



FSMA Produce Safety Rule

Recordkeeping Guide

Table of Contents

Recordkeeping Requirements	3
Recordkeeping Checklist	4
Optional Records	7
Record Templates	8
Worker Training Log	8
Agricultural Water Inspection	9
Cleaning and Sanitizing Log	10
Agricultural Water Assessment	11
Water Treatment Monitoring Log	13
Farm Disclosure Statement	14
Buyer Written Assurance Statement	15
Compost Treatment Log	16
Illness and Injury Log	17
Restroom Monitoring and Cleaning Log	18
Rodent and Pest Monitoring Log	19
Soil Amendment Application Log	20
Visitor Log	21
Wildlife & Domestic Animal Monitoring Log	22
Cold Storage Calibration Monitoring Log	23
ISDA Verification Form	24
Qualified Exemption Worksheet	26

Recordkeeping Requirements

Unless otherwise stated, all records must:

- Be retained for 2 years
- Be legible, accurate, and indelible
- Be created at the time the activity or observation occurs
- Be dated and signed or initialed by the person who performed the activity
- Be readily available or accessible
- Include the name and location of your farm
- Include the location of the area as applicable (e.g., the field, packing shed, or storage area)
- Include a description of the covered produce as applicable (e.g., commodity name, variety, or lot number)

Acceptable record formats include:

- Original records
- True Copies (e.g., photocopies, pictures, scanned copies, microfilm, microfiche, or other accurate reproductions of the original records)
- Electronic records

Existing records that are already kept to comply with other regulations, audit standards, or any other reason do not need to be duplicated if they satisfy the requirements of the Produce Safety Rule (Title 21 CFR 112). Existing records may be supplemented to include all the required information.

PLEASE NOTE:

YOU SHOULD CONSULT THE PRODUCE SAFETY RULE (PSR) ITSELF AND NOT RELY SOLELY ON THIS DOCUMENT FOR YOUR INDIVIDUAL FARM NEEDS TO ENSURE COMPLIANCE WITH ALL REQUIREMENTS OF THE RULE.

THIS DOCUMENT IS INTENDED TO PROVIDE A BROAD OVERVIEW OF RECORDKEEPING REQUIREMENTS UNDER THE PSR. SOME RECORDS IN THIS DOCUMENT WILL NOT APPLY TO ALL FARMS.

Recordkeeping Checklist

RECORD	FREQUENCY	DESCRIPTION	COVERAGE
<i>If your operation is covered under the Produce Safety Rule:</i>			
Worker Training [§112.30, §112.22]	As necessary, but at least annually	Training records must include the date, topics covered, and the names of employees trained. A supervisor must review, sign, and date the record.	Required
Agricultural Water System Inspection [§112.42(a)]	As necessary, but at least annually	The findings of agricultural water inspections, including the nature of each source, the extent of control, the degree of protection, adjacent land use, and the likelihood of introduction of hazards to agricultural water must be documented.	Required
Cleaning & Sanitizing [§112.140]	As necessary	Cleaning and sanitizing records must be kept for equipment used during harvesting, packing, or holding activities.	Required
Agricultural Water Assessment [§112.43]	As necessary, but at least annually	The agricultural water assessment must include the location and nature of each water source, the type of distribution system, the degree of protection from possible contamination, the type of water practices associated with each system (including irrigation method, time interval between application and harvest, etc.), crop characteristics, environmental conditions, and other relevant factors. A supervisor must review, sign, and date the record.	Required if applicable (see [§112.43(b)] for exemptions)
Water Treatment Monitoring [§112.46(c)]	As necessary	Water treatments must be monitored with an adequate method and frequency to ensure agricultural water is consistently safe. A supervisor must review, sign, and date the record.	Required if applicable
Water Tests (Untreated Ground Water) [§112.44(b)]	At least 4 times over a period of one year, then annually thereafter	If using untreated groundwater for washing hands, for cleaning food contact surfaces, and for harvest and post-harvest activities, the water must be tested and the results documented in accordance with §112.44(b). A supervisor must review, sign, and date the record.	Required if applicable
Water Tests (Public Water) [§112.44(c)]	Annually	If using public or municipal water, documentation of analytical results or certificates of compliance must be kept on record. A supervisor must review, sign, and date the record.	Required if applicable

