

Checklist to Assist with Compliance Reviews



Note: NAU will check records for past reviews that cover the crop and county being reviewed. If you are aware that a review or loss with NAU Country or any other approved insurance provider ("AIP") had been completed on the same crop and county, please contact the NAU Compliance Department and provide the company name and policy number.

When conducting an APH Review, the reviewer shall determine if the insured's acreage and production evidence support the amounts certified on the production report. Production and acreage evidence, labeled by crop year, for the previous three crop years is required. If newly certified, provide records for each certified crop year.

The following "hard" copy records are acceptable and **must be separate by crop year**. 100% of the production must be provided, not just the insured's share.

Sold or commercially stored production: verify harvested production records against third-party settlement/ledger/assembly sheets or storage receipts/summary from but not limited to:

(a) Commercial Elevators	(b) Packing Houses	(c) Mills	(d) Gins
(e) Seed Companies	(f) Marketing Cooperatives	(g) Warehouses	(h) Processors

Farm-Stored Production: Acceptable records include actual measurements completed by FSA or an Approved Insurance Provider:

- If a bin/structure contains production from a previous crop year, a disinterested third-party measurement is required before adding current year crop.
- If current year production in bin has not been measured, contact the Compliance Advisor or the Field Claim Manager to arrange for measurement.
- FSA or CCC loan records must provide evidence of production that was determined **and verified** by an authorized representative of FSA or CCC in order to be acceptable.

Precision Farming Technology or Automated Yield Monitoring System farm management records are acceptable if the system is properly calibrated, by crop, in accordance with the owner's manual (manufacturer) specifications. The sensor calibration must result in an error rate of three percent or less based on actual production from the sample acres. The yield map or production summary report generated by the yield monitoring system must provide all of the required information (see NAU County APH brochure for the specific requirements).

Livestock Feeding Records: Contemporaneous livestock feeding records **will not** be required if all production is determined (either by having production measured or appraised by the AIP) or by other allowable farm management records prior to insured feeding production. Insureds request to measure prior year(s) production must be made *at least 15 days* before the beginning of harvest of the current year production to allow time for the AIP to conduct a field visit.

Unharvested acreage appraisals: Must be performed by a(n) authorized AIP or FSA personnel to be acceptable. If acreage of the crop was destroyed/put to another use and an appraisal of the potential production was not made (not requested for APH database purposes or no claim), the production report will indicate the planted acres and a yield of zero.

Claim production: any unit with a prior year claim payment uses that determined production for the actual yield.

To separate production on hard records by unit, legal description, practice, type or variety, the following "soft" records are acceptable and must be included for every unit.

Combine monitor records: Includes Non-Precision Farming Technology Systems if the equipment is not RMA approved and/or there are no acceptable calibration reports available. Insureds must also identify the unit number that correlates with the field identification on the records.

Field harvest records / Load records: Truck, wagon, or hopper loads that are documented by weight tickets, grain carts, or conveyance measurements. To be acceptable, each individual scale weight ticket or record for each load must be available and must provide the required information (see NAU County APH brochure for the specific requirements).

- When scale weights are from a grain cart that cannot produce printed electronic records or weight tickets, but the grain cart has an integrated display panel, a record is considered a handwritten contemporaneous log if the insured has recorded all of the information required each grain cart load weighed.

Structure Markings: AIP may authorize insured to use their own markings to keep the production separate provided they meet the criteria and adhere to the instructions provided by the AIP. This must be completed prior to harvest and only applies to the current crop year production.

Acreage verification must be included for all crops and units for each year subject to review. Examples of acceptable acreage documentation includes:

- FSA 578s: labeled by unit number or legal description or provide maps for each legal description.
- CIMs data;
- Copy of deeds, leases, real estate tax documentation, measurement service (by AIP, FSA, or disinterested third-party), Precision Farming Technology System (PFTS) - calibrated, or other proof of acres. These are acceptable only if FSA or CIMs 578s are not available, and only if specially reported as to why other documentation is not available.

Additional tips to expedite review processing:

- Number** all pages submitted in lower right-hand corner of document to facilitate resolution of questions.
- Verify** that total certified production and acres by year have acceptable records submitted that reflect the totals.
- Sort and group** records by crop year and label properly by year, unit, etc.
- Do not submit original documents**, provide copies only.

NAU Country Compliance Department contact information:

Compliance District	States	Compliance Processor
Eastern District Jason Rowekamp, Manager Jason.Rowekamp@naucountry.com Phone: 763-433-2091	IL, IN, MI, MN, NY, OH, PA, SD, WI and all New England states	Mike Blazel Mike.Blazel@naucountry.com Phone: 715-552-2137 Linda Dutter-Tio Linda.Dutter-Tio@naucountry.com Phone 715-552-3106
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