


## Records Required by the FSMA Produce Safety Rule

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*\*This publication has not been approved by the FDA and should not be considered legal guidance. It is provided in response to PSA training participants who asked for examples of records required by the FSMA Produce Safety Rule.*

The FSMA Produce Safety Rule (PSR) requires a few specific records. This publication summarizes the provisions requiring records and includes template records to help establish records to meet FSMA PSR requirements. Growers may want or need to keep additional records to ensure that required practices are being carried out correctly, to meet buyer requirements, and/or participate in a third-party audit. Other documentation, such as Standard Operating Procedures (SOPs), may be helpful to support the implementation of practices on the farm.

Throughout this factsheet, the  icon indicates a template record is provided. Clicking on the icon will take you to an example record. The template records provided are examples of required records. They have not been approved by FDA and other formats may be used. This publication should be used in conjunction with the Produce Safety Alliance (PSA) Grower Training Curriculum and the FSMA PSR preamble and codified regulation. It should not be used as a standalone reference.

All records required by the FSMA PSR must contain certain information as outlined in § 112.161. Except as otherwise specified, all required records must include:

- The name and location of the farm
- Actual values and observations obtained during monitoring
- An adequate description of covered produce, if applicable to the record (e.g. the commodity name, or the specific variety or brand name of a commodity, and any lot number or other identifier)
- The location of a growing area or other area, if applicable to the record (e.g. a specific field or packing shed)
- The date and time of the activity documented

Records must also be created at the time an activity is performed or observed, be accurate, legible, indelible, dated, and signed or initialed by the person who performed the activity.

Lastly, additional records are required in many places if growers choose to take scientifically valid actions, such as testing water for other things besides generic *E. coli* or using die-off intervals. FDA guidance describes scientifically valid to mean “an approach that is based on scientific information, data, or results published in, for example, scientific journals, references, text books, or proprietary research.”


## Records to Support a Farm's Coverage or Exemption Status

### Subpart A, General Provisions, outlines what farms and commodities are covered by the FSMA PSR


§ 112.2 requires documentation to support an exemption from FSMA PSR requirements for produce undergoing further processing that includes a kill step. Broadly, this includes:

- Farm documentation accompanying the produce stating that the food is “not processed to adequately reduce the presence of microorganisms of public health significance”
- A written assurance from the customer that the produce will be processed to adequately reduce microorganisms of public health significance. This assurance must be obtained annually.

The customer portions of this requirement are part of a FDA policy of enforcement discretion (see [“Policy Regarding Certain Entities ... Guidance for Industry”](#) Section B starting at page 15), in effect until further guidance from FDA changes the policy.


§ 112.7 requires records to establish eligibility for a qualified exemption. Records, such as receipts, must demonstrate that the farm satisfies the criteria for a qualified exemption. This includes a written record reflecting that the grower has performed an annual review and verification of the farm's continued eligibility for the qualified exemption. Receipts must be dated, but no signature is required. The annual review verifying the farm's qualified exemption must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the records are made. 

## Personnel Qualifications and Training (Subpart C)

§ 112.30 requires documentation of required training. Documentation must include the date of training, topics covered, and the names of persons trained. Required training topics are outlined in § 112.22. Training records must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the records are made. 

## Agricultural Water (Subpart E)

§ 112.50(b) requires the following records that are relevant to agricultural water:

1. The findings of the inspection of the agricultural water system(s) in accordance with the requirements of § 112.42(a). This is used for both pre-harvest and postharvest. This record does not require supervisor review. 

If action is required as a result of the agricultural water system inspection, use the template for § 112.50(b)(7) below in (7).

