



# RECORD TEMPLATES

---

The Food Safety Modernization Act

Produce Safety Rule



Arkansas Department of Agriculture  
PRODUCE SAFETY PROGRAM | LITTLE ROCK, ARKANSAS





The Food Safety Modernization Act (FSMA) Produce Safety Rule (PSR) was created in an effort to assist the produce industry in developing a proactive approach to food safety. The focus of the rule is to ensure safe produce in the marketplace. Along with implementing food safety practices, farms covered by the PSR will need to keep some records. The following record templates were created to assist produce growers in meeting the record keeping requirements of the PSR.

With the following records, there are two copies of each: one copy is an example, and one copy is a blank template for farm use. The record header of each template indicates whether the record is required, references the section of the PSR that relates to the record, and the frequency of the record. Below each header is a brief explanation of the record, including record retention.

Additionally, we have provided a color-coordinated 'PSR Record Keeping Requirements' table to assist with functionality and organization; you'll find that each color (red, yellow, or blue) in this summarization table correlates to the templates associated with each. The green templates that can be found towards the back of the binder are optional.

When completing the records required by the PSR, please keep in mind:

- \* The retention time for most records is two years.
- \* Each record must be reviewed by an appropriate employee, such as a supervisor.
- \* Section 112.161 of the PSR requires that records be accurate and legible.
- \* Upon inspection or request by a regulating agency, a producer must be able to provide the records within 24 hours. Most farms will likely keep their records onsite, but this timeframe allows for those farms that may keep records at another location.
- \* Farms are allowed to keep records in a format that they choose (electronic, hardcopy), as long as they meet the PSR requirements.

If you have any questions, please contact the Arkansas Department of Agriculture Produce Safety Program at (501) 225-1598 or [food.safety@agriculture.arkansas.gov](mailto:food.safety@agriculture.arkansas.gov).

# ADDITIONAL RESOURCES:

In addition to the templates provided in this booklet, the following resources are helpful when utilized:

- FSMA Final Rule on Produce Safety  
<https://www.fda.gov/food/guidanceregulation/fsma/ucm334114.htm>
- The PSR Draft Guidance  
<https://www.fda.gov/downloads/Food/GuidanceRegulation/GuidanceDocumentsRegulatoryInformation/UCM623178.pdf>
- The Produce Safety Alliance  
<https://producesafetyalliance.cornell.edu/>

**University of Arkansas System, Division of Agriculture, Cooperative Extension Service Outreach Team**

[www.uaex.uada.edu/producesafety](http://www.uaex.uada.edu/producesafety)

**Dr. Amanda Philyaw Perez**  
Assistant Professor, Food Systems and Food Safety Specialist  
(501) 671-2228  
[aperez@uada.edu](mailto:aperez@uada.edu)

**Dr. Natacha Cureau**  
Post-Doctoral Fellow, Food Systems and Safety  
(501) 416-6247  
[ncureau@uada.edu](mailto:ncureau@uada.edu)

**Julia Fryer**  
Program Associate  
(501) 671-2181  
[jfryer@uada.edu](mailto:jfryer@uada.edu)

**Angela Gardner**  
Program Associate  
(501) 671-2180  
[agardner@uada.edu](mailto:agardner@uada.edu)

**Arkansas Department of Agriculture Produce Safety Inspection Team**

(501) 225-1598 | [food.safety@agriculture.arkansas.gov](mailto:food.safety@agriculture.arkansas.gov)

**Mark Stoll**  
Regulatory Services Section Manager  
(501) 454-5013  
[mark.stoll@agriculture.arkansas.gov](mailto:mark.stoll@agriculture.arkansas.gov)

**John Lansdale**  
Agriculture Program Manager  
(870) 820-6787  
[john.lansdale@agriculture.arkansas.gov](mailto:john.lansdale@agriculture.arkansas.gov)

**Scarlet Waters**  
Agriculture Specialist (Produce Safety Inspector)  
(501) 580-1852  
[scarlet.waters@agriculture.arkansas.gov](mailto:scarlet.waters@agriculture.arkansas.gov)

**Tammy Winsor**  
Agriculture Specialist (Produce Safety Inspector)  
(501) 551-2717  
[tammy.winsor@agriculture.arkansas.gov](mailto:tammy.winsor@agriculture.arkansas.gov)

