

National Shellfish Sanitation Program (NSSP)

Model Ordinance (MO)

STANDARDIZATION FIELD GUIDE



October 2020

**U.S. Department of Health and Human Services
Public Health Service
Food and Drug Administration**

**NATIONAL SHELLFISH SANITATION PROGRAM
STANDARDIZATION FIELD GUIDE
(LIVING DOCUMENT)**

This *Field Guide* has been prepared to assist state shellfish standardization officials and inspectors in the use of the National Shellfish Sanitation Program (NSSP) Standardized Shellfish Processing Plant Inspection Form. The intent is to promote uniformity by providing guidance on the Hazard Analysis Critical Control Point (HACCP) and sanitation requirements of the NSSP Model Ordinance (MO). Inspectors should not limit a plant field evaluation by the deficiencies noted in the guide; any remaining NSSP MO requirements remain within the purview of the program evaluation.

Some requirements of the Model Ordinance are self-explanatory, while others require interpretation. To promote uniformity the Interstate Shellfish Sanitation Conference (ISSC) and the FDA periodically issue interpretations and guidance documents. Interpretations are formal proposals that are prepared and submitted at the ISSC conference where they are either passed or not.

This guide follows the NSSP Shellfish Processing Plant Inspection Form. Each page of the document provides the Inspection Form Item number, the title of the Inspection Form Item, a general description of the requirements and examples of conditions to debit. For each example condition, the NSSP Model Ordinance reference for each type of processing activity (shucking/packing, repacking, shellstock shipping, and reshipping) is provided along with the specific criticality code (C - Critical, K - Key, S - Swing or O - Other). The examples of conditions to debit are not the only conditions to debit; they are illustrative of the conditions to debit for each item. Inspectors should always refer to the NSSP MO for specific citations and conditions to debit.

It is the intent of the Food and Drug Administration to update this *Field Guide* as substantial changes in the MO occur, and as additional guidance is needed, therefore this is a living document.

The *Field Guide* is available from:

U.S. Food and Drug Administration
Center for Food Safety and Applied Nutrition
Office of Food Safety
Division of Seafood Safety
Shellfish and Aquaculture Policy Branch
National Shellfish Standard
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Or

www.issc.org

NOTE: It is strongly recommended that field personnel, use the “Fish & Fisheries Products Hazards & Controls Guidance” in the evaluation of HACCP programs, in addition to Chapters XI-XVI of the MO where specific HACCP and sanitation requirements are published. There may be other food safety hazards to consider when reviewing dealer operations and conducting a hazard analysis. Chapter X of the MO requires that such hazards be controlled.

Guidance documents represent the FDA's current thinking on a topic. They do not create or confer any rights for or on any person and do not operate to bind the FDA or the public. You can use an alternative approach if the approach satisfies the requirements of the applicable statutes and regulations.

Standardization Field Guide
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NSSP MO Definitions

1. **Adequately Iced** means that the amount and application of the ice is sufficient to ensure that immediate cooling begins and continues for all shellfish. If ice slurry is used and the shellfish are submerged the presence of ice in the slurry indicates adequate icing.
2. **Backflow** means the flow of water or other liquids, mixtures or substances into the distribution pipes of a potable water supply from any source or sources other than the intended source.
3. **Back Siphonage** means the flowing back of used, contaminated or polluted water from a plumbing fixture, vessel or other source into potable water supply pipes because of negative pressure in the water supply pipes.
4. **Certification or Certify** means the issuance of a numbered certificate to a person for a particular activity or group of activities that indicates:
 - (a) Permission from the Authority to conduct the activity; and
 - (b) Compliance with the requirements of this Code.
5. **Commingle or Commingling** means the act of combining different lots of shellfish.
6. **Conveyance** means any type of container used to transport shellfish. The controls of the National Shellfish Sanitation Program (NSSP) are intended to address the container in which the shellfish are being held during transport from landing to final consumer. For the purposes of meeting the NSSP time temperature requirements for conveyances, the containers in which the shellfish are being held must meet the required temperatures. Should shellfish be shipped in a small container within a cargo space the temperature requirement would apply only to the temperature within the container.
7. **Critical Deficiency** means a condition or practice which:
 - (a) Results in the production of a product that is unwholesome; or
 - (b) Presents a threat to the health or safety of the consumer.
8. **Cross Connection** means an unprotected actual or potential connection between a potable water system and any source or system containing unapproved water or a substance that is not or cannot be approved as safe and potable. Examples are bypass arrangements, jumper connection, removable sections, swivel or change over devices, or other devices through which backflow could occur.
9. **Easily Cleanable** means a surface which is:
 - (a) Readily accessible; and
 - (b) Is made of such materials, has a finish, and is so fabricated that residues may be effectively removed by normal cleaning methods.
10. **Food Contact Surface** means an equipment surface or utensil which normally comes into direct or indirect contact with shucked shellfish.
11. **In-Shell Product** means non-living, processed shellfish with one or both shells present.
12. **Key Deficiency** means a condition or practice which may result in adulterated, decomposed, misbranded or unwholesome product.
13. **Lot of In-Shell Product** means a single type of container of in-shell product of no more than one day's harvest from a single defined growing area.
14. **Lot of Shellstock** means a single type of bulk shellstock or containers of shellstock of no more than one day's harvest from a single defined growing area gathered by one or more harvesters. A lot may also be used to segregate the harvest times and intended uses of shellstock for the purposes of complying with time to temperature requirements.
15. **Lot of Shucked Shellfish** means a collection of containers of no more than one day's shucked shellfish product produced under conditions as nearly uniform as possible and designated by a common container code or marking.