Outcomes and Mitigation Measures [§112.45]	As necessary	Outcomes and measures resulting from the Agricultural Water Inspection, Agricultural Water Assessment, or water testing must be documented. This may be recorded within the aforementioned records or in a separate log. A supervisor must review, sign, and date the record.	Required if applicable
Microbial Die-off Method scientific data or information [§112.45(b)]	As necessary	If using microbial die-off intervals in the field, in storage, or during other activities, scientifically valid data or information that supports the adequacy of the method must be kept on record.	Required if applicable
Water Treatment Method scientific data or information [§112.46]	As necessary	If using alternative water treatment methods, scientifically valid data or information that supports the adequacy of the method must be kept on record.	Required if applicable
Alternative Mitigation Measures [§112.45]	As necessary	If using an alternative mitigation measure, as described in §112.45(b)(1)(vi), records must include scientifically valid data or information that demonstrates the measure will result in the same level of public health protection as the measures listed in §112.45.	Required if applicable
Alternative Analytical Methods	As necessary	If using alternative testing criteria, frequency, or indicator organisms, scientific data or information that supports the adequacy of the method must be kept on record.	Required if applicable
<i>If your operation qualifies for a qualified exemption:</i>			
Qualified Exemption Review – ISDA Verification Form [§112.7]	Annually	If claiming a qualified exemption, an annual review of farm sales must be performed and documented to ensure the requirements of §112.5 are met. In Idaho, this means submitting a Verification Form to the Idaho State Department of Agriculture annually and keeping the official Coverage Letter in your records for at least 3 years.	Required if applicable
Sales Records [§112.7]	As necessary	If claiming a qualified exemption, annual sales records must be kept for at least 3 years.	Required if applicable

For more information about qualified exemptions, refer to Subpart A, §112.5 of the Produce Safety Rule. You may also refer to the resources at <https://agri.idaho.gov/fsma-hemp-hops/produce-safety/> or the qualified exemption worksheet included on page 26 of this document.

If your operation qualifies for a commercial processing exemption:

Farm Disclosure Statement [§112.2(b)]	With each shipment	If claiming a commercial processing exemption, the applicable produce must be accompanied by a disclosure statement as required by [§112.2(b)(2)]. A record of the statement must be kept.	Required if applicable
Buyer Written Assurance [§112.2(b)]	Annually	If claiming a commercial processing exemption, you must obtain written assurance from the customer as required by [§112.2(b)(3)].	Required if applicable

If your operation uses biological soil amendments of animal origin (BSAAO):

Third Party Compost Treatment & Handling [§112.60]	Annually	If receiving treated BSAAOs from a third party, you must keep documented certification or assurance that the process used to treat the BSAAO is scientifically valid and carried out with appropriate monitoring, and that the BSAAO has been handled to minimize the risk of contamination by an untreated BSAAO.	Required if applicable
Compost Treatment [§112.54]	As necessary	If producing treated BSAAOs for your own covered operation, you must document the applicable process controls (e.g., time, temperature, turnings). A supervisor must review, sign, and date the record.	Required if applicable

Optional Records

The following records are **not** required under the provisions of the Produce Safety Rule. These records are

Illness and Injury Log	As necessary	Covered farms may choose to record injury and illnesses of employees to better document potential sources of contamination.
Restroom Monitoring & Cleaning	As necessary	Covered farms may choose to record restroom monitoring and cleaning activities to ensure restrooms are properly cleaned, maintained, and stocked.
Rodent & Pest Monitoring	As necessary	Covered farms may choose to record rodent and pest monitoring activities to better manage rodent and pest control.
Soil Amendment Application	As necessary	Covered farms may choose to record when they apply soil amendments to covered produce to ensure proper application and time intervals are met.
Visitor Log	As necessary	Covered farms may choose to record visitors that are at the farm.
Wildlife & Domestic Animal Monitoring	As necessary	Covered farms must take actions reasonably necessary to ensure that wildlife and domesticated animals do not contaminate covered produce. Records may assist farms in managing animal activity.
Cold Storage Calibration Monitoring	As necessary	Covered farms are required to keep cold storage temperature monitoring devices accurate and maintained. Documenting calibrations is one way to demonstrate maintenance.