# Produce Safety Rule Record Keeping Requirements

	RECORD TYPE	FREQUENCY	DESCRIPTION
<b>REQUIRED</b> (most farms)	Worker Training	At least annually	As needed, but at least annually, personnel handling covered produce must be trained on food safety as it applies to their assigned duties. Documentation of the topics covered and personnel trained must be kept. <b>[TEMPLATE]</b>
	Water System Inspection	At least annually	As needed, but at least annually, the water distribution system under your control must be inspected looking for issues that may lead to contamination of water used in irrigation or other covered activities. <b>[TEMPLATE]</b>
	Cleaning & Sanitizing	As is necessary	Equipment, containers, and tools used for covered activities (ex. harvesting, packing, and handling) of covered produce must be cleaned and sanitized as adequately necessary. Non-food contact surfaces of equipment and tools must be cleaned as necessary. Record of these activities must be kept <b>[TEMPLATE]</b>
<b>Required if Applicable</b> (more common)	Qualified Exemption Review	At least annually	Farms claiming a qualified exemption must complete an annual review of farm sales to ensure they meet the requirements of the qualified exemption. Documentation of this review is required. <b>[TEMPLATE]</b>
	Qualified Exemption Sales Records	As is necessary	Farms claiming a qualified exemption must keep records (e.g. Receipts, sales records) demonstrating the farm meets the eligibility for a qualified exemption.
	Water Test	Depends on source	Covered farms must document analytical water test results for tests required in Subpart E (Water) of the PSR.
	Water Treatment Monitoring	As is necessary	Covered farms must document results of water treatment monitoring outlined in Subpart E (Water) of the PSR. <b>[TEMPLATE]</b>
	Public Water Test Result	At least annually	Covered farms using water from a public water system must annually obtain certificates of compliance or documentation of water test results.
	Compost Treatment	As is necessary	Covered farms that produce treated biological soil amendments of animal origin must keep records to demonstrate the applicable process controls were met (e.g. time, temperature, etc.) in accordance with Subpart F of the PSR. <b>[TEMPLATE]</b>
	Third Party Compost Treatment & Handling	As is necessary	Farms using treated biological soil amendments of animal origin from a third party must keep documentation (e.g. Certificate of Conformance) that document it was adequately treated with appropriate process monitoring and handling.
<b>Required if Applicable</b> (less common)	Commercial Processing Exemption – Disclosure Statement	With each shipment	Covered farms claiming a commercial processing exemption on applicable produce must provide the required disclosure statement that accompanies (e.g. Bill of lading, invoice, etc.) the produce shipment. A record of the disclosure statement must be kept. <b>[TEMPLATE]</b>
	Commercial Processing Exemption – Written Assurance	At least annually	Covered farms claiming a commercial processing exemption on applicable produce must receive an annual written assurance from the buyer in accordance to Subpart A (General Provisions) of the PSR. <b>[TEMPLATE]</b>
	Microbial Die-off Method – (scientific data or information)	As is necessary	Covered farms using microbial die-off or removal rates on covered produce post-harvest in accordance §112.45(b)(1)(ii) of the PSR must keep scientific data or information that is used to support the microbial die-off or removal rates.
	Agricultural Water Die-Off Corrective Measures	As is necessary	Covered farms using microbial die-off or removal rates on covered produce prior to harvest must document actions taken in accordance to 112.45 of the PSR. <b>[TEMPLATE]</b>
	Water Treatment Method – (scientific data or information)	As is necessary	Covered farms treating water in accordance to Subpart E (Water) of the PSR must keep documentation of scientific data or information used to support the adequacy of water treatment method used.
	Alternative Water Treatment	As is necessary	Covered farms that establish and use alternatives in accordance with §112.49 of the PSR must keep Scientific data or information to support the alternative.
	Alternative Analytical Methods	As is necessary	Covered farms must document any analytical methods for water quality testing used in lieu of the method that is outlined in §112.151(a) of the PSR.

“Covered farms” refers to farms covered by the Produce Safety Rule, as defined in Subpart A (General Provisions), of the Produce Safety Rule. Applicability of the above records depends on the farm’s operations. Records denoted with “**[TEMPLATE]**” indicates that there are templates developed by the Arkansas Department of Agriculture available for farm use. Please see the Produce Safety Rule for full details regarding record keeping requirements.



# Worker Training Log

**PSR Required**

**FSMA PSR reference § 112.30**

**Frequency: At Least Annually**

The Produce Safety Rule (PSR) requires that farms covered by the rule establish and keep records of training that document required training of personnel. Training records must include the date of training, topics covered, and the person(s) trained. Training should be conducted as needed but at least annually. Keep this record for at least 2 years.