NSSP MO Definitions

- 16. Other Deficiency** means a condition or practice that is not defined as critical or key and is not in accordance with the requirements of this Model Ordinance.
- 17. Post-Harvest Processing** means any process which has been validated using NSSP validation procedures which reduces the levels of pathogenic hazards to below the appropriate FDA action level or in the absence of such a level, below the appropriate level as determined by the ISSC.
- 18. Post-Harvest Processor** means a designation given to a shellfish dealer that has incorporated a post-harvest process.
- 19. Raw** means shellfish that have not been thermally processed:
- (a) to an internal temperature of 145°Fahrenheit or greater for 15 seconds (or equivalent); or
 - (b) altering the organoleptic characteristics.
- 20. Repacker (RP)** means any person, other than the original certified shucker-packer, who repackages shucked shellfish into other containers.
- 21. Reshipper (RS)** means a person who purchases shellfish from dealers and sells the product without repacking or relabeling to other dealers, wholesalers, or retailers.
- 22. Restricted Shellstock** means shellstock that is harvested from growing areas classified as approved or conditionally approved in the open status and under conditions that do not allow the sale of the shellstock for direct marketing for raw consumption. Restricted shellstock is identified with a tag indicating that the shellstock has restrictions requiring further processing or testing prior to distribution.
- 23. Shellfish** means all species of:
- (a) Oysters, clams or mussels, whether:
 - (i) Shucked or in the shell;
 - (ii) Raw, including post-harvest processed;
 - (iii) Frozen or unfrozen;
 - (iv) Whole or in part; and
 - (b) Scallops in any form, except when the final product form is the adductor muscle only.
- 24. Shellstock** means live molluscan shellfish in the shell.
- 25. Shellstock Shipper (SS)** means a dealer who grows, harvests, buys, or repacks and sells shellstock. They are not authorized to shuck shellfish or to repack shucked shellfish. A shellstock shipper may also buy, repack, and sell in-shell product as well as ship shucked shellfish.
- 26. Shucker-Packer (SP)** means a person who shucks and packs shellfish. A shucker-packer may act as a shellstock shipper or reshipper or may repack shellfish originating from other certified dealers.
- 27. Swing Deficiency** means a deficiency noted on the NSSP Standardized Shellfish Processing Plant Inspection Form which, depending upon the severity and circumstances can be either a "Critical" or a "Key" deficiency.
- 28. Wet Storage** means the storage, by a dealer, of shellstock from growing areas in the approved classification or in the open status of the conditionally approved classification in containers or floats in natural bodies of water or in tanks containing natural or synthetic seawater at any permitted land-based activity or facility.

ITEM # 1 HACCP PLAN

Every dealer shall have and implement a written HACCP Plan. Not having a HACCP Plan is a serious violation of the regulation.

Question: What do we do during standardization, if the firm does not have a HACCP plan?

Answer: Stop the inspection, a HACCP Plan is required for all processors of seafood under 21 CFR 123. Even though, standardization activities are not, per say, a compliance inspection, the candidate (most likely a State Standardization Officer or inspector) should determine why the firm does not have a HACCP Plan on the premises. If the situation warrants additional time, the candidate should take the necessary information and conduct a follow up at later time. The HACCP Plan is required for the Standard to determine if the candidate can evaluate a HACCP Plan and its implementation.

Chapter X.01.B. Critical

Question: What do we do during a certification inspection, if the firm does not have a HACCP plan?

Answer: All firm's operations shall be suspended until the firm develops and implements an adequate HACCP Plan. A HACCP Plan is required for all processors of seafood under 21 CFR 123. A dealer that fails to have and implement a HACCP plan that complies with the HACCP regulation and the requirements of the NSSP MO shall not be certified and listed in the Interstate Certified Shellfish Shippers List (ICSSL).

Citation: Chapter X.01.B. Critical

Question: If a dealer has a second location down the road where he also processes shellfish, can this be an extension of the original operation or would he have to have a second certification?

Answer: The dealer needs a second certification; each location is required to have its own certification, HACCP Plan, and associated records.

Chapter I.@02.A.(4)

Question: If a broker never takes physical possession of the shellstock, sends the product directly to a refrigerated storage facility, where it is shipped to the consignee, who should be certified?

Answer: The firm that has ownership of the shellfish must be a certified dealer.

Chapter I.@02

ITEM # 2 PLAN ELEMENTS IDENTIFIED

The HACCP Plan shall list the critical control points (CCP) and the critical limits (CL) for each CCP, as well as procedures and frequencies for monitoring, corrective action plans, the record-keeping system to document monitoring of CCPs, and procedures and frequencies for verification activities.

This section only relates to the contents of the HACCP Plan; the monitoring and record keeping associated with implementation of the plan are debited under item #4.

Question: What are the specific NSSP MO references for the sections for Item #2?

- (a) Hazards Identified and Adequate X.01.C.(1) Other
- (b) Records Identified and Adequate X.01.C.(6) Other
- (c) Critical Limits Identified and Adequate..... X.01.C.(3) Key
- (d) Name, Address X.01.H.(1) Other
Signed and Dated..... X.01.D. Other
- (e) CCP Identified and Adequate X.01.C.(2) Key
- (f) Monitoring Identified and Adequate X.01.C.(4) Key
- (g) Verification Identified and Adequate X.01.C.(7) Other
- (h) Corrective Actions if Identified X.01.C.(5) Key

Question: What is the minimum acceptable monitoring frequency for shellfish storage coolers?

Answer: The minimum acceptable monitoring frequency for a 45°F (7.2°C) critical limit is 2 times per day for coolers without continuous monitoring. However, 2 times per day is only acceptable if the firm's Corrective Action Plan indicates in their plan they will follow the corrective action procedures listed in the MO, Chapter X.01.F. (3)(a) – (b) and (4.).

ITEM # 2 PLAN ELEMENTS IDENTIFIED (Continued)

If the firm's monitoring procedures meet the minimum acceptable monitoring frequency (2 times per day), but the corrective action plan specifies corrective actions that are incorrect, this would be marked as item #2(h). Item #2(f) monitoring would be debited only if the frequency was less than 2 times per day.

Monitoring **Chapter X.01.C.(4) Key**
Corrective Action **Chapter X.01.C.(5) Key**

FDA strongly recommends continuous monitoring with a recording thermometer to meet the critical limit conditions set by the Model Ordinance. The use of a continuous monitoring recording thermometer will ensure acceptable temperatures are consistently met throughout the processing and storage periods.

According to the "Fish & Fisheries Products Hazards & Controls Guidance" (Fourth Edition-April 2011), for cooler temperatures monitored by a continuous monitoring device (recorder thermometers, time/temperature integrators, high temperature alarms, maximum indicating thermometers, and digital data loggers), the minimum acceptable monitoring frequency is once per day. The firm may record the temperature check on the continuous monitoring device chart or on any other appropriate record.