**Qualified Exemption Review Template**

Farm name and location: \_\_\_\_\_ Date: \_\_\_\_\_

**Total food sales** (in addition to produce, these sales include all other food for humans, feed for animals, and sales of live food animals)

Year 1 (Sales year: _____)	\$ _____
Year 2 (Sales year: _____)	\$ _____
Year 3 (Sales year: _____)	\$ _____

**Average total food sales** \$ \_\_\_\_\_ **A**

**Inflation adjusted<sup>1</sup> threshold for (range)** \$ \_\_\_\_\_ **B**

(for example, B is \$638,491 for 2021-2023)

A must be smaller than B for eligibility

**Sales to qualified end users** (QEURs) (e.g. consumers anywhere, or grocery stores and restaurants within 275 miles or within the same state or Indian reservation)

Year 1 (Sales year: _____)	\$ _____
Year 2 (Sales year: _____)	\$ _____
Year 3 (Sales year: _____)	\$ _____

**Worker Training Record Template**

Farm name and location: \_\_\_\_\_ Date of training: \_\_\_\_\_

Trainer: \_\_\_\_\_ Training time: \_\_\_\_\_

Topics Covered: \_\_\_\_\_

**Training materials:** Please attach any printed materials related to the training. Also reference any relevant SOPs or sections of the farm food safety plan that apply.

Name of Worker(s) Trained (please print)	Worker(s) Signature
1. _____	_____
2. _____	_____

**Agricultural Water Systems Inspection Record Template**  
§§ 112.42(a)(1-5) Requirements Relating to Agricultural Water Source or System

Farm name and location: \_\_\_\_\_ Name: \_\_\_\_\_

Date and time of inspection: \_\_\_\_\_


**Purpose:** To identify any conditions that are reasonably likely to introduce known or reasonably foreseeable hazards into or onto covered produce or food contact surfaces.

- Unsafe conditions: For conditions where water is not safe, or not of adequate sanitary quality for its intended use, immediately stop use and address the condition with a corrective measure. Documentation of corrective measures is required – see *Measures for Agricultural Water Management Record Template*
- § 112.42(b) requires adequate maintenance of the agricultural water system. Maintenance documentation can be useful but is not required for most conditions. If desired use a separate page to document maintenance actions.

Water source	Nature of the source (e.g., ground, surface) and initial observations	Extent of control over water source. If not full control, explain why.	Describe hazards from adjacent and nearby land uses

Water source	Describe hazards introduced by other users (e.g., upstream)	Degree of protection from all identified hazards. Describe how protection is achieved.	Does inspection indicate water is unsafe? Yes/No*

\* "Yes" indicates your water is not safe

- The written agricultural water assessment(s) in accordance with the requirements of § 112.43. Agricultural water assessments must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the records are made.  If action is required as a result of the agricultural water assessment, use the template for § 112.50(b)(7) below in (7).
- Scientifically-valid data or information to support testing water for anything other than generic *E. coli*, as input to the agricultural water assessment(s).

**Agricultural Water Assessment Template**

Farm name and location: \_\_\_\_\_

Agricultural water being assessed: \_\_\_\_\_

Date: \_\_\_\_\_ Time: \_\_\_\_\_ Initials: \_\_\_\_\_

Element	Factor evaluated	Observation/ condition	Assessment of how observation or condition could influence risk (use additional pages as needed)
Agricultural water system(s)	Location and nature of source	Recommendation: Create a map of water distribution system.	
	Type of distribution system		
	Degree of protection from possible sources of contamination listed in § 112.43(a)(1)(ii) and other subparts (e.g., § 112.52(a) and §§ 112.130 through 112.134)	(off-farm water users)	
		(on-farm animal impacts or other on-farm hazards)	
		(off-farm/ uses)	


\* Off-farm means land uses on adjacent and nearby lands involving animal activity, application of biological soil amendments of animal origin, or presence of untreated or improperly treated human waste. Animal activities include grazing or commercial animal feeding operations of any size (reference § 112.43(a)(1)(iii)). Off-farm also includes any other conditions not related to animal activity, BSAAC, or human waste that could introduce risks.