**Farm Name & Address:** \_\_\_\_\_

**Date of Training:** \_\_\_\_\_

**Name of Trainer:** \_\_\_\_\_ **Time of Training:** \_\_\_\_\_

**Topics Covered in Training:** \_\_\_\_\_

*Please attach any training materials used.*

**Employee Name (print name)**

**Employee Signature**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. \_\_\_\_\_
9. \_\_\_\_\_
10. \_\_\_\_\_

**Reviewed by:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Date:** \_\_\_\_\_

# Water Distribution System Inspection Log

**PSR Required**

**FSMA PSR reference § 112.50**

**Frequency: At least annually**

The Produce Safety Rule (PSR) requires that farms covered by the rule inspect all agricultural water systems that are under the control of the farmer (including water sources, water distribution systems, facilities, and equipment), to identify conditions that are reasonably likely to introduce known or reasonably foreseeable hazards into or onto covered produce or food contact surfaces. See the Produce Safety Rule for full details on this inspection requirement. Keep this record 2 years past the date it was created. Farms will need to also consider the following:

- Nature of each water source (well, surface water, public water)
- Extent of control over each water source
- Protection of water sources used (barriers, well houses, etc.)
- Use of adjacent and nearby land (ex. animal operations, run off, etc.)
- Use of water prior to your farm (ex. do other growers use water source prior to your farm).

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345*    **Date of Inspection:** *4/22/2019*

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

Date	Time	Water Distribution System and/or Water Source	Observation	Corrective Actions Taken (if required)	Initials
4/22/19	7 AM	Well 1, north field	Well casing in good shape, backflow prevention device in place, no broken pipes. Well water tested annually (record kept on farm).	None	JSW
4/22/19	9 AM	Pond, south field	Significant geese presence	Introduced swan decoys. Will monitor and test water.	JSW
4/22/19	9:30 AM	Pond, south field	Cattle field located downhill from south pond. No run off into the pond. Fence surrounds south field pond	Will monitor animal fencing.	JSW
4/22/19	11 AM	Pond, south field and well 1 north field	Pond used for produce drip irrigation (under plastic) and well for overhead irrigation are under control and accessible to supervisor	None	JSW
4/22/19	12 PM	Public Water	Obtained certificate of compliance from public water system. Public water used for harvest, cleaning and post-harvest activities	Will obtain certificate of compliance annually. Will ensure no cross connections from untreated water made to public water source.	JSW

**Reviewed by:** *Johnny S Wright*

**Title:** *Owner/Supervisor*

**Date:** *4/22/2019*

# Water Distribution System Inspection Log

**PSR Required**

**FSMA PSR reference § 112.50**

**Frequency: At least annually**

The Produce Safety Rule (PSR) requires that farms covered by the rule inspect all agricultural water systems that are under the control of the farmer (including water sources, water distribution systems, facilities, and equipment), to identify conditions that are reasonably likely to introduce known or reasonably foreseeable hazards into or onto covered produce or food contact surfaces. See the Produce Safety Rule for full details on this inspection requirement. Keep this record 2 years past the date it was created. Farms will need to also consider the following:

- Nature of each water source (well, surface water, public water)
- Extent of control over each water source
- Protection of water sources used (barriers, well houses, etc.)
- Use of adjacent and nearby land (ex. animal operations, run off, etc.)
- Use of water prior to your farm (ex. do other growers use water source prior to your farm).

**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 distribution system inspections.

Date	Time	Water Distribution System and/or Water Source	Observation	Corrective Actions Taken (if required)	Initials

<b>Reviewed by:</b>	<b>Title:</b>	<b>Date:</b>
---------------------	---------------	--------------

This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.

# Cleaning & Sanitizing Log

PSR Required

FSMA PSR Reference § 112.140 & 112.123

Frequency: As is necessary

The Produce Safety Rule (PSR) requires farms covered by the rule clean and maintain all non-food contact surfaces of tools and equipment that are used during harvesting, packing, and holding of covered produce. Food contact surfaces of tools and equipment used for covered activities must be inspected, cleaned, and sanitized. Cleaning and sanitizing activities must be completed as frequently as necessary to protect against contamination of covered produce. Keep record for 2 years.

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345* **Month and Year:** *October 2019*

Please refer to the farm's standard operating procedures 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
10/11/19	10:07 AM	Harvest tools	C	See Cleaning SOP (Removed dirt with brush, washed with detergent, rinsed, air dried)	PW
10/11/19	10:30 AM	Dump Tank	C & S	See Dump Tank Cleaning & Sanitizing SOP (drained tank, washed w/ detergent, rinsed, sanitized w/ NaCl)	PW
10/11/19	11 AM	Harvest buckets	C	Removed dirt with brush, washed with detergent, rinsed, air dried in pack shed	PW
10/18/19	7 AM	Harvest tools	C & S	Harvest tools found on ground. Cleaned with brush and detergent. Rinsed, then sanitized with NaCl. Air dried.	AH
10/18/19	8:30 AM	Harvest buckets	C & S	Excessive flies found on buckets. Cleaned w/ brush and detergent. Rinsed, then sanitized with NaCl. Air dried.	AH
10/18/19	10 AM	Harvest buckets	C	Buckets dirty from harvest. Rinsed dirt, washed with detergent, and rinsed. SEE FARM SOP	AH
10/18/19	11 AM	Tomato line belt & brushes	C & S	Cleaned belt and brushes (food contact surface) with detergent and sanitized with NaCl	AH
10/18/19	11:15 AM	Tomato line sides & frame	C	Cleaned tomato line sides and top frame (non-food contact surface) with detergent.	AH
10/22/19	5 PM	Sorting Table	C & S	Cleaned sorting table with detergent and sanitized with NaCl. Completed prior and after sorting activity	PW
10/25/19	8 AM	Box cart	C	Box cart used to transfer produce in boxes cleaned with detergent using a brush and rinsed.	MB
10/25/19	7:15 AM	Farmers market trailer	C	Trailer for transporting produce cleaned with detergent, rinsed and allowed to dry.	MB