Question: If Item #2(g) Verification Procedures is debited because there is no statement in the firm's HACCP Plan that they will calibrate their thermometers, do we also debit lack of records under Item #4, Plan Implementation?

Answer: No, because it was debited under Item #2(g), Plan Elements Verification Procedures for lacking the verification procedure of calibrating their thermometers. Under item # 4, Plan Implementation, it should be determined if the firm is doing what they said they would do in Item #2, Plan Elements, Identified and Adequate. Because the firm did not define verification procedures, it would not be expected that the firm would have records.

Verification Chapter X.01.C.(7) Other

Question: Is a firm required to have written thermometer calibration procedures on file as part of their HACCP Plan?

Answer: Yes, the NSSP MO Chapter X.01.C. (7) requires the firm to have written verification procedures, e.g. thermometer calibration procedures. The NSSP MO Chapter X.01.G.(3) requires the calibration of process monitoring instruments, in accordance with Chapter X01.G.(1.) (b.) (ii.) and (iii.) shall be documented in records that are subject to the record keeping requirements of Chapter X.01.(H.).

ITEM # 2 PLAN ELEMENTS IDENTIFIED (Continued)

Verification Chapter X.01.C.(7) Other

Question: If a firm changes its operation, which could affect the Hazard Analysis by requiring an additional critical control point (CCP), but does not update their HACCP Plan to include the new CCP, where would that deficiency be debited?

Answer: Debit this deficiency under item #2(g) Verification and note in the narrative that the firm did not reassess their process to include the additional CCP as required.

Verification Chapter X.01.G.(1)(a) Other

EXAMPLES OF CONDITIONS TO DEBIT:

A. 2a (Other) - Natural toxins and chemical contaminants not listed as hazards in HACCP Plan.

Chapter X.01.C(1)

B. 2a (Other) - Natural toxins, chemical contaminants not listed as potential hazards at shucked product receiving step.

Chapter X.01.C(1)

C. 2b (Other) - Receiving records are not listed in the HACCP Plan under the Receiving CCP.

Chapter X.01.(C)(6)

D. 2c (Key) - HACCP Plan has no critical limits for receiving of shucked product.

Chapter X.01.C(3)

E. 2c (Key) - HACCP Plan does not address *Vibrio* Control critical limits for shellstock received from a harvester or dealer for cooling shellstock down according to the requirements in the State's *Vibrio* Control Plan (VCP).

Chapter X.01.C.(3)

F. 2c (Key) - HACCP Plan under the Receiving CCP does not contain critical limits for the dealer receiving shellstock from another dealer to maintain Chapter IX.04 and .05 HACCP records as required (Chapters XI.01.A.(2)(b); XIII.01.A.(2)(b); and XIV.01.A.(1)(b)).

Chapter X.01.C.(3)

G. 2c (Key) - Post-Harvest Processing critical limits identified in the HACCP Plan do not meet the processing limits determined by the facilities PHP validation study.

Chapter X.01.C.(3)

H. 2c (Key) Shucked shellfish storage critical limit allows product to remain outside of temperature control for more than two (2) hours.

ITEM # 2 PLAN ELEMENTS IDENTIFIED (Continued)

Chapter X.01.C.(3)

I. 2d (Other) - HACCP Plan not signed and dated.

Chapter X.01.(D.)

J. 2e (Key) - No shellstock Receiving or Processing CCP in HACCP Plan.

Chapter X.01.C.(2)

K. 2g (Key) - No shucked meat storage thermometer calibration indicated in HACCP Plan.

Chapter X.01.C.(7)

L. 2f (Key) - Insufficient shellstock/shucked product storage monitoring listed in HACCP plan, e.g. <1 x per day with the use of a continuously recording thermometer and <2 x per day with no continuously recording thermometer.

Chapter X.01.C.(4)

M. 2g (Other) - No thermometer calibration indicated for Receiving critical limit that includes shellstock temperature parameter.

Chapter X.01.C.(7)

N. 2g (Other) - No written thermometer calibration procedure on file.

Chapter X.01.C.(7)

O. 2g (Other) - Thermometer calibration not listed under verification at the Receiving CCP.

Chapter X.01.C.(7)

ITEM # 3 HACCP TRAINING

A person who has successfully completed HACCP training (the Alliance HACCP course, equivalent training, or experience), shall perform the following functions:

- Develop the HACCP Plan,
- Reassess and modify the HACCP Plan, and
- Review required records.

The trained individual does not need to be an employee of the firm.

This is marked as a deficiency only if there was no equivalent training or adequate experience.

Training Chapter X.01.I. Other

ITEM # 4 HACCP PLAN IMPLEMENTATION

This section only refers to the records utilized to document compliance with the items identified in the HACCP Plan. This is where it is determined if *the firm is doing what it says it is going to do in the HACCP Plan under Item #2*. If the firm has critical limits, monitoring frequencies, corrective actions, and verification activities in excess of the NSSP MO minimum requirements, the inspector must evaluate the firm based on the contents of the firm's HACCP Plan. For example, if the firm's HACCP Plan states that they will monitor cooler temperatures three (3) times per day, but they are only monitoring two (2) times per day, then the firm would be debited for not monitoring at the frequency stated in the firm's HACCP Plan.

The generally accepted standard is to review records since the last inspection. Reviewing several months of records will allow the inspector to see trends.

If a deficiency is found between 4(b) and 4 (d), the firm has only one cooler, and they handle shucked shellfish, the inspector should mark item 4(d) of the checklist since the CLs for shucked product are more stringent than shellstock CLs. In the narrative portion of the inspection form please note that only one cooler exists.

Question: What are the specific references for the sections for Item #4?

- (a) Corrective Action ActivitiesX.01.F.(1) Key
Corrective Action Records.....X.01.F.(4) Key
- (b) Verification Procedure ActivitiesX.01.G.(1) Key
Verification Procedure Records.....X.01.G.(1)(c) Key
- (c) Monitoring Procedure ActivitiesX.01.C.(4) Key
Monitoring Procedure Records.....X.01.C.(6) Key
- (d) Records Format/Entries signed or initialed Dated/Firm nameX.01.H. Other

Question: What is the significance of the "Records Accurate/Maintained (K)" item in Inspection Form Item #4, Plan Implementation?