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- Scientifically-valid data or information to support the frequency of testing and microbial criteria used for water sampling, as input to the agricultural water assessment(s).
- Results of any analytical tests conducted on agricultural water to comply with FSMA PSR provisions. After test results are obtained from the lab, they must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the records are made. [“FSMA Produce Safety Rule: Documentation Requirements for Water Laboratory Analysis Results”](#) describes the required elements for the record of analytical test results so it is clear what should be on the record provided by the laboratory. These elements are included in the records template.
- Annual documentation of the analytical results or certificates of compliance from a public water system as outlined in §§ 112.44(c)(1) or (2), as applicable. Annual records from the public water system can be obtained from the water authority. The provision requires that the documentation should be annual. In some cases the water system may delay releasing their annual report so it is recommended, at least once a year, to document that the report in the file is the most current report. Information about typical reports is provided in place of a records template since this record is collected, not created on the farm. A water utility annual report may certify that the water system is not in violation of Safe Drinking Water Act requirements, as shown in Figure 1. Analytical results for *E. coli* are relevant to the FSMA PSR. If you are unsure whether the report you obtained is sufficient to meet this requirement, reach out to the FDA or the agency that inspects your farm for confirmation.

Contaminant	Violation Y/N	Total Sample Collected	Total Coliform* Positive	E-Coli** Positive	E-Coli MCLG	Likely Source of Contamination
Microbiological Contaminants						
Routine Samples	N	1806	6	0	0	Naturally present in the environment
Repeat Samples	N	18	0	0	0	Human and animal fecal waste

Figure 1: Example from a drinking water utility annual report. Information in the red box represents compliance with Safe Drinking Water Act requirements.

7. Documentation of actions taken as a result of the agricultural water systems inspection or agricultural water assessment in accordance with § 112.45. In addition to the documentation that measures were taken, some measures may require additional documentation as described below: 

- For re-inspection/repairs as a corrective measure or mitigation measure, the template for the agricultural water systems inspection in § 112.50(b)(1) can be found above in (1).
- For treatment of agricultural water as a corrective measure or mitigation measure, templates for water treatment methods in § 112.50(b)(11) and monitoring in § 112.50(b)(12) can be found below in (11) and (12).
- For die-off or removal as a mitigation measure, scientific support must be documented as described in § 112.50(b)(8). More information can be found below in (8).
- For any alternative mitigation measure, scientifically-valid data or information to support the alternative must be documented as described in § 112.50(b)(9). More information can be found below in (9).

The record of actions taken in accordance with § 112.45 must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the record is made.

- Scientifically-valid data or information relied upon to support the time interval for in-field die-off (between last application of agricultural water and harvest), in-storage die-off (between harvest and end of storage), and other activities (such as removal during commercial washing) as described in §§ 112.45(b)(1)(ii) and (iii).
- Scientifically-valid data or information to support an alternative mitigation measure, as described in § 112.45(b)(1)(vi). Conditions for alternative measures described in § 112.12 call for documentation showing that the alternative measure results in the same level of public health protection as measures described in §§ 112.45(b)(1)(i) through (v).
- Scientifically-valid data or information to support the adequacy of the water treatment methods described in §§ 112.46(a) and (b). Additional regulations besides the FSMA PSR may apply to water treatment methods (e.g., Federal Insecticide, Fungicide, and Rodenticide Act and associated EPA labeling). In place of a records template, "[Introduction to Selecting an EPA-Labeled Sanitizer](#)" describes the key elements found in an EPA label, including the efficacy statement, that may address this requirement.

Other sources of scientifically-valid information may be suitable to address the requirement in § 112.50(b)(10) related to chemical sanitizers that are not EPA labeled, or pesticide devices like filtration systems that do not carry an EPA label.