<b>Reviewed by:</b> <i>Johnny S Wright</i>	<b>Title:</b> <i>Owner/Supervisor</i>	<b>Date:</b> <i>10/29/2019</i>
--	---------------------------------------	--------------------------------

*This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.*



# Qualified Exemption Review

PSR Required (if Applicable)

FSMA PSR Reference § 112.7

Frequency: Annual

Farms claiming a qualified exemption from the Produce Safety Rule (PSR) must complete and document an annual review of farm sales records to ensure they meet the criteria for a qualified exemption. The documentation of an annual review must be kept for two years. Records (such as receipts or other sales tracking records) for the three years prior to the applicable calendar year to support a qualified exemption must be kept.

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345*

**Date of Review:** Jan 1, 2018

**STEP 1:** Review food sales for previous three years. Food sales include produce sales, grain, feed for animals, sales of live food animals, and other human food.

Year 1 (Sales Year 2015): \$ 30,000 Total Food Sales

Year 2 (Sales Year 2016): \$ 55,000 Total Food Sales

Year 3 (Sales Year 2017): \$ 42,000 Total Food Sales

Previous 3-Year Average Food Sales: \$ 42,333.33 (Part A)

Food Sales Threshold Adjusted for inflation: \$ 539,982 (Part B) – see information at the bottom of the page\*\*

**Is the farm's 3-year average food sales (Part A) less than the 'Food Sales Threshold Adjusted for Inflation' (Part B)?**

If yes, continue to STEP 2. If no, your farm does not meet the criteria for a qualified exemption.

**STEP 2:** Review food sales that were sold to qualified end-users (QEU). QEU are consumers of the food (sales directly to customers at a farmers' market, U-Pick, Roadside stand, On-Farm store, CSA, other direct customer sales; or sales of food sold directly to a food retail establishment (grocery store) or restaurant that is in the same state of the farm, or within 275 miles of the farm).

	Sales to QEU	Sales to non-QEU
Year 1 (Sales Year <u>2015</u> ):	\$ <u>30,000</u>	\$ _____
Year 2 (Sales Year <u>2016</u> ):	\$ <u>40,000</u>	\$ <u>15,000</u>
Year 3 (Sales Year <u>2017</u> ):	\$ <u>42,000</u>	\$ _____
3-Year Average:	\$ <u>37,333</u> (Part C)	\$ <u>5,000</u> (Part D)

Comment: food sales from farmers market in 2015 & 2017. \$15,000 of grain sold to a broker at a grain elevator in 2016

**Is the 3-year average of sales to QEU (Part C) greater than the 3-year average of sales to non-QEU (Part D)?**

If you answered yes in STEP 1 and STEP 2, your farm meets the requirements for a qualified exemption.

**\*\*Adjustments for inflation:** Visit FDA's website at <https://www.fda.gov/Food/GuidanceRegulation/FSMA/ucm554484.htm> to view the table for Inflation Adjusted Cut-Offs. You may also contact the Arkansas Department of Agriculture Produce Safety Program at (501) 225-1598.

**Reviewed by:** *Johnny S Wright*

**Title:** *Owner/Supervisor*

**Date:** *Jan 1, 2018*

# Qualified Exemption Review

Required (if Applicable)

FSMA PSR Reference § 112.7

Frequency: Annual

Farms claiming a qualified exemption from the Produce Safety Rule (PSR) must complete and document an annual review of farm sales records to ensure they meet the criteria for a qualified exemption. The documentation of an annual review must be kept for two years. Records (such as receipts or other sales tracking records) for the three years prior to the applicable calendar year to support a qualified exemption must be kept.

**Farm Name & Address :**

**Date of Review:**

**STEP 1:** Review food sales for previous three years. Food sales include produce sales, feed for animals, sales of live food animals, and other human food.