Answer: It is the recognition that records exist for that specified process (e.g. Corrective Action, Verification, and Monitoring). Records must contain actual values for temperatures, actual values for calibrations, detailed corrective actions, etc.

Question: If a firm only stores shellstock in their cooler once or twice a year do they need to keep temperature records all the time?

Answer: No, temperature records are required only when product is stored in the cooler. The firm should have a mechanism for documenting that no product was on hand so that it does not appear that they did not conduct monitoring as stated in the firm's HACCP Plan.

Question: If a firm only has one cooler for both shellstock and shucked shellfish storage would you check for temperature records for both items and debit both items 4(b) and 4(d) if a problem existed?

Answer: No, if there is only one cooler only one record is needed (recommended 4(d) since critical limits are more stringent for shucked product).

ITEM # 4 HACCP PLAN IMPLEMENTATION (Continued)

EXAMPLES OF CONDITIONS TO DEBIT:

A. 4b or 4d (Key) - Temperatures in shellstock cooler are not monitored at frequency specified in the HACCP Plan. (Inadequate Monitoring)

Chapter X.01.C.(46)

B. 4b or 4d (Key) - Thermometers are not calibrated at the frequency specified in the HACCP plan. (Inadequate verification)

Chapter X.01.G.

C. 4a (Key) - Not monitoring the shellstock temperature at the Receiving CCP per the firm's HACCP Plan.

Be aware the Model Ordinance states "Shipped adequately iced, or in a conveyance at or below 45°F ambient air temperature or cooled to an internal temperature of 50°F or less." The dealer's plan may include one or more of these options and not reference monitoring the shellstock temperature at all. Make sure you know what the firm's CL is for their Receiving CCP.

Chapter X.01.C.(46)

D. 4a (Key) - Receiving records not being reviewed, signed and dated weekly.

Chapter X.01.G.(1)(c)(i)

E. 4a (Key) – No records on file at the receiving shellstock dealer that document time of shipment or that conveyance was pre-chilled at 45°F or less.

Chapter X.01.C.(6)

F. 4a (Key) - No thermometer calibration records on file.

Chapter X.01.G.(1)(c)(iii)

G. 4a (Key) - Firm name and address missing from receiving records.

Chapter X.01.H.(1)(a)

H. 4a (Other) - Time of activity missing on some receiving records.

Chapter X.01.H.(1)(b)

I. 4d (Key) - No shucked product cooler monitoring records, cannot document monitoring occurred.

Chapter X.01.C.(6)

ITEM # 4 HACCP PLAN IMPLEMENTATION (Continued)

J. 4e (Key) - Records indicate cooler exceeded critical limit of 45°F maximum temperature with no corrective action.

Chapter X.01.F.(1)

K. 4a (Key) - Harvest area closure log not reviewed as stated in plan.

Chapter X.01.G.(1)(c)(i)

L. 4a (Key) - Purchase records not reviewed as stated in plan.

Chapter X.01.G.(1)(c)(i)

M. 4b (Key) - Calibration records not being maintained as stated in the plan.

Chapter X.01.G. (3)

N. 4b (Other) - Each entry not initialed on temperature log.

Chapter X.01.H.(1)(c)

O. 4c (Key) - No records to document monitoring of processing.

Chapter X.01.C.(6)

ITEM # 5 APPROVED SOURCE

An approved source is defined as a licensed harvester, or certified dealer. All deficiencies marked under item #5 are **CRITICAL** violations. Tagging deficiencies not related to the identification of approved source are debited under item #26.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shellstock not tagged as coming from a licensed harvester. [**Note: Does not apply to Repacking and Reshipping activities.**]

XI.01.A.(1)(a) and/or (b) Critical
XIII.01.A.(1)(a) and/or (b) Critical
XV.01.A.(1)(a) and/or (b) Critical

B. Shellfish not tagged as coming from a special licensed harvester who has harvested or supervised the harvest of shellstock from restricted or conditionally restricted areas in the open status.

XV.01.A.(4)(a) Critical

C. Shellfish not tagged/labeled as coming from a certified dealer.

XI.01.A.(2)(a) Critical	XI.01.A.(4)(b) Critical
XII.01.A.(2) Critical	XIII.01.A.(2)(a) Critical
XIV.01.A.(1)(a) Critical	XV.01.A.(2)(a) Critical

D. Reshipper accepting shellstock from a harvester.

XIV.01.A.(1) Critical

E. Bulk shipments with no transaction record.

XI.01.A.(1)(b) Critical	XI.01.A.(2)(a) Critical
XIII.01.A.(1)(b) Critical	XIV.01.A.(1)(a) Critical
XV.01.A.(1)(b) Critical	XV.01.A.(2)(a) Critical

F. Shellfish containers are tagged but the information on the harvest area is missing and cannot be determined.

XI.01.A.(1)(a) Critical	XI.01.A.(2)(a) Critical
XIII.01.A.(1)(a) Critical	XIII.01.A.(2)(a) Critical
XIV.01.A.(1)(a) Critical	XV.01.A.(1)(a) and (b) Critical
XV.01.A.(2)(a) Critical	

ITEM # 6 TIME/TEMPERATURE CONTROL FAILURE

Harvest Time/Temperature Controls and Dealer Receiving Controls

Dealers are responsible for ensuring that the shellstock they receive was harvested according to NSSP Chapter VIII @.02 A.(1),(2) or (3).

Shellstock shall be harvested in accordance with the state's *Vibrio* Control Plan (VCP) NSSP Chapter VIII @.02 A.(1) for *Vibrio vulnificus* or (2) for *Vibrio parahaemolyticus* or all other shellstock in accordance with the NSSP Chapter VIII @.02 A.(3) matrix below:

Action Level	Average Monthly Maximum Air Temperature	Maximum Hours from Exposure To Receipt at a Dealer's Facility
Level 1	< 50°F (10°C)	36 hours
Level 2	50°F – 60°F (10°C – 15°C)	24 hours
Level 3	>60°F – 80°F (15°C – 27°C)	18 hours
Level 4	>80°F (> 27°C)	12 hours

Product intended for relay, wet storage or depuration, or either geoduck clams (*Panopea generosa*), or *Mercenaria sp* which are being cooled utilizing an Authority approved tempering plan are exempt from the requirement listed in NSSP MO XIII.01.B.(4).