Worker Training Log

PSR Required

FSMA PSR reference § 112.30

Frequency: At Least Annually

Farm Name & Address:

Date of Training:

Name of Trainer: _____ Time of Training: _____

Topics Covered in Training: _____

Please attach any training materials used. Attach additional sheets if needed.

Employee Name (printed)

Employee Signature

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Reviewed by

Title:

Date:

Agricultural Water Inspection

PSR Required

FSMA PSR reference § 112.42

Frequency: At least annually

Farm Name & Address:

Date of Inspection:

Please refer to Subpart E of the Produce Safety Rule and your farm standard operating procedures for specifics on water system inspections.

PLEASE ATTACH ADDITIONAL SHEETS IF REQUIRED.

Water Source (<i>inspection must be completed for each agricultural water source</i>):	Date:	
Nature of the water source (e.g., ground, surface) and initial observations:		
Extent of control over water source:		
Potential hazards from adjacent or nearby land users:		
Degree of protection from identified hazards:		
Outcomes or Mitigation Measures (if applicable):		
Does inspection indicate the water is safe (y/n):		Initials:

Cleaning & Sanitizing Log

PSR Required

FSMA PSR Reference § 112.140

Frequency: As necessary

Farm Name & Address:

Month and Year:

Please refer to the farm's standard operating procedures (SOP) for adequate cleaning and sanitizing practices

C = Cleaned S = Sanitized

Date	Time	Surface, Tools, or Equipment	Cleaned (C) and/or Sanitized (S)	Methods Used	Initials

PLEASE KEEP A COPY OF THE SANITIZER LABEL FOR YOUR RECORDS

Reviewed by	Title:	Date:
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Agricultural Water Assessment

PSR Required	FSMA PSR reference § 112.43	Frequency: At least annually
Farm Name & Address:		Date of Inspection:

Please refer to Subpart E of the Produce Safety Rule and your farm standard operating procedures for specifics on water system inspections.
PLEASE ATTACH ADDITIONAL SHEETS IF REQUIRED.

Water Source (assessment must be completed for each agricultural water source):

Assessment Elements §112.43 (a)	Factor	Observation/Condition	Assessment of how observation or condition could influence risk
Agricultural Water Systems	Location and nature of source		
	Type of distribution system		
	Degree of protection from possible sources of contamination listed in 112.43(a)(1)(iii)	(other water users)	
		(on farm animal impacts or other on-farm hazards)	
		(off-farm users)	

Water Use	Method of application		
	Timing of application to crops		
Crop Characteristics	Adhesion, internalization		
Environmental Conditions	Rainfall, temperature, sunlight		
Other Factors	Testing Results		

Written determination(s) for this agricultural water:

- ☐ Water is not safe, or not of adequate sanitary quality for its intended use
- ☐ One or more **off-farm** uses related to animal activity, application of BSAAO, human waste are reasonably likely to introduce pathogens to the water source
- ☐ One or more condition(s) **on-farm** are reasonably likely to introduce pathogens to the water source, or off-farm conditions **not related** to animal activity, BSAAO, or human waste
- ☐ No reasonably foreseeable hazardous conditions limit this use of the water source

Reviewed by: _____

Title: _____ Date: _____

Water Treatment Monitoring Log

PSR Required (if applicable)

FSMA PSR reference § 112.50

Frequency: As necessary

Farm Name & Address:

Month and Year:

Please refer to Subpart E of the Produce Safety Rule and your farm standard operating procedures for specifics of adequate water treatment.