**Measures for Agricultural Water Management Template**

Farm name and location: \_\_\_\_\_


Date, Initials	Water Source	Water Use (Description)	Reason for Measures* (Including any Documentation)	Corrective or Mitigation Measure(s)** Implemented	Confirmation Steps (if applicable)***

\* Such as, pre-harvest agricultural water assessment written determination; postharvest water test result shows presence of generic *E. coli*; water does not meet § 112.41 quality requirement  
 \*\* Reference § 112.45 list of corrective measures and mitigation measures  
 \*\*\* Reference § 112.45(b)(1) "take adequate measures to determine if your changes were effective" when reinspection and making necessary changes is used as corrective measure

Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

FSMA PSR Reference § 112.50(b)(7) Confidential Record

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11. Documentation of the results of water treatment monitoring carried out under § 112.46(c). Water treatment monitoring records must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the records are made. 
12. Scientifically-valid data or information to support any equivalent analytical methods used in lieu U.S. EPA Method 1603 (modified mTEC). In place of a records template, FDA released a guidance document called “[Equivalent Testing Methodology for Agricultural Water](#)”. This document is one way to document the equivalency status of many testing methodologies used by commercial laboratories.

**Water Treatment Monitoring Record Template**

Farm name and location: \_\_\_\_\_

Please see the food safety plan for overall water treatment procedures.

Date	Time	Water pH	Water Temperature	Turbidity	Sanitizer (name & rate)	Corrective Action Needed (yes or no)	Initials

\*Not all of the above factors may need to be recorded. Refer to the product's label for specific use instructions.

Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

**FSMA PSR reference § 112.50(b)(1) Confidential Record**

Modified from On-Farm Decision Tree Project: Postharvest Water—v7 07/16/2014  
E.A. Bohn, M.A. Schemmann, A.L. Wozniak, G.L. Weil, and S.K. Arundson, 2014 gaps.cornell.edu

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## Biological Soil Amendments of Animal Origin (Subpart F)

§ 112.60(b) requires records for treated biological soil amendments of animal origin.

§ 112.60(b)(1) requires that, for treated soil amendments received from a third party, growers must document annually that:

- The process used to treat the biological soil amendment of animal origin is a scientifically valid process that was carried out with appropriate process monitoring; and
- The biological soil amendment of animal origin has been handled, conveyed, and stored in a manner and location to minimize the risk of contamination by an untreated or in process biological soil amendment of animal origin.

**Compost Treatment Record Template**

Farm name and location: \_\_\_\_\_

Type of compost method: \_\_\_\_\_ Date piled: \_\_\_\_\_ Date finished: \_\_\_\_\_ Row number: \_\_\_\_\_

List all ingredients added to compost: \_\_\_\_\_

Use this record for on farm composting. Record the date piled, turning dates, and the temperatures maintained. Use one sheet for each pile or row.

Date Turned	Temp/Time Test Area 1	Temp/Time Test Area 2	Temp/Time Test Area 3	Temp/Time Test Area 4	Initials

Proper compost production requires a minimum temperature of 131°F be maintained for 3 days using an enclosed system OR a temperature of at least 131°F for 15 days using a windrow system, during which the materials must be turned 5 times (FSMA PSR § 112.54(b)).


Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

**FSMA PSR reference § 112.60(b)(2) Confidential Record**


Modified from On-Farm Decision Tree Project: Soil Amendments—v5 7/16/2014  
E.A. Bohn, M.A. Schemmann, A.L. Wozniak, G.L. Weil, and S.K. Arundson, 2014 gaps.cornell.edu

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A model certificate of conformance for third-party soil amendments was created by PSA to guide those that purchase soil amendments. “[FSMA Produce Safety Rule: Documentation Requirements for Commercial Soil Amendment Suppliers](#)” describes the recordkeeping requirements in more detail and includes the model certificate of conformance.

§ 112.60(b)(2) requires that, for soil amendments that growers treat and apply on their own farms, records must be kept to document that process controls (e.g., time, temperature, turnings) were achieved. Records related to on-farm soil amendment treatment must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the records are made. 

Equipment, Tools, Buildings, and Sanitation (Subpart L)

§ 112.140(b)(2) requires that growers subject to the FSMA PSR establish and keep a record of the date and method of cleaning and sanitizing equipment used in covered harvesting, packing, or holding activities. This record must be reviewed, dated, and signed by a supervisor or responsible party within a reasonable time after the records are made. 