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shellstock received from the harvester past the time requirements set in the State's VCP, and the shellfish tags were not identified as restricted shellstock. [Note: does not apply to Repacking activities.]

XI.01.A.(1)(c) Critical

Chapter XIII.01.A.(1)(c) Critical

B. Shellstock received from harvesters that was not required to meet the State's VCP; however, the shellstock was harvested outside of the NSSP Chapter VIII @.02 A. (3) matrix (above) and was not tagged as restricted shellstock. [Note: The requirement applies only to Shucker-Packers and Shellstock Shippers.]

XI.01.A.(1)(c) Critical

XIII.01.A.(1)(c) Critical

C. Shellstock received by the dealer does not contain a shipping record or other documentation that identified the date/time the shipment left the previous dealer or information as to whether the conveyance was pre-chilled at or below 45°F (7.2°C) ambient air temperature are adequately iced. [Note: The requirement does not apply to Repacking activities.]

XI.01.A.(2)(b) Critical
XIV.01.A.(1)(b) Critical

XIII.01.A.(2)(b) Critical
XV.01.A.(2)(b) Critical

D. Shellstock was received from the harvester within the harvest requirements of the State's VCP; however, the dealer allowed the shellfish to remain out on the unrefrigerated dock past the VCP requirement for the shellstock to be placed under temperature control. [Note: The requirement does not apply to Repacking activities.]

XIII.01.B.(3)(a) or (b) Critical

ITEM # 6 TIME/TEMPERATURE CONTROL (continued)

NSSP MO Chapter VIII @02 A. Time/Temperature Controls

All oysters harvested under State *Vibrio* Control Plans, other than those labeled for a restricted use, shall meet the following temperature requirements:

- (a) Cooled to an internal temperature of 55°F (12.7°C) within the time periods outlined in the State *V.v.* Control Plans. [C]
- (b) Cooled to an internal temperature of 50° F (10°C) within the time periods outlined in the State *V.p.* Control Plans. Shellstock cooled to an internal temperature of 55°F (12.7°C) to comply with a *V.v.* Control Plan is considered in compliance with this requirement.
- (c) All other shellstock obtained from a licensed harvester shall be placed in a conveyance pre-chilled or a storage area maintained to 45°F (7.2°C) or less and cooled to an internal temperature of 50°F (10°C) prior to shipment.

EXAMPLES OF CONDITIONS TO DEBIT:

- A. Shellstock received from harvesters was not cooled down to 55°F (12.7°C) according to the time requirements identified in the State's VCP (*Vibrio vulnificus*). Product was not labeled as restricted shellstock.

XIII.01.B.(3)(a) Critical

- B. Shellstock received from harvesters was not cooled down to 50°F (10°C) according to the time requirements identified in the State's VCP (*Vibrio parahaemolyticus*). Product was not labeled as restricted shellstock. [Note: Does not apply to other certification activities.]

XIII.01.B.(3)(b) Critical

- C. Shellstock harvested outside of the months identified in the State's VCP was not cooled down to an internal temperature of 50°F (10°C) prior to shipment.

XIII.01.B.(4) Critical

Transportation/Shipping documents

For live shellstock shipments the NSSP MO Chapter IX. .05 requires all shipments be accompanied with documentation indicating the date and time of shipment and the temperature of the shellstock at the time of shipping from the shipping dealer. This documentation must include a notice of all shellstock harvested under the requirements of Chapter VIII. @.02.A.(3) that has not been cooled to an internal temperature of 50°F (10°C) and indicate the presence of a time/temperature recording device. For receiving dealers, the NSSP MO Chapter XIII.01 A.2(b) documentation as required in Chapter IX. .05 [Critical].

- A. Shucker packer has shellstock in the facilities cooler but did not receive documentation that verified time the shipment was shipped by the original dealer or that the conveyance was pre-chilled to 45°F or less.

ITEM # 6 TIME/TEMPERATURE CONTROL (continued)

- B. Shellstock shipper has shellstock in the facilities cooler but did not receive documentation that verified time the shipment was shipped by the original dealer or that the conveyance was pre-chilled to 45°F or less.

Note: If during an inspection it is identified that the dealer being inspected is not providing the information required by Chapter IX. .05 this item would be debited under checklist Item #27 Transportation document as a key deficiency.

Dealer Storage Temperature Controls

Shellstock shall be maintained at temperatures necessary to minimize microbial growth. Temperature control is defined as "the management of the environmental temperature of molluscan shellfish by means of ice, mechanical refrigeration, or other approved means which will lower the internal body temperature of the animal or will maintain it at 50°F (10°C) or less." Once placed under temperature control, and until sale to the processor or final consumer, shellstock shall be iced; or placed in a storage area or conveyance maintained at 45°F (7.2°C) or less; and not be permitted to remain without ice, mechanical refrigeration, or other approved methods of storage, as required in NSSP MO XIII.01 B. (2)(c) for more than two (2) hours at points of processing or transfer such as loading docks.

Shucked Meat Storage Critical Control Point - Critical Limit. The dealer shall store shucked and packed shellfish in covered containers at an ambient temperature of 45°F (7.2°C) or less or covered with ice.

In-shell Product Storage Critical Control Point - Critical Limits. The dealer shall ensure that in-shell product shall be:

- (1) Iced; or
- (2) Placed and stored in a storage area or conveyance maintained at 45°F (7.2°C) or less.

Certain critical limits of time and temperature have been established for holding, transportation, processing, and storage of shellfish, which must be addressed under the processor's HACCP Plan.

Dealer Processing Temperature Controls

Processing (Shucking) Critical Control Point - Critical Limits. The dealer shall ensure that:

- (1) For shellstock which has not been refrigerated prior to shucking, shucked meats are chilled to an internal temperature of 45°F (7.2°C) or less within three (3) hours of shucking.
- (2) For shellstock refrigerated prior to shucking, shucked meats are chilled to an internal temperature of 45°F (7.2°C) or less within four (4) hours of removal from refrigeration.
- (3) If heat shock is used, once heat shocked shellstock is shucked, the shucked shellfish meats shall be cooled to 45°F (7.2°C) or less within two (2) hours after the heat shock process.

