

PROCEDURES AND REQUIREMENTS TO OBTAIN AND MAINTAIN A SHELLSTOCK SHIPPER LICENSE ISSUED BY THE DEPARTMENT OF AGRICULTURE/BUREAU OF AQUACULTURE

Enclosed is an application for a shellstock shipper license. Please complete and return to our office. When we receive your completed application you will be assigned a license number which must be on shellfish shipping tags that you have printed in accordance with specific requirements (see attached)

You must have a HACCP plan (hazard analysis critical control point plan) for your shellfish operation. You must possess a certificate for attending and passing a Seafood HACCP training course. These courses are offered at least twice per year by Sea Grant. If you have not attended the course you must have an individual who has a certificate to develop your plan and review your records weekly until you obtain a Seafood HACCP certificate.

During my initial inspection of your operation, I will be looking for the following:

A Completed HACCP Plan prepared by a HACCP certified person. It must be signed and dated by you and indicates your acceptance of the requirements in that Plan.

Records:

Harvest Log, temperature log (for cooler monitoring), Shellfish Sanitation Operating Procedure and Daily Sanitation audit forms and corrective action form. You must maintain sales records to trace back product if a recall is ever required. Invoices with the harvest area and harvest date may be used in lieu of a separate sales log. All records must have your company name, address and CT# and be available for inspection by DA/BA. See attached record forms.

You must complete and initial the records daily. You or a HACCP certified person, if you are not certified, must review the records and sign them weekly. You will be required to attend the next scheduled HACCP training course if you do not have a HACCP certificate.

You must have a written and signed corrective action plan. A corrective action must be completed if you must take any required corrective action (i.e. product return to water due to sewage spill at time of harvest). See attached.

Transplant/Relay log: If you have a relay/transplant license you are required to keep a record of your harvest activities and call in to DEP (860-424-3503) when you begin working in a closed area. We will assign you a PIN number to identify you when you call in. You will provide them with your name, license number, boat name or registration #, time of harvest and location of harvest activities in a restricted/closed area and the location where shellfish will be relayed to.

Product Temperature Control:

Shellfish must be placed under temperature control (45⁰ F or less) within two hours of the harvest boat landing at the dock. You must provide refrigeration or sell the product to a buyer within that time period.

If you provide refrigeration, the temperature of your refrigeration unit must be monitored with a thermometer twice per day as long as shellfish are stored in the unit. The thermometer must be calibrated at least twice per year or more often if so required in your HACCP plan to ensure that it is accurate to +/- 2⁰ F.

Refrigeration unit walls, ceiling and floors must be smooth easily cleanable surfaces. The floor should pitch out the door for draining or provide a drain. The drain must not be directly connected to the sewer in the event of a sewage back-up. Any light fixture in the cooler must have a protective solid heavy glass shield to contain the exposed light bulb or use a "tuff skin" safety bulb.

Plants and Grounds:

These include the physical facility, flood conditions, separation of operations and physical conditions in and around the plant and grounds. Equipment must be properly stored, remove litter and waste and cut high grass and weeds. No unnecessary items or equipment that would harbor vermin.

Floors, walls, ceilings and attached equipment constructed and maintained in such a manner to be adequately cleaned and kept clean and in good repair.

Transportation:

If you transport shellfish in your vehicle it must be listed on your license and inspected prior to use.

The truck bed must be a smooth and easily cleanable surface. It must be clean and shellfish must be transported on plastic pallets to keep them off the truck bed. Shellfish must be protected from contamination using a smooth, easily cleanable cover.

Refrigeration or the use of well drained ice from an approved source must be provided if the time between unloading your boat and delivering your product to your buyer or your refrigeration storage unit is over two hours. Product that is transported over four hours or transported out of state must be in a refrigeration unit that can maintain the ambient air temperature at or below 45⁰ F.

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Deck of boat must be smooth, easily cleanable surface, with no exposed wood, cracks or crevices.

Sanitation Monitoring:

You must Develop and Implement a Shellfish Sanitation Operating Procedure (SSOP).