Cleaning and Sanitizing Record *Template*

Farm name and location: \_\_\_\_\_

List the date, time, tool or equipment name, and method for each cleaning or sanitizing activity.

Date	Time	List tools/equipment	Cleaned and/or Sanitized?	Method used	Cleaned By (initials)

Storage of Records, Allowable Record Types, and Off-Site Storage (Subpart O)

§ 112.162 allows for the storage of records offsite if such records can be retrieved and provided onsite within 24 hours of official request. Electronic records are acceptable if they can be accessed on the farm.

§ 112.163 specifies that existing records do not need to be duplicated if they contain all of the required information. For instance, if records are kept for organic certification and they include the required information, there is no need to duplicate these records.

§ 112.164 requires that records be kept for at least 2 years past the date the record was created. Records that a farm relies on to support a qualified exemption must be retained as long as necessary to support the farm’s status.

§ 112.165 requires the records be kept as original records, true copies or electronic records.

§ 112.166 outlines requirements for making records available and accessible to FDA.

- Records must be readily available and accessible during the retention period for inspection and copying by FDA upon oral or written request. Growers have 24 hours to obtain records kept offsite, even if the farm is closed for a prolonged period.
- Records must be provided to FDA in a format that is accessible and legible.

§ 112.167 specifies that records obtained by FDA in accordance with the FSMA PSR are subject to the disclosure requirements under 21 CFR part 20 (Public Information). All of the templates provided in this document are marked Confidential to reduce the likelihood that farm records would be released in response to a Freedom of Information Act (FOIA) request submitted to FDA should they obtain or copy farm records.

# Qualified Exemption Review *Template*

Farm name and location: \_\_\_\_\_ Date: \_\_\_\_\_

**Total food sales** (in addition to produce, these sales include all other food for humans, feed for animals, and sales of live food animals)

Year 1 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_  
Year 2 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_  
Year 3 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_

**A** must be  
smaller than **B**  
for eligibility

**Average** total food sales \$ \_\_\_\_\_ **A**  
Inflation adjusted<sup>1</sup> threshold for (range) \$ \_\_\_\_\_ **B**  
(for example, B is \$638,491 for 2021-2023)

**Sales to qualified end users** (QEUs) (e.g. consumers anywhere, or grocery stores and restaurants within 275 miles or within the same state or Indian reservation)

Year 1 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_  
Year 2 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_  
Year 3 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_

**Average** food sales to QEUs \$ \_\_\_\_\_ **C**

**Sales to non-QEUs** (e.g. wholesale buyers)

Year 1 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_  
Year 2 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_  
Year 3 (Sales year: \_\_\_\_\_) \$ \_\_\_\_\_

**C** must be  
larger than **D**  
for eligibility

**Average** food sales to non-QEUs \$ \_\_\_\_\_ **D**

Based on this information, this farm satisfies the criteria for a qualified exemption.

**Reviewed by:** \_\_\_\_\_ **Title:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Sales receipts must also be retained to support this record.

<sup>1</sup>FDA updates the inflation adjusted value (B) around April each year:

<https://www.fda.gov/food/food-safety-modernization-act-fsma/fsma-inflation-adjusted-cut-offs>

**FSMA PSR Reference § 112.7(b) Confidential Record**

# Worker Training Record *Template*

Farm name and location: \_\_\_\_\_ Date of training: \_\_\_\_\_

Trainer: \_\_\_\_\_ Training time: \_\_\_\_\_

Topics Covered: \_\_\_\_\_

**Training materials:** Please attach any printed materials related to the training. Also reference any relevant SOPs or sections of the farm food safety plan that apply.