Year 1 (Sales Year \_\_\_\_\_): \$ \_\_\_\_\_

Year 2 (Sales Year \_\_\_\_\_): \$ \_\_\_\_\_

Year 3 (Sales Year \_\_\_\_\_): \$ \_\_\_\_\_

Previous 3-Year Average Food Sales: \$ \_\_\_\_\_ (Part A)

Food Sales Threshold Adjusted for inflation: \$ \_\_\_\_\_ (Part B) – *see information at the bottom of the page\*\**

**Are the farms 3-year average food sales (Part A) less than the Food Sales Threshold Adjusted for Inflation (Part B)?**

If yes, continue to STEP 2. If no, your farm does not meet the criteria for a qualified exemption.

**STEP 2:** Review food sales that were sold to qualified end-users (QEU). QEU are consumers of the food (sales directly to customers at a farmers’ market, U-Pick, Roadside stand, On-Farm store, CSA, other direct customer sales; or sales of food sold directly to a food retail establishment (grocery store) or restaurant that is in the same state of the farm, or within 275 miles of the farm).

	Sales to QEU	Sales to non-QEU
Year 1 (Sales Year _____):	\$ _____	\$ _____
Year 2 (Sales Year _____):	\$ _____	\$ _____
Year 3 (Sales Year _____):	\$ _____	\$ _____
3-Year Average:	\$ _____	\$ _____

Comment: \_\_\_\_\_

**Is the 3-year average of sales to QEU (Part C) greater than the 3-year average of sales to non-QEU (Part D)?**

If you answered yes in STEP 1 and STEP 2, your farm meets the requirements for a qualified exemption.

**\*\*Adjustments for inflation:** Visit FDA’s website at <https://www.fda.gov/Food/GuidanceRegulation/FSMA/ucm554484.htm> to view the table for Inflation Adjusted Cut-Offs. You may also contact the Arkansas Department of Agriculture Produce Safety Program at (501) 225-1598.

<b>Reviewed by:</b>	<b>Title:</b>	<b>Date:</b>
---------------------	---------------	--------------









# Farm Disclosure Statement

(Produce Safety Rule Processing Exemption Documentation)

PSR Required (if Applicable)

FSMA PSR Reference § 112.2

Frequency: With each applicable shipment

For Produce Sold to Commercial Processors

## ACCOMPANY DISCLOSURE WITH THE PRODUCE SHIPMENT

Dear River Valley Winery \_\_\_\_\_,  
(Customer name)

The produce you purchased (listed below) from Central AR Vineyard \_\_\_\_\_ (farm name) on 8/25/2019 (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 #	<u>101</u>	Description	<u>Norton Grapes</u>	Quantity	<u>1 ton</u>
Lot #	_____	Description	_____	Quantity	_____

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

Sincerely,

Sue Black – Vineyard Owner  
(Authorized Farm Representative Name & Title)

In accordance with 21 CFR § 112.2 of the Food Safety Modernization Act (FSMA) Produce Safety Rule, produce farms seeking a commercial processing exemption for covered produce, must disclose in documents accompanying the produce, in accordance with the practice of the trade, that the food is “**not processed to adequately reduce the presence of microorganisms of public health significance**”. This disclosure statement must be provided by the seller to the buyer and must be provided in documents accompanying the produce. Examples of such documents accompanying the produce may include labels, bills of lading, shipping documents, or other documents that will notify appropriate personnel. (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).

# Farm Disclosure Statement

(Produce Safety Rule Processing Exemption Documentation)

PSR Required (if Applicable)

FSMA PSR Reference § 112.2

Frequency: With each applicable shipment

**For Produce Sold to Commercial Processors**

## ACCOMPANY DISCLOSURE WITH 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 \_\_\_\_\_

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

Sincerely,

\_\_\_\_\_  
(Authorized Farm Representative Name & Title)

In accordance with 21 CFR §112.2 of the Food Safety Modernization Act (FSMA) Produce Safety Rule, produce farms seeking a commercial processing exemption for covered produce, must disclose in documents accompanying the produce, in accordance with the practice of the trade, that the food is **“not processed to adequately reduce the presence of microorganisms of public health significance”**. This disclosure statement must be provided by the seller to the buyer and must be provided in documents accompanying the produce. Examples of such documents accompanying the produce may include labels, bills of lading, shipping documents, or other documents that will notify appropriate personnel. *(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 Processing Exemption Documentation)

PSR Required (if Applicable)

FSMA PSR Reference § 112.2

Frequency: Annual

Written Assurance Statement from Buyer to Seller

## BUYER WRITTEN ASSURANCE STATEMENT

Dear Sue Black,

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

I certify that River Valley Winery (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: fermentation

Sincerely,

Mike Douglas – Head Vintner  
(Authorized Representative Name & Title)

Mike Douglas – 8/26/2019  
(Authorized Representative Signature & Date)

In accordance with 21 Code of Federal Regulations §112.2 of the Food Safety Modernization Act (FSMA) Produce Safety Rule, produce farms seeking a commercial processing exemption for covered produce, must annually obtain a written assurance from the buyer that the produce was processed to adequately reduce the presences of microorganisms of public health significance or that the produce was sold to another entity in the distribution chain that certifies to adequately process the produce to adequately reduce the presence of microorganisms of public health significance. The written assurance must meet the requirements as specified in 21 Code of Federal Regulations §112.2 (*Please note that the farm must keep a record of all written assurances*).