A responsible person shall review all sanitation items noted below and record it in a daily sanitation log. Any items found not to be in compliance shall be corrected.

Safety of Water Supply:

Water supply must be from an approved source. Private well must be tested every six months. Only water from approved or conditionally approved “open status” can be used to wash shellfish and decks.

No cross connections between potable and non potable water supply. All Faucets at docks must be provided with hose bibb vacuum breakers or backflow preventers. No hoses or faucets shall be submerged in water unless provided with a proper air gap or backflow prevention device to protect the water supply from contamination.

Ice shall be made only from water from an approved water supply that has been manufactured and stored to be protected from adulteration.

Condition and Cleanliness of Food Contact Surfaces:

All equipment and surfaces coming in contact with shellfish i.e. ice scoops, ice shovels, ice storage bin, culling tables, sorting machines, walk-n cooler shelves and pallets examples of food contact surfaces and must be a smooth, durable, easily cleanable surface made of food grade materials. They must be free of rust, mold and filth.

Gloves must be clean, well maintained. Gloves must be discarded if torn or have holes.

Wood handles or pallets are not acceptable material. All joints must be sealed, welds must be smooth, and coving must be sealed and rounded to prevent cracks and crevices.

All food contact surfaces must be washed, rinsed then sanitized with an approved sanitizer at the proper strength after use. Use according to labeled instructions.

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Sanitizer Solutions: chlorine (chlorine bleach), quaternary ammonium chloride compound (QUAT or QAC) or iodine (Iodophors). Working solutions of sanitizers for food contact surfaces that are not rinsed after sanitizing must be at concentrations as follows:

Chlorine: 100-200 parts per million

Quaternary ammonia chloride: 200 ppm

Iodine: 25 ppm

Provide and use test kit to measure the concentration of the sanitizer solution that you will be using. Test kit must have a range up to 200 ppm for chlorine, 400 ppm for Quaternary ammonia chloride, 25 ppm for iodine.

Prevention of Cross Contamination:

Keep shellfish off deck on approved pallets (wood is not acceptable) never directly on the floor, in standing water or in dirty containers or bags. Protect from bilge water, bird droppings, dirt, vermin and animals.

Do not use dirty ice or ice from unapproved source or water from unapproved source.

Shellfish bags must be new and stored in a covered tote. Burlap or used bags are not acceptable.

Fish, crabs, lobster, etc. must not be stored near or over shellfish (clams, mussels, oysters).

Employees must wash and sanitize their hands to prevent contamination of shellfish. Use proper sanitizer solutions or the following:

Chlorine sanitizer for handwashing: 50-100 ppm. Iodine sanitizer for handwashing: 50 ppm.

No smoking, eating or drinking in processing areas. Personal items must not be stored in processing areas.

Hand washing and Toilet Facilities:

A porta-potti must be onboard harvest vessel and accessible to workers. Buckets are not acceptable toilet facility. Provide toilet tissue in a holder or if not practical store in plastic bag.

Provide a hand sanitizer solution to clean and sanitize your hands. Hand sanitizer must state on container "hand sanitizer". Hand sanitizers can also be made up using sodium hypochlorite (100-200 ppm) or iodine at 50 ppm. Soap and paper towels must also be available for use.

Your onshore facilities must provide adequate toilet facilities with hot and cold running water at a hand wash sink. They must be kept clean, functional and provided with soap, paper towels and a handwashing sign.

Protection from Adulterants:

Shellfish must be protected from contamination and adulteration while being transferred during handling and processing.

Light fixtures over food storage or other areas with exposed food need protective covers. Ice must be protected from contamination and must be rejected if it contains any visible signs of contamination.

Adequate ventilation needed where shellfish stored to minimize condensation and dripping onto shellfish and ice.

Do not store drinks or food in or on the ice supply.

Toxic Items:

All chemicals and cleaning agent containers must be properly labeled to indicate contents, instructions for proper use and intended use. Cleaning and sanitizing agents must be used according to manufacturer's label instructions. Do not exceed recommended strength of working sanitizer solutions.