Name of Worker(s)Trained (please print)	Worker(s) Signature
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____
6. _____	_____
7. _____	_____
8. _____	_____
9. _____	_____
10. _____	_____
11. _____	_____
12. _____	_____

Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

## FSMA PSR reference § 112.30(b) Confidential Record

Modified from On-Farm Decision Tree Project: Worker Health, Hygiene, and Training—v14 7/16/2014 gaps.cornell.edu  
E.A. Bihn, M.A. Schermann, A.L. Wszelaki, G.L. Wall, and S.K. Amundson, 2014

Updated 2020 by L.E. Acuña-Maldonado, E.A. Bihn, D.P. Clements, C.L. Fisk, T.P. Saunders, D.M. Stoeckel, G.L. Wall, and K. Woods.

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# Agricultural Water Systems Inspection Record *Template*

## §§ 112.42(a)(1-5) Requirements Relating to Agricultural Water Source or System

**Farm name and location:** Slate Rock Creek Farm; Beautiful County, State, USA

**Date and time of inspection:** May 30, 2024 **Name:** Grower Greta

**Purpose:** To identify any conditions that are reasonably likely to introduce known or reasonably foreseeable hazards into or onto covered produce or food contact surfaces.

- Unsafe conditions: For conditions where water is not safe, or not of adequate sanitary quality for its intended use, immediately stop use and address the condition with a corrective measure. Documentation of corrective measures is required – see *Measures for Agricultural Water Management Record Template*
- § 112.42(b) requires adequate maintenance of the agricultural water system. Maintenance documentation can be useful but is not required for most conditions. If desired use a separate page to document maintenance actions.

Water source	Nature of the source (e.g., ground, surface) and initial observations	Extent of control over water source. If not full control, explain why.	Describe hazards from adjacent and nearby land uses
Pond #1	Surface, ½ acre spring-fed pond, northwest of house. No animals and nothing of concern.	Partial control: Pond is fully on our property but open to the environment.	Property to the northwest of farm is used as a horse grazing pasture
Well A	Ground Capped and cased well.	Full control	Well is central on farm. No adjacent land concerns.

Water source	Describe hazards introduced by other users (e.g., upstream)	Degree of protection from all identified hazards. Describe how protection is achieved.	Does inspection indicate water is unsafe? Yes/No*
Pond #1	No other users of the water	Partial protection: Pond is bermed to prevent run-off from neighboring horse property. Wildlife is monitored and we have nuisance permits for control. No exclusion to prevent wildlife access to pond.	No
Well A	No other users	Protected: Cap and casing intact. Well is inspected at least monthly	No

\* “Yes” indicates your water is not safe

**FSMA PSR reference § 112.50(b)(1) Confidential Record**

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# Agricultural Water Assessment *Template*

Farm name and location: Slate Rock Creek Farm; Beautiful County, State, USA

Agricultural water being assessed: Pond 1

Date: June 4, 2024

Time: 9 am

Initials: EAB

Element	Factor evaluated	Observation/ condition	Assessment of how observation or condition could influence risk (use additional pages as needed)
<b>Agricultural water system(s)</b>	Location and nature of source	<i>Well A is pumped into Holding Pond 1 prior to use to irrigate leafy greens crops. The water is classified as surface water. Recommendation: Create a map of water distribution system.</i>	<i>Surface water generally is considered more vulnerable to contamination by human pathogens. Original source well water is tested annually and has no detectable generic E. coli in 100 mL, indicating that the ground water is protected.</i>
	Type of distribution system	<i>Water is moved from the well to the lined holding pond, and from the holding pond to point of use, using a pressurized piping system. Pipes are spaced 40 feet apart, with 12-inch risers for overhead emitters spaced every 30 feet. An inline 120 mesh sieve reduces grit.</i>	<i>Pressurized piping protects the water from contamination within the distribution system. The sieve is not expected to have an appreciable effect on microbial water quality; however, a cleaning and maintenance schedule is followed to prevent buildup of biofilm and reduce potential for regrowth of bacterial pathogens.</i>
	Degree of protection from possible sources of contamination listed in § 112.43(a)(1)(iii) and other subparts (e.g., § 112.52(a) and §§ 112.130 through 112.134)	<i>(other water users) This farm is the sole user of water from the well and reservoir</i>	<i>There are no risk factors from other users.</i>
		<i>(on-farm animal impacts or other on-farm hazards) Domesticated animals and people are not allowed access to the pond. Wildlife, including amphibians, waterfowl, and mammals may access the pond.</i>	<i>The limited access by wildlife does represent a risk due to possible poop in the pond but we maintain nuisance permits to eliminate animals as needed, and we monitor activity around the pond.</i>
		<i>(off-farm<sup>1</sup> uses) Neighboring farm has horses. These animals do not have direct access to the pond.</i>	<i>Berms prevent any potential runoff from adjacent and nearby lands from entering the pond.</i>