# Buyer Written Assurance Statement

(Produce Safety Rule Processing Exemption Documentation)

PSR Required (if Applicable)

FSMA PSR Reference § 112.2

Frequency: Annual

**Written Assurance Statement from Buyer to Seller**

## BUYER WRITTEN ASSURANCE STATEMENT

Dear \_\_\_\_\_,

I certify that all produce intended for commercial processing purchased from \_\_\_\_\_ (*farm name*) will be processed and/or handled in accordance to 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)

In accordance with 21 Code of Federal Regulations §112.2 of the Food Safety Modernization Act (FSMA) Produce Safety Rule, produce farms seeking a commercial processing exemption for covered produce, must annually obtain a written assurance from the buyer that the produce was processed to adequately reduce the presences of microorganisms of public health significance or that the produce was sold to another entity in the distribution chain that certifies to adequately process the produce to adequately reduce the presence of microorganisms of public health significance. The written assurance must meet the requirements as specified in 21 Code of Federal Regulations §112.2 (*Please note that the farm must keep a record of all written assurances*).

# Agricultural Water Die-Off Corrective Measures Log

**PSR Required (if Applicable)**

**FSMA PSR Reference § 112.50**

**Frequency: As is necessary**

The Produce Safety Rule (PSR) requires that farms covered by the rule document actions taken in accordance to 112.45 of the PSR. Some agricultural water sources may contain generic E. coli due to environmental exposure. The PSR outlines corrective measure options to reduce the potential for contamination. Keep this record for 2 years.

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345* **Month and Year:** *June 2019*

Harvest Supervisor: \_\_\_\_\_

Water Source: \_\_\_\_\_ Water Testing Company: \_\_\_\_\_

Current Calculated GM: \_\_\_\_\_ CFU / 100 ml water    Current Calculated STV: \_\_\_\_\_ CFU / 100 ml water

Calculated Interval: \_\_\_\_\_ Days (must be 4 days or less)

Adjusted GM (after Interval): \_\_\_\_\_ CFU / 100 ml water    Adjusted STV (after Interval): \_\_\_\_\_ CFU / 100 ml water

Field (Number, location, etc.)	Crop	Beginning of Crop Harvest (Time & Date)	Last Water Application (Date & Time)	Time Interval between harvest and last Water application	Harvest Supervisor Initials
<i>South 40</i>	<i>Broccoli</i>	<i>6/15/2019, 9:00 AM</i>	<i>6/13/2019, 1:00 PM</i>	<i>2 days</i>	<i>JSW</i>
<i>South 40</i>	<i>Broccoli</i>	<i>6/16/2019, 8:00 AM</i>	<i>6/13/2019, 1:00 PM</i>	<i>3 days</i>	<i>JSW</i>

<b>Reviewed by:</b> <i>Johnny S Wright</i>	<b>Title:</b> <i>Owner/Supervisor</i>	<b>Date:</b> <i>6/30/2019</i>
--	---------------------------------------	-------------------------------

This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.



# Illness and Injury Log

**PSR Optional Record**

**FSMA PSR Reference § 112.31**

**Frequency: As is necessary**

The Produce Safety Rule (PSR) requires that covered farms take measures to prevent contamination of covered produce and food contact surfaces with microorganisms of public health significance from any person with an applicable health condition (such as communicable illnesses that present a public health risk in the context of normal work duties, infection, open lesion, vomiting, or diarrhea).

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345*

**Year:** 2019

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

<b>Date</b>	<b>Name of Employee</b>	<b>Illness/Injury Reported</b>	<b>Action Taken</b> (Medical Treatment, Tools/product affected and corrective action)	<b>Did employee return to work? (Y/N)</b>	<b>Supervisor Initials</b>
7/20/19	Mark Jones	Cut leg while harvesting lettuce.	Cleaned wound, applied antiseptic, applied a bandage and wrapped leg. Knife affected was cleaned and sanitized.	Y	JSW
8/2/19	Rachel Parker	Vomited	Sent home to recover	N	JSW
9/30/19	Pam Wright	Cut finger while opening box.	Cleaned wound, applied antiseptic, applied bandage. Box knife cleaned and sanitized. Box properly disposed.	Y	JSW

<b>Reviewed by:</b> <i>Johnny S Wright</i>	<b>Title:</b> <i>Owner/Supervisor</i>	<b>Date:</b> <i>11/30/2019</i>
--	---------------------------------------	--------------------------------

This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.