All chemicals shall be stored away from shellfish and shellfish containers. Chemicals shall be separated from each other in the following categories:

Insecticides, rodenticides,
Detergents, sanitizers, cleaning agents
Caustic acids, polishes, other chemicals such as motor oils.

The use of bearing grease or other non-food grade grease is not allowed where it could leak onto shellfish, shellfish containers or shellfish contact surfaces.

Employee Health:

Personnel with a known communicable disease or infection shall be excluded from handling shellfish if there is a likelihood of that person contaminating food, including shellfish or food contact surfaces with pathogenic micro-organisms. Similarly, employees with infected wounds shall take proper precautions to keep from contaminating food or food contact surfaces.

Exclusion of Pests:

Visual inspection for the presence of pests including birds, insects and rodents or evidence of their presence such as dropping, gnaw marks and nesting material.

All outer openings sealed or properly screened, self-closing doors, doors not left open.

Cats, dogs or other animals are not allowed in a shellfish facility; or access to facility or storage area for vehicles used to transport shellfish or on harvest boats.

SHELLFISH SOURCE AND IDENTIFICATION

All shellfish must be from an approved source. If you purchase shellfish, they must be from a dealer listed in the USFDA Certified Shellfish Shipper's List (available online at: info1.cfsan.fda.gov/shellfish/sh/shellfish.cfm#list). Shellfish must be harvested from waters classified as Approved or Conditionally Approved (open status). If harvesting in a conditionally approved area, it is your responsibility to check the status of that area prior to harvesting.

If you were advised that an area you were harvesting in was closed due to a spill or other event that may have contaminated the shellfish, you must immediately contact the Department of Agriculture and return the shellfish to the growing area. If product was sold, you must immediately contact your buyer and the Department of Agriculture and have the product recalled to you for return to the original harvest area or destroyed.

You must complete a corrective action report which details the time, location and date of harvest and what action you took to "correct" the situation to prevent the sale and consumption of possible contaminated shellfish.

SHELLFISH IDENTIFICATION

Shellfish are defined as bivalve mollusks and include all varieties of oysters, clams, mussels, and scallops (when sold as whole or roe-on). All market shellfish to be used as an approved source of food must be identified with a standard shellfish tag as specified in the National Shellfish Sanitation Program (NSSP) Model Ordinance (MO). Containers of scallop adductor mussel are exempted from this requirement. All wholesale shellfish shippers are limited to purchasing and selling shellfish obtained from certified dealers appearing on the U.S. Food and Drug Administration (FDA) Interstate Certified shellfish Shippers List (otherwise known as the FDA

List). FDA considers shellfish obtained from, handled by or shipped by other sources, with the exception of common carriers, as an unapproved source.

All Connecticut commercial dealers, including harvesters, shippers and reshippers, are licensed by the Connecticut Department of Agriculture/Bureau of Aquaculture (DA/BA) and appear in the FDA List. They are required to have had HACCP (Hazard Analysis Critical Control Point) training and must operate under a HACCP Plan. They must maintain harvest, receiving, storage, and shipping records as required by their HACCP Plans and Standard Operating Procedures. They must identify all shellstock that they harvest, handle or ship with their CT license number. They do this by stamping the original tag with their license number including state abbreviation in the appropriate location, or attaching their own tag to the container. The tag must include all the information taken from the original tag. When the container is retagged and the original tag is removed, the original tag must be retained for 90 days. If the original tag is to be left on the container, then the new tag should be stapled to it to prevent separation at the retailer's establishment.

The Shellstock Tag shall be durable, waterproof and approved by the Department of Agriculture/Bureau of Aquaculture. It shall be at least 2 5/8 inches by 5 1/4 inches (6.7 x 13.3 cm) minimum size.