<sup>1</sup> Off-farm means land uses on adjacent and nearby lands involving animal activity, application of biological soil amendments of animal origin, or presence of untreated or improperly treated human waste. Animal activities include grazing or commercial animal feeding operations of any size (reference § 112.43(a)(1)(iii)). Off-farm also includes any other conditions not related to animal activity, BSAAO, or human waste that could introduce risks.

Element	Factor evaluated	Observation/ condition	Assessment of how observation or condition could influence risk (use additional pages as needed)
Water Use	Method of application	<i>The water is applied by overhead irrigation.</i>	<i>Overhead irrigation will contact produce. If the water is contaminated with pathogens, microbial risk to produce will be higher because of contact with water.</i>
	Timing of application to crop(s)	<i>Irrigation water is applied to the leafy greens every day after transplant until establishment, and every 3-5 days thereafter as needed until harvest. Water is not applied if rain is sufficient. No water is applied within 4 days of harvest.</i>	<i>Time between last water application and harvest allows for die-off to occur and risks to be reduced.</i>
Crop Characteristics	Adhesion, internalization	<i>Crop 1: leafy greens</i>	<i>No unusual adhesion or internalization characteristics would substantially increase risk for this crop over other crops</i>
		<i>Crop 2: none</i>	
Environmental Conditions	Rainfall, temperature, sunlight (UV)	<i>Our growing region is characterized by high temperatures, low rainfall, and 90% days with minimal cloud cover during the growing season.</i>	<i>These conditions are expected to promote die-off of human pathogens and reduce risk in combination with the 4 or more days between last application of water and harvest.</i>
Other Factors	Testing results	<i>Water in the pond is tested monthly for generic E. coli. During the past three growing seasons, the result has never been above 50 MPN/100 mL.</i>	<i>This history of test results indicates that identified risks do not represent reasonably foreseeable hazardous conditions. Management reviews all test results and will respond if tests are high during the growing season.</i>

**Written determination(s) for this agricultural water<sup>2</sup>:**

- |   |  |
|---|--|
| <input type="checkbox"/> Water is not safe, or not of adequate sanitary quality for its intended use                  | <input type="checkbox"/> One or more <b>off-farm uses</b> related to animal activity, application of BSAO, human waste are reasonably likely to introduce pathogens to the water source                                      |
| <input checked="" type="checkbox"/> No reasonably foreseeable hazardous conditions limit this use of the water source | <input type="checkbox"/> One or more condition(s) <b>on-farm</b> are reasonably likely to introduce pathogens to the water source, or <b>off-farm</b> conditions <b>not</b> related to animal activity, BSAO, or human waste |

**Reviewed by:** Grower Greta

**Title:** Farm Owner

**Date:** June 11, 2024

**FSMA PSR Reference § 112.50(b)(2) Confidential Record**

<sup>2</sup> For determinations other than “no reasonably foreseeable hazardous conditions limit this use” use the *Measures for Agricultural Water Management Template* to describe whether measures are reasonably necessary, and describe any measures taken in response

## Measures for Agricultural Water Management *Template*

Farm name and location: \_\_\_\_\_

Date, Initials	Water Source	Water Use (Description)	Reason for Measures* (Including any Documentation)	Corrective or Mitigation Measure(s)** Implemented	Confirmation Steps (if applicable)***