ITEM # 6 TIME/TEMPERATURE CONTROL (continued)

- (4) When heat shock shellstock are cooled and held under refrigeration for later shucking, the heat shocked shellstock shall be cooled to an internal temperature of 45°F (7.2°C) within two (2) hours from time of heat shock.

Processing (Repacking Shucked Meats) Critical Control Point - Critical Limits. The dealer shall ensure that repacked shucked shellfish do not exceed an internal temperature of 45°F (7.2°C) for more than two (2) hours.

Processing (Shellstock washing/Repacking) – Critical Limits. Once placed under temperature control shall not be permitted to remain without ice, mechanical refrigeration, or other approved methods of storage, as required in NSSP MO XIII.01 B. (2)(c) for more than two (2) hours at points of processing or transfer such as loading docks.

NSSP MO Section IV. Guidance Documents - New Chapter - Time and Temperature Controls - Internal Temperature Measurements.

When monitoring the internal temperature of shellstock, it is acceptable to open the shellstock and measure the temperature of the shellfish directly using a thermometer or use a temperature detector device which provides the external temperature of the product. Where possible, but especially in cases in which product appears to be packaged for final sale, methods for determining the internal temperature of the shellstock should not compromise the integrity of the container. Should circumstances dictate that the measurement of the internal temperature of individual shellfish is necessary then particular care should be taken to avoid transferring heat from the equipment used by, and from the hands of, the inspector to the shellfish.

Individual oysters are typically no more than 0.2 kg in mass and can be warmed relatively quickly through handling by bare hands and when exposed to equipment or environments which are at a higher temperature than the original internal temperature of the animal. Prying open the shells of shellfish is a time consuming and inherently destructive process (those animals measured must be discarded). The internal temperature of shellstock is, under most circumstances, reflected by the external temperature of the space surrounding the shellfish, or the external temperature of the shell of the animal, at the center of a packaged mass of shellstock (box, sack, bag, etc.).

This temperature may be measured by inserting a standard analog or digital thermometer probe into the package to an appropriate depth or by exposing the shellfish at the center of the package for rapid measurement of the external shell temperature such as is made possible with laser guided infrared temperature measurement devices.

Time/Temperature Recording Devices – The time/temperature recording device must allow the receiving dealer to document that continuing cooling has occurred during transport.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shellstock storage at an ambient air temperature of >45°F (7.2°C). [**Note: Does not apply to Repacking activities.**]

XI.01.B.(2)(b) Critical
XIV.01.B.(2) Critical

XIII.01.B.(2)(b) Critical
XV.01.C.(2)(b) Critical

ITEM # 6 TIME/TEMPERATURE CONTROL (continued)

B. Shellstock not under temperature control within time constraints at points of transfer:

XI.01.B.(2)(c) Critical
XIV.01.B.(3) Critical

XIII.01.B.(2)(c) Critical
XV.01.C.(2)(c) Critical

C. Refrigerators which are unable to maintain temperatures of 45°F (7.2°C) or less.

XI.01.B.(2)(b) Critical
XI.01.E. Critical
XIII.01.B.(2)(b) Critical
XIII.01.C.(2) Critical
XIV.01.C.(2) Critical
XV.01.C.(2)(b) Critical

XI.01.C.(2) Critical,
XII.01.C. Critical
XIII.01.B.(4) Critical
XIV.01.B.(2) Critical
XIV.01.D. Critical

D. Refrigeration rooms too small for amount of product stored as evidenced by the inability to maintain proper temperatures.

XI.01.B.(2)(b) Critical
XI.01.E. Critical
XIII.01.B.(2)(b) Critical
XIII.01.C.(2) Critical
XIV.01.C.(2) Critical
XV.01.C.(2)(b) Critical

XI.01.C.(2) Critical
XII.01.C. Critical
XIII.01.B.(4) Critical
XIV.01.B.(2) Critical
XIV.01.D. Critical

E. Shucked shellfish shall be cooled to 45°F (7.2°C) or less within time limits to minimize microbial growth and prevent product deterioration.

Time limits are:

i. Shellstock which has not been refrigerated, shucked meats shall be chilled to 45°F (7.2°C) or less within three (3) hours of shucking.

XI.01.D.(1) Critical

ii. Shellstock which has been refrigerated, shucked meats shall be chilled to 45°F (7.2°C) or less within four (4) hours of removal from refrigeration.

XI.01.D.(2) Critical

iii. Heat shocked shucked shellfish shall be cooled to 45°F (7.2°C) or less within two (2) hours after the heat shock process.

XI.01.D.(3) Critical

ITEM # 6 TIME/TEMPERATURE CONTROL (continued)

Shucked shellfish shall be held at 45°F (7.2°C) or less during storage to prevent bacterial growth and product deterioration. The dealer shall ensure that repacked shellfish do not exceed an internal temperature of 45°F (7.2°C) for more than two (2) hours during processing. There is no specific method required to maintain the proper temperature of the shucked shellfish.

EXAMPLES OF CONDITIONS TO DEBIT:

- A. Shucked product stored at a temperature greater than 45°F (7.2°C). **[Note: This requirement applies to Shellstock Shippers as well, cited under XIV.01.D.]**

XI.01.E. Critical

XII.01.C. Critical

XIV.01.D. Critical

- B. Frozen shellfish are thawed for repacking and the internal temperature exceeds 45°F (7.2°C) for more than two (2) hours at any stage of the repacking process.

XII.01.B. Critical

ITEM # 7 OTHER CRITICAL CONTROL (continued)

If the firm indicates in their HACCP Plan that additional CCPs exist (or additional critical limits for the CCP's required by the MO to provide equivalent public health protection), review the implementation of the controls for those critical limits. If you find a failure to meet those CCPs or critical limits, mark that deficiency here. Other CCP's may include but are not limited to shipping, post-harvest processing, metal detection, or other dealer identified controls.

EXAMPLES OF CONDITIONS TO DEBIT:

- A. Restricted shellstock was shipped (>4 hours) prior to the shellstock reaching an internal temperature of 50°F (10°C) and the shipment did not contain a time/temperature recording device to document continuous cooling of the product. **[Note: The requirement does not apply to Repacker activities.]**

XI.01.A.(3) Critical
XIV.01.A.(2) Critical

XIII.01.A.(3) Critical
XV.01.A.(3) Critical

- B. Shellstock receiving records indicate that shellstock were received as restricted shellstock; however, current tags on the shellstock being placed into shipping container do not have the restricted use labeling on the tags.