The Shellstock Tag shall contain the following indelible, legible information in the order specified below as required in the National Shellfish Sanitation Model Ordinance section X.05 A and B:

- a. The dealer's name and address;
- b. The dealer's certification (license) number assigned by the State Shellfish Authority (DA/BA).
- c. The original shellstock shipper's certification number if the dealer is not the original shipper. If depurated, the original shellstock shipper number is not required.
- d. The date of harvest; or if depurated, the date of depuration processing, or if wet stored, the original harvest date, and the final harvest date which is the date removed from wet storage.
- e. If wet stored or depurated, the wet storage or depuration cycle number or lot number. The wet storage lot number shall begin with the letter "w"
- f. The most precise identification of the harvest location area including the beginning with the State abbreviation followed by the bed number and the town. If no bed number is issued, use the most precise geographical or administrative designation, as noted on your license and approved by the DA/BA.
- g. The type and quantity of shellstock; and
- h. The following statement in bold capitalized type on each tag.

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“THIS TAG IS REQUIRED TO BE ATTACHED UNTIL CONTAINER IS EMPTY OR IS RETAGGED AND THEREAFTER KEPT ON FILE FOR 90 DAYS”

- i. All shellstock intended for raw consumption shall include a consumer advisory. The following statement, from Section 3-603.11 of the current Food Code, or an equivalent statement, shall be included on all shellstock tags:

“RETAILERS, INFORM YOUR CUSTOMERS”

“Consuming raw or undercooked meats, poultry, seafood, shellfish or eggs may increase your risk of foodborne illness, especially if you have certain medical conditions.”

- j. Statement **“KEEP REFRIGERATED”** or an equivalent statement must be included on the tag.
- k. Country of Origin information (USDA 2004) shall be included on the dealer tag and if shellfish are **“Farm Raised”** or **“Wild”**. Farm raised category may only be used for shellfish that have been raised from hatchery stock and grown in cages to the time of market harvest. Retail dealers of shellfish are required by law to post this information for consumers and must have documentation to support that information.

SHUCKED SHELLFISH AND LABELING REQUIREMENTS

CT licensed dealers handling and shipping shucked shellfish must address shucked shellfish in their HACCP Plans and maintain appropriate records.

The Shucker-Packer or Repacker, where the product originated is required to label each individual package containing fresh or frozen shucked shellfish meat in a legible and indelible form in accordance with CFR 21, Part 101; Part 161, Subpart B (161.30 and 161.36) and the Federal Fair Packaging and Labeling Act.

The dealer shall assure per requirements in the National Shellfish Sanitation Model Ordinance sections X.06 that:

- a. The shucker-packer’s or repacker’s certification number appears on the label of each package of fresh or frozen shellfish;
- b. The statement **“Keep Refrigerated”** or an equivalent statement appears on the label;
- c. Packages containing less than 64 fluid ounces of fresh or frozen shellfish shall have:

- 1) A “SELL BY DATE” which provides a reasonable subsequent shelf-life or the words “BEST IF USED BY” followed by a date when the product would be expected to reach the end of its shelf-life: and
 - 2) The date as a month and number of the day of the month. For frozen shellfish, the year will be added to the date;
- d. Packages containing 64 fluid oz. or more have on the lid and sidewall or bottom the “DATE SHUCKED” in lieu of the “sell by date” and indicate the date as the number of the day of the year or the month and day of the month.
 - e. If the product is frozen, the dealer shall add the year to the dates;
 - f. If the dealer thaws and repacks frozen shellfish, the dealer shall label the shellfish container as previously frozen.
 - g. If the Repacker repacks to packages containing less than 64 fluid ounces of fresh or frozen shellfish, the Repacker shall use the original date of shucking to establish the SELL BY DATE.

Attachments:

Shellfish Tag Illustrations (shippingtag006)
HACCP Plan SSI-II Shellstock Shipper I or II (haccpSS1-II) 5/08jsc
Harvest Log (HARlog707)
Cooler Temp and Thermometer Calibration log (logtemp)
Daily Sanitation Audit Form (SSOPformchart)
Corrective Action Report (corrective action08)
Recall Procedure and Call log (recall call log08)
Transplant/Relay Log (translog06/09/06a)

Please contact our office at 203-874-0696 if you have any questions and to schedule an inspection with one of our staff.