# Illness and Injury Log

**PSR Optional Record**

**FSMA PSR Reference § 112.31**

**Frequency: As is necessary**

The Produce Safety Rule (PSR) requires that covered farms take measures to prevent contamination of covered produce and food contact surfaces with microorganisms of public health significance from any person with an applicable health condition (such as communicable illnesses that present a public health risk in the context of normal work duties, infection, open lesion, vomiting, or diarrhea).

**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)	Supervisor Initials

<b>Reviewed by:</b>	<b>Title:</b>	<b>Date:</b>
---------------------	---------------	--------------

*This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.*

# Restroom Monitoring & Cleaning Log

PSR Optional Record

FSMA PSR Reference § 112.129

Frequency: As is necessary

The Produce Safety Rule (PSR) requires that farms covered by the rule have toilet facilities designed to prevent contamination of produce, be accessible for servicing, be serviced and cleaned at a frequency to ensure suitability of use. Toilet facilities must be supplied with toilet paper, must provide sanitary disposal of waste and toilet paper, and be located near an adequate handwashing station. Although not required by the Produce Safety Rule, farms should keep a record of when monitoring and cleaning of toilet facilities occur.

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345* **Month and Year:** *April 2019*

Date	Restroom # or Location	Checked	Cleaned	Serviced	Actions Completed (e.g. special maintenance required, supplies filled, etc.)	Initials
4/2/19	Packing Shed	X	X		Cleaned the inside and emptied trash	JSW
4/5/19	Packing Shed	X	X		Cleaned the inside and emptied trash	JSW
4/7/19	Portable Toilet 1	X	X		Cleaned the inside and emptied trash, refilled hand washing tank	JSW
4/13/19	Packing Shed	X			Sink was leaking, maintenance request put in for 4/11/2019	JSW
4/14/19	Packing Shed			X	Plumber fixed leaking sink	JSW
4/18/19	Portable Toilet 1			X	Tank pumped by Tom Miller of Portable Toilets 'R Us	JSW
4/25/19	Portable Toilet 1	X	X		Cleaned the inside and emptied trash, refilled hand washing tank	JSW

<b>Reviewed by:</b> <i>Johnny S Wright</i>	<b>Title:</b> <i>Owner/Supervisor</i>	<b>Date:</b> <i>4/29/2019</i>
--	---------------------------------------	-------------------------------

*This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.*



# Rodent & Pest Monitoring Log

PSR Optional Record

FSMA PSR Reference § 112.128

Frequency: As is necessary

The Produce Safety Rule (PSR) requires that farms covered by the rule take measures reasonably necessary to protect covered produce, food contact surfaces, and food-packing materials from contamination by pests in buildings, including routine monitoring for pests as necessary.

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345* **Month and Year:** *Sept 2019*

Date	Company used* or self	Type of Pest	Type of Control**	Location	Action Taken	Initials
9-17-19	Self	Mice	Sticky Trap	Storage area, packinghouse	Traps checked. One trap in storage area full, disposed of in dumpster.	JSW
9-28-19	Self	Mice	Sticky Trap	Storage area, packinghouse	Traps checked. No mice found.	JSW
9-28-19	Self	Mice	Poison	Outside storage area	Poison refilled	JSW
10-12-19	Self	Mice	Sticky Trap	Storage area, packinghouse	Traps checked. No mice found.	JSW
10-24-19	Self	Mice	Sticky Trap	Storage area, packinghouse	Traps checked. One trap in storage area full, disposed of in dumpster.	JSW
11-1-19	Self	Mice	Poison	Outside storage area	Poison refilled	JSW
11-1-19	Self	Mice	Sticky Trap	Storage area, packinghouse	Traps checked. One trap in storage area full, disposed of in dumpster.	JSW

\*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.)

<b>Reviewed by:</b> <i>Johnny S Wright</i>	<b>Title:</b> <i>Owner/Supervisor</i>	<b>Date:</b> <i>9/29/2019</i>
--	---------------------------------------	-------------------------------

This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.



# Soil Amendment Application Log

PSR Optional Record

FSMA PSR Reference Subpart F

Frequency: As is necessary

The Produce Safety Rule (PSR) allows farmers to use biological soil amendments of animal origin (BSAAO) for growing produce. Examples of BSAAO include treated compost, raw manure, aged manure, bone meal, etc. Section 112.56 of the PSR outlines certain interval and application requirements to reduce the risk of produce contamination.