Date	Time	Water pH	Water Temperature	Turbidity	Sanitizer Used & Rate*	Corrective Actions	Initials

*Please keep chemical labels (copy or original) with record

Reviewed by	Title:	Date:
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Farm Disclosure Statement

(Produce Safety Rule Commercial Processing Exemption Documentation)

PSR Required (if Applicable)
shipment

FSMA PSR Reference § 112.2

Frequency: With each applicable

For Produce Sold to Commercial
Processors

DISCLOSURE TO ACCOMPANY THE PRODUCE SHIPMENT

Dear _____, (*Customer name*)

The produce you purchased (listed below) from _____ (*farm name*) on _____ (*date*) was grown, harvested, or packed in conditions that may or may not comply with all the provisions of the Food Safety Modernization Act Produce Safety Rule. **This produce has not been processed to adequately reduce the presence of microorganisms of public health significance.** To protect public health and gain compliance with the rule, this produce must be processed adequately to reduce the presence of microorganisms of public health significance prior to entering commerce.

Lot # _____ Description _____ Quantity _____

Lot # _____ Description _____ Quantity _____

Sincerely,

(*Authorized Farm Representative Name & Title*)

Please attach additional pages if more lots or descriptions are needed.

(Please note that the farm [seller] must keep a record of all disclosures made. An appropriate record may include a ledger of all shipments with an example disclosure document or copies of the original shipping document containing the disclosure statement).

Buyer Written Assurance Statement

(Produce Safety Rule Commercial Processing Exemption Documentation)

PSR Required (if Applicable)
Annual

FSMA PSR Reference § 112.2

Frequency:

For Produce that is Commonly Consumed
Raw

PROCESSING ASSURANCE STATEMENT

Dear _____, (*Grower name*)

I certify that all produce intended for commercial processing purchased from _____ (*farm name*) will be processed and/or handled in accordance with the requirements outlined in 21 Code of Federal Regulations 112.2 (b).

I certify that _____ (*buyer business name*) has established and is following procedures (listed below) that adequately reduce the presence of microorganisms of public health significance; or that the aforementioned produce will be sold to a subsequent entity in the distribution chain that has agreed in writing to process the produce to adequately reduce the presence of microorganisms of public health significance. Disclosures and annual written assurances that are required when selling the aforementioned produce to a subsequent entity in the distribution chain will be provided and obtained.

Procedure used to process produce: _____

Sincerely,

(*Authorized Representative Name & Title*)

(*Authorized Representative Signature & Date*)

(Please note that the farm must keep a record of all written assurances).

Compost Treatment Log

Frequency: As needed

Farm Name & Address:	Year:
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Section 112.54 (b) of the PSR provides an example of proper compost production that satisfies the microbial standards in section 112.55 (b). Static composting outlined in the rule requires a minimum temperature of 131°F to be maintained for 3 days. Turned composting outlined in the rule requires a minimum temperature of 131°F for 15 days, during which the materials must be turned 5 times (FSMA Produce Safety Rule).

[illegible]

Reviewed by	Title:	Date:
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Illness and Injury Log

PSR Optional Record

FSMA PSR Reference § 112.31

Frequency: As necessary

Farm Name & Address:

Year:

See the farm policy for information on addressing employee injuries and illness.

Date	Name of Employee	Illness/Injury Reported	Action Taken (Medical Treatment) (Tools/product affected and corrective action)	Did employee return to work? (Y/N)	Supervi sor Initial s

Reviewed by

Title:

Date:

Restroom Monitoring & Cleaning Log

PSR Optional Record

FSMA PSR Reference § 112.129

Frequency: As necessary

Farm Name & Address:

Month and Year:

Date	Restroom # or Location	Checked	Cleaned	Serviced	Actions Completed (ex. special maintenance required, supplies filled, etc.)	Initials

Reviewed by

Title:

Date:

Rodent & Pest Monitoring Log

Frequency: As necessary

Farm Name & Address:	Month and Year:
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[illegible]

***If using a company for service, please attach report or receipt of service for all visits.**

****List type of control methods used (ex. exclusion, traps, poison, repellants, etc.)**

Reviewed by	Title:	Date:
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Soil Amendment Application Log

PSR Optional Record

FSMA PSR Reference Subpart F

Frequency: As necessary

Farm Name & Address:

Year:

This form should be used to record soil amendments applied to fields on your farm.