\* Such as, pre-harvest agricultural water assessment written determination; postharvest water test result shows presence of generic *E. coli*; water does not meet § 112.41 quality requirement

\*\* Reference § 112.45 list of corrective measures and mitigation measures

\*\*\* Reference § 112.45(a)(1) "take adequate measures to determine if your changes were effective" when reinspection and making necessary changes is used as corrective measure

Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

FSMA PSR Reference § 112.50(b)(7) Confidential Record

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# Water Treatment Monitoring Record *Template*

Farm name and location: \_\_\_\_\_

Please see the food safety plan for overall water treatment procedures.

Date	Time	Water pH	Water Temperature	Turbidity	Sanitizer (name & rate)	Corrective Action Needed (yes or no)	Initials
10/14/24	8:35 am	8.5	65° F	25 NTU	NaOCl 75 ppm	Yes - pH was too high, added citric acid; retested –pH 7.0	EAB
10/14/24	12:00 pm	7.0	72° F	47 NTU	NaOCl 55 ppm	no	EAB

\*Not all of the above factors may need to be recorded. Refer to the product's label for specific use instructions.

Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

## FSMA PSR reference § 112.50(b)(11) Confidential Record

Modified from On-Farm Decision Tree Project: Postharvest Water—v7 07/16/2014  
E.A. Bihn, M.A. Schermann, A.L. Wszelaki, G.L. Wall, and S.K. Amundson, 2014 gaps.cornell.edu

V3.1 • 2/25/25

# Compost Treatment Record *Template*

Farm name and location: \_\_\_\_\_

Type of compost method: Windrow Date piled: 9-15-2024 Date finished: \_\_\_\_\_ Row number: 2

List all ingredients added to compost: Poultry litter, kitchen scraps, dried leaves, straw

Use this record for on farm composting. Record the date piled, turning dates, and the temperatures maintained. Use one sheet for each pile or row.

Date Turned	Temp/Time Test Area 1	Temp/Time Test Area 2	Temp/Time Test Area 3	Temp/Time Test Area 4	Initials
9-25-2024	135 °F/ 2:00 PM	138 °F/2:01 PM	140 °F/ 2:03 PM	135 °F/ 2:04 PM	EAB
9-26-2024	137 °F/ 2:15 PM	137 °F/2:18 PM	138 °F/ 2:19 PM	137 °F/ 2:25 PM	EAB

Proper compost production requires a minimum temperature of 131°F be maintained for 3 days using an enclosed system OR a temperature of at least 131°F for 15 days using a windrow system, during which the materials must be turned 5 times (FSMA PSR § 112.54(b)).

Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

## FSMA PSR reference § 112.60(b)(2) Confidential Record

Modified from On-Farm Decision Tree Project: Soil Amendments—v5 7/16/2014  
E.A. Bihn, M.A. Schermann, A.L. Wszelaki, G.L. Wall, and S.K. Amundson, 2014 gaps.cornell.edu

V3.1 • 2/25/25

# Cleaning and Sanitizing Record *Template*

Farm name and location: \_\_\_\_\_

List the date, time, tool or equipment name, and method for each cleaning or sanitizing activity.

Date	Time	List tools/equipment	Cleaned and/or Sanitized?	Method used	Cleaned By (initials)
10/11/24	10:07 AM	Harvest tools	<i>cleaned</i>	<i>See Cleaning SOP (Removed dirt with brush, washed with detergent, rinsed, air dried)</i>	<i>EAB</i>
10/11/24	10:30 AM	Dump Tank	<i>cleaned and sanitized</i>	<i>See Dump Tank Cleaning and Sanitizing SOP (drained tank, washed with detergent, rinsed, sanitized with 150 ppm NaOCl)</i>	<i>EAB</i>

Reviewed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

FSMA PSR reference § 112.140(b)(2) Confidential Record

V3.1 • 2/25/25