
| E 8.5 | Suppliers shall provide material safety data sheets (MSDSs) (or COSHH data sheets) and further documentation relevant for correct and safe use (and disposal if relevant) of their products. | |