Date	Crop	Location	Quantity Applied	Application Method	Amendment Type	Planting Date	Harvest Date	Initials

Reviewed by

Title:

Date:

Visitor Log

PSR Optional Record
necessary

FSMA PSR Reference § 112.33

Frequency: As

Farm Name & Address:

Month and Year:

See the farm policy for information on food safety procedures for visitors.

Date	Enter Time	Exit Time	Name & Organization	Purpose of Visit	Visitor Policy (Y/N)?	Host (initials)

Reviewed by

Title:

Date:

Wildlife & Domestic Animal Monitoring Log

PSR Optional Record
necessary

FSMA PSR Reference § 112.81

Frequency: As

Farm Name & Address:

Month and Year:

Date	Field or Location	Activity or intrusion Observed?	Corrective Action Taken	Date of Corrective Action	Initials

Reviewed by

Title:

Date:

Cold Storage Calibration Monitoring

PSR Optional Record

FSMA PSR Reference § 112.124

Frequency: As necessary

Farm Name & Address:

Month / Year:

Date	Equipment	Criteria	Corrective Action(s)	Next Calibration Due	Initials

Reviewed by	Title:	Date:
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FOOD SAFETY VERIFICATION FORM

Name of Farm:

Business Phone:

Farm Business Address:

City:

State:

Zip Code:

County:

Farm Mailing Address:

☐ Same as Business Address

City:

State:

Zip Code:

County:

Website:

Business Email:

Primary Contact:

Phone:

Email:

Additional Contact:

Phone:

Email:

1. What does your farm grow, harvest, pack, or hold? Please check all that apply.

- | | | | | | |
|---------------------------------------|-------------------------------------|---|---------------------------------------|--------------------------------------|---------------------------------------|
| ☐ Apples | ☐ Cantaloupe | ☐ Grapes (all types) | ☐ Melons* | ☐ Peas* | ☐ Scallions |
| ☐ Alfalfa | ☐ Chard | ☐ Hay | ☐ Microgreens* | ☐ Peppers* | ☐ Spinach |
| ☐ Apricots | ☐ Cherries* | ☐ Herbs* | ☐ Mint* | ☐ Plums | ☐ Squash* |
| ☐ Beans* | ☐ Corn | ☐ Hops | ☐ Mushrooms | ☐ Pluots | ☐ Strawberries |
| ☐ Blackberries | ☐ Cucumbers | ☐ Huckleberries | ☐ Onions | ☐ Potatoes | ☐ Sugar Beets |
| ☐ Blueberries | ☐ Garlic | ☐ Kale | ☐ Peaches | ☐ Radish | ☐ Tomatoes |
| ☐ Cabbage | ☐ Grain* | ☐ Lettuce | ☐ Pears | ☐ Raspberries | ☐ Other* |

**If commodity has an * or is not listed above, add crop or variety below: (ie: Bell Peppers, Carrot Seed, Summer Squash, etc.)*

2. Approximate total farm acreage:

☐ 0-10 ☐ 11-100 ☐ 101-500 ☐ 501-1,000 ☐ 1,001-2,500 ☐ 2,501-5,000 ☐ 5,000<

3. Are you: ☐ Growing ☐ Harvesting ☐ Packing ☐ Holding ☐ Other:

4. Approximate volume of all commodities:

☐ <5,001 lbs. ☐ 5,001-10,000 lbs. ☐ 10,001-50,000 lbs. ☐ 50,001-100,000 lbs. ☐ 100,001-150,000 lbs. ☐ 150,000< lbs.

5. What month do you start and end the following activities?

Planting		Harvesting		Packing	

6. To all that apply, fill in the percentage of your food (all food or drink for people or animals) that is sold to retail, farmers markets, food stands, distributors, or other (please specify).