XI.01.F. Critical
XIV.01.E.(1) Critical

XIII.01.D.(1) Critical

- C. Post-harvest process controls conducted for each process run did not meet validated controls identified in the HACCP plan. [Note: The requirement does not apply to other certification activities.]

XVI.A.(1)(a) Critical based on failure of HACCP Critical Limit

- D. Post-harvest process verification samples indicate that end point criteria (non-detectable <30MPN/gram) was exceeded. **[Note: The requirement does not apply to other certification activities.]**

XVI.A.(1)(b) Critical based on failure of HACCP Critical Limit

- E. Dealer ships (> 4 hours) shellstock >50°F with no time/temperature recording device indicating continued cooling. **[Note: The requirement does not apply to Reshipper activities but does apply to all other dealer activities.]**

XIII.01.D(2) Critical

- F. Shellstock in wet storage held in unapproved waters. **[Note: Wet storage is not a Reshipper activity.]**

XI.01.B.(1) Critical
XIII.01.B.(1) Critical
XV.01.C.(1) Critical

ITEM # 8 SAFETY OF WATER FOR PROCESSING AND ICE PRODUCTION

Potable water used for drinking, processing operations, washing shellfish, ice manufacturing, and the cleaning of food and non-food contact surfaces shall be from a safe source, such as a municipal water supply or an approved well supply. Unsafe and unprotected sources of water, including ice machine reservoirs, may contain bacteria or chemical contaminants. Cross-connections between potable water supplies and non-potable water may contaminate the potable water supply. There must be no cross connections between sewer and/or non-potable water sources and the potable water supply.

The safety of water is one of the eight KEY sanitation items and shall be monitored during operation.

A *non-municipal water supply* (private source) shall be sampled by persons recognized by the Authority and tested at laboratories sanctioned or certified by the Authority. Testing is required prior to use of the system, every six (6) months while in use, and after the water supply has been repaired and disinfected, even if the intended use is only for hand washing and toilet facilities.

Water for shellstock washing may be either from a potable water supply, a growing area in the approved classification, a growing area in the conditionally approved classification in the open status, or an Authority approved recirculating system. A recirculating system must provide water treatment and disinfection to treat an adequate quantity, and after disinfection, be at a quality acceptable to meet drinking water standards without leaving any unacceptable residues. The NSSP MO requires daily bacteriological testing for recirculating shellstock wash water. The plumbing associated with recirculating shellstock washing processes must be designed and installed to permit effective cleaning and sanitizing.

The dealer may use ultra-violet (UV) disinfection for the recirculating wash water, provided that the turbidity of the water prior to disinfection not exceed twenty (20) nephelometric units (NTU) measured using method in the APHA *Standard Methods for the Examination of Water and Wastewater*.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Private or community well water not tested in accordance with NSSP requirements.

XI.02.A.(1)(b) Swing (C/K)
XIII.02.A.(1)(b) Swing (C/K)
XV.02.A.(1)(b) Swing (C/K)

XII.02.A.(1)(b) Swing (C/K)
XIV.02.A.(1)(b) Swing (C/K)

B. Private well not designed and/or constructed to federal, state and local regulations.

XI.02.A.(1)(a) Critical
XIII.02.A.(1)(a) Critical
XV.02.A.(1)(a) Critical

XII.02.A.(1)(a) Critical
XIV.02.A.(1)(a) Critical

C. Recirculated wash water not treated and disinfected. **[Note: The use of recirculating wash water is not appropriate for Reshippers.]**

XI.02.A.(3)(b)(ii) Critical
XV.02.A.(3)(b)(ii) Critical

XIII.02.A.(3)(b)(ii) Critical

ITEM # 8 SAFETY OF WATER FOR PROCESSING AND ICE PRODUCTION

D. Recirculating wash water not tested for bacteriological water quality on a daily basis. **[Note: The use of recirculating wash water is not appropriate for Reshippers.]**

XI.02.A.(3)(b)(iii) Swing (C/K)
XV.02.A.(3)(b)(iii) Swing (C/K)

XIII.02.A.(3)(b)(iii) Swing (C/K)

E. The plumbing associated with the recirculating wash water for shellstock is not designed and installed to permit effective cleaning and sanitizing.

XV.02.A.(3)(d) Critical

F. A depuration facility using water from an approved growing area that is not sampled at the frequency specified in the MO.

XV.02.A.(4)(b)(i) Critical

G. A depuration facility using a recirculating water system for depuration process water is not sampled daily.

XV.02.A.(4)(b)(ii)b. and (iii)b. Critical

H. A depuration facility is using a prohibited growing area for source water.

XV.02.A.(4)(b)(iii)c. Critical

I. Failure to comply with state/local plumbing codes (approved well).

XI.02.A.(1)(a) Critical
XIII.02.A.(1)(a) Critical
XV.02.A.(1)(a) Critical

XII.02.A.(1)(a) Critical
XIV.02.A.(1)(a) Critical

J. Uncovered and/or unprotected water supply reservoir in an ice machine.

XI.02.A.(4)(a)(i) Swing (C/K)
XIII.02.A.(4)(a) Swing (C/K)
(C/K)XV.02.A.(5)(a)(i) Swing (C/K)

XII.02.A.(3)(a)(i) Swing (C/K)
XIV.02.A.(3)(a) Swing

K. Uncovered and/or unprotected well water supply.

XI.02.A.(4)(a)(i) Swing (C/K)
XIII.02.A.(4)(a) Swing (C/K)
XV.02.A.(5)(a)(i) Swing (C/K)

XII.02.A.(3)(a)(i) Swing (C/K)
XIV.02.A.(3)(a) Swing (C/K)

ITEM # 8 SAFETY OF WATER FOR PROCESSING AND ICE PRODUCTION (Continued)

Cross-connections between potable water supplies and non-potable water may contaminate the potable water supply. An actual cross-connection between potable and non-potable water supply systems must exist before this item is debited as Critical. **[Note: The lack of a backflow or backsiphonage prevention device is debited as Key.]**