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345*

**Year:** 2019

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
3/24/19	Tomatoes	Rows 1-4	1.5 tons/acre	Composted manure	Broadcast	5/15/19	7/1/19	JSW
3/24/19	Cucumbers	Rows 1-2	1 tons/acre	Composted manure	Broadcast	5/16/19	6/28/19	JSW
3/24/19	Tomatoes	Rows 1-4	1.5 tons/acre	Aged Manure	Broadcast	5/15/19	7/1/19	JSW
3/24/19	Cucumbers	Rows 1-2	1 tons/acre	Pelletized Manure (Treated)	Broadcast	5/16/19	6/28/19	JSW

**Reviewed by:** *Johnny S Wright*

**Title:** *Owner/Supervisor*

**Date:** *3/30/2019*

# Soil Amendment Application Log

**PSR Optional Record**

**FSMA PSR Reference Subpart F**

**Frequency: As is necessary**

The Produce Safety Rule (PSR) allows farmers to use biological soil amendments of animal origin (BSAAO) for growing produce. Examples of BSAAO include treated compost, raw manure, aged manure, bone meal, etc. Section 112.56 of the PSR outlines certain interval and application requirements to reduce the risk of produce contamination.

**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

<b>Reviewed by:</b>	<b>Title:</b>	<b>Date:</b>
---------------------	---------------	--------------

*This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.*

# Visitor Log

**PSR Optional Record**

**FSMA PSR Reference § 112.33**

**Frequency: As is necessary**

The Produce Safety Rule (PSR) requires that covered farms make visitors aware of farm policies and procedures to protect covered produce and food contact surfaces from contamination. Farms covered by the rule must take steps reasonably necessary to ensure that visitors comply with farm policies.

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345* **Month & Year:** *June & Aug 2019*

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)
7/15/19	8:30 am	9:45 am	Melissa Johnson, Produce Buyers of SW MO	Looking for new tomato supplier	Y	JSW
8/1/19	11:00 am	11:30 am	Nick Smith, El Jimador	Picking up weekly tomato supply	Y	JSW
8/2/19	2:00 pm	3:00 pm	Rachel Smith, neighbor	Picking cull tomatoes	Y	JSW
8/8/19	11:00 am	11:30 am	Nick Smith, El Jimador	Picking up weekly tomato supply	Y	JSW
8/15/19	11:00 am	11:30 am	Nick Smith, El Jimador	Picking up weekly tomato supply	Y	JSW
8/17/19	2:00 pm	3:00 pm	Rachel Smith, neighbor	Picking cull tomatoes	Y	JSW
8/20/19	9:30 am	10:00 am	Bob Rogers, seed dealer	Discuss next year seed supply needs	Y	JSW

<b>Reviewed by:</b> <i>Johnny S Wright</i>	<b>Title:</b> <i>Owner/Supervisor</i>	<b>Date:</b> <i>8/30/2019</i>
--	---------------------------------------	-------------------------------



# Wildlife & Domestic Animal Monitoring Log

PSR Optional Record

FSMA PSR Reference § 112.81

Frequency: As is necessary

The Produce Safety Rule (PSR) requires that farms covered by the rule assess areas where covered activities (such as packing, harvesting, and holding) occur for evidence of potential contamination of covered produce (from working animals, wildlife, and domesticated animals).

**Farm Name & Address:** *Top Notch Produce 112 E. Grand Rd, Sunnyville, AR 12345* **Month and Year:** *June 2019*

Date	Field or Location	Activity or Intrusion Observed?	Corrective Action Taken	Date of Corrective Action	Initials
6/2/19	West Field (Field #2 planted to tomatoes)	Y, a few deer tracks through field.	None. Determined the tracks were few, no fecal material present, and tracks crossed over road to corn field. Will monitor weekly.	6/2/19	JSW
6/9/19	West Field (Field #2 planted to tomatoes)	N			JSW
6/17/19	West Field (Field #2 planted to tomatoes)	Y, some leaves nibbled	Marked plants and created 3 ft buffer zone around	6/17/19	JSW
7/1/19	West Field (Field #2 planted to tomatoes)	Y, dog manure	Removed manure. Marked plants and created 3 ft buffer zone around	7/1/19	JSW

<b>Reviewed by:</b> <i>Johnny S Wright</i>	<b>Title:</b> <i>Owner/Supervisor</i>	<b>Date:</b> <i>June 30, 2019</i>
--	---------------------------------------	-----------------------------------

This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.







# ARKANSAS PRODUCE SAFETY



**UofA**  
DIVISION OF AGRICULTURE  
RESEARCH & EXTENSION  
University of Arkansas System

*This publication was made possible by FDA grant number U18FD005918. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the FDA.*