Retail: Farm Stand: Farmers Market: Distributor: CSA: Other:

7. Irrigation Water Source(s): ☐Ground (Well) ☐Surface (Canal, Pond, Rain, etc.) ☐Public (Municipal)

8. Irrigation Method: ☐Drip ☐Sprinkler/Rain ☐Furrow/Flood

9. Has a responsible person within your operation attended a Produce Safety Alliance Grower Training? ☐Yes ☐No

10. Is 100% of your produce used for personal consumption on your farm? ☐Yes ☐No

11. Does your produce receive commercial processing (a kill step – pasteurization, cooking, etc.) that adequately reduces the presence of microorganisms of public health significance? ☐Yes ☐No

If YES, you must obtain written assurance from the processor as outlined in §112.2(b)(2)(3) and apply for an exemption with ISDA.

12. Do you receive any 3rd party audits? (Ex: GAP, Harmonized GAP, etc.) ☐Yes ☐No

If yes, which audit?

13. Do you have a Food Safety Plan? ☐Yes ☐No

For help with Questions 14 & 15, please use the “[Average Annual Sales Worksheet](#)” (link below).

**Monetary value is used strictly to determine the size of your operation as defined by the Produce Safety Rule.*

14. Previous 3-year average of all produce sales (items checked or listed previously).

☐ <\$25,000 ☐ Very Small (\$25,000-\$250,000) ☐ Small (\$250,000-\$500,000) ☐ Large (\$500,000<)

15. Previous 3-year average of all food sales. (Food as defined in §112.3(c)(1): all food or drink for people or animals)

☐ <\$25,000 ☐ Very Small (\$25,000-\$250,000) ☐ Small (\$250,000-\$500,000) ☐ Large (\$500,000<)

QUALIFIED EXEMPT FARMS MUST ANNUALLY REVIEW FARM SALES RECORDS,

Mail to: ISDA FSMA PO Box 7249 Boise, ID 83707

Email to: fsma@isda.idaho.gov

Phone: (208) 332-8502

Idaho State Department of Agriculture 2270 Old Penitentiary Rd Boise, ID 83712

FOR OFFICIAL USE ONLY

Date Received:

Date Reviewed:

Reviewed By:

Paperwork reviewed by supervisor and no discrepancies: Yes ☐ No ☐ *If No, provide comment:*

COMPLETE THIS FORM, AND SUBMIT TO ISDA FOR RENEWAL CONSIDERATION.

Qualified Exemption Worksheet

This form is for your use only to assist in calculating produce sales. Please do not return this form to ISDA.

Qualified Exemption from the Produce Safety Rule (PSR)

How to find your Total Average Annual Food Sales to qualified end-users:

Sales receipts or records reflecting **total food sales to qualified end-users** over the previous three (3) calendar years:

Year 1 Food Sales to qualified end-users	+	Year 2 Food Sales to qualified end-users	+	Year 3 Food Sales to qualified end-users	÷	3	=	Total Average Annual Food Sales to qualified end-users

How to find your Total Average Annual Food Sales:

Sales receipts or records reflecting **total food sales** over the previous three (3) calendar years:

Year 1 Food Sales	+	Year 2 Food Sales	+	Year 3 Food Sales	÷	3	=	Total Average Annual Food Sales

***Food:** means (1) articles used for food or drink for man or other animals, (2) chewing gum, and (3) articles used for components of any such article, and includes seeds and beans used to grow sprouts.

How to find your Percentage of Food Sales to qualified end-users:

*Qualified end-users are consumers of **food** or restaurants or retail food establishments that are in the same state or Indian reservation as the farm that produced the food, or not more than 275 miles from such farm. Both of the following requirements must be met for qualified exemption: (1) more than 50% of your average annual **food** sales are to qualified end-users and (2) annual **food** sales are less than \$500,000. 21 CFR §112.5 (a)(1)(2)

To be eligible for a qualified exemption and modified requirements, more than half of your average annual food sales must be sales to a qualified end-user and total food sales cannot exceed \$500,000 during a calendar year.

Average Annual Food Sales to qualified end-users (3 - years)	÷	Total Average Annual Food Sales	X	100	=	Percent of sales to qualified end-user