EXAMPLES OF CONDITIONS TO DEBIT:

A. Cross connection between potable and non-potable water supply.

XI.02.A.(4)(a)(i) Swing (C/K)

XIII.02.A.(4)(b) Swing (C/K)

(C/K)XV.02.A.(5)(a)(ii) Swing (C/K)

XII.02.A.(3)(a)(ii) Swing (C/K)

XIV.02.A.(3)(b) Swing

B. Hose attached to faucet with no backflow prevention device and lying in tank of water.

XI.02.A.(4)(a)(i) Swing (C/K)

XIII.02.A.(4)(a) Swing (C/K)

XV.02.A.(5)(a)(i) Swing (C/K)











XII.02.A.(3)(a)(i) Swing (C/K)

XIV.02.A.(3)(a) Swing (C/K)

Backflow or backsiphonage is caused by negative pressure in the supply pipe or hose, or when a source at a higher pressure is connected to the system. Negative supply system (backsiphonage) occurs when a high-pressure supply forces contaminated water into the potable water system (backpressure). This can be prevented by the installation of backflow prevention devices. Often, installing backflow prevention devices on all hose bibs or other locations where a hose could be connected are sufficient. Hose bib vacuum breakers are not for use under continuous pressure, meaning if there is a spray nozzle attached to the hose; the hose bib vacuum breaker is insufficient protection against backflow/backsiphonage. A hose with a spray nozzle attached must use a dual check valve with an intermediate atmospheric vent or a pressure type vacuum breaker to protect from backflow and backsiphonage. This item is also marked when there is no air gap between the water supply inlet and the flood level rim of the plumbing fixture or equipment.

ITEM # 8 SAFETY OF WATER FOR PROCESSING AND ICE PRODUCTION (Continued)

Six basic types of control:

<p>Air Gap</p>	<ul style="list-style-type: none"> ● Free, very effective
<p>Hose Bib Vacuum Breaker</p> <div style="display: flex; justify-content: space-around; align-items: center;">   </div> <p>38-308 series 38-404 series</p>	<ul style="list-style-type: none"> ● inexpensive ● for back siphon only ● connects to threaded hose bib ● easy to install/replace
<p>Atmospheric Vacuum Breaker</p> <div style="display: flex; justify-content: space-around; align-items: center;">   </div> <p>38-100 series 38-200 series</p>	<ul style="list-style-type: none"> ● inexpensive ● for back siphon only ● installed inline 6" higher than outlet ● installed in vertical position ● installed after last master shut off valve
<p>Pressure Type Vacuum Breaker</p> <div style="display: flex; justify-content: space-around; align-items: center;">   </div> <p>4V-500 series 4W-500 series</p>	<ul style="list-style-type: none"> ● inexpensive ● good for continuous pressure ● installed inline 12" higher than outlet being protected
<p>Dual Check Valve with Intermediate Atmospheric Vent</p> <div style="display: flex; justify-content: space-around; align-items: center;">   </div> <p>38-500 series 4-400 series</p>	<ul style="list-style-type: none"> ● expensive ● for back pressure and back siphon ● good for continuous pressure
<p>Reduced Pressure Zone Device</p> <div style="display: flex; justify-content: space-around; align-items: center;">   </div> <p>40-700 series 4D-700 series</p>	<ul style="list-style-type: none"> ● very expensive ● installed in main water line ● good for any kind of pressure ● typically installed off of main municipal water line to protect against any potential back pressure/back siphon

EXAMPLES OF CONDITIONS TO DEBIT:

A. No backflow protection on hose outlets (no "in-line" devices or no hose bib devices).

- XI.02.A.(4)(a)(ii) Key**
- XIII.02.A.(4)(c) Key**
- XV.02.A.(5)(a)(ii) Key**

- XII.02.A.(3)(a)(ii) Key**
- XIV.02.A.(3)(b) Key**

B. Hose with spray nozzle attached and a hose bib vacuum breaker on the hose bib.

- XI.02.A.(4)(a)(ii) Key**

- XII.02.A.(3)(a)(ii) Key**

ITEM # 8 SAFETY OF WATER FOR PROCESSING AND ICE PRODUCTION (Continued)

XIII.02.A.(4)(b) Key
XV.02.A.(5)(a)(ii) Key

XIV.02.A.(3)(b) Key

C. Air gaps less than twice the diameter of pipe or <1 inch, whichever is greater.

XI.02.A.(4)(a)(ii) Key
XIII.02.A.(4)(c) Key
XV.02.A.(5)(a)(ii) Key

XII.02.A.(3)(a)(ii) Key
XIV.02.A.(3)(b) Key

D. Faucets terminating without adequate air gap.

XI.02.A.(4)(a)(ii) Key
XIII.02.A.(4)(c) Key
XV.02.A.(5)(a)(ii) Key

XII.02.A.(3)(a)(ii) Key
XIV.02.A.(3)(b) Key

E. Skimmer hose terminates below rim of skimmer.

XI.02.A.(4)(a)(ii) Key

XII.02.A.(3)(ii) Key

F. Toilet valve refill hose extending below the rim of the tank drain tube.

XI.02.A.(4)(a)(ii) Key
XIII.02.A.(4)(c) Key
XV.02.A.(5)(a)(ii) Key

XII.02.A.(3)(a)(ii) Key
XIV.02.A.(3)(b) Key

* Please note that some of the newer toilet tank valves (Korky™ and Fluidmaster™) have built-in backflow prevention in the control valve. When firms utilize this type of valve and the refill hose extends into the tank water this would not be noted as a deficiency.

Plumbing shall be constructed, installed and repaired in compliance with applicable state and local laws. The improper installation and maintenance of plumbing can cause contamination of utensils, equipment, and food products.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Plumbing not installed, maintained, or repaired in accordance with state and local plumbing codes.

XI.02.A.(4)(a) Swing (C/K)
XIII.02.A.(4) Swing (C/K)
Swing (C/K)

XII.02.A.(3)(a) Swing (C/K)
XIV.02.A.(3) Swing (C/K)
XV.02.A.(5)(a)

B. Garden hoses in place of potable water pipes.

XI.02.A.(4)(a)(i) Swing (C/K)

XII.02.A.(3)(a)(i) Swing (C/K)

ITEM # 8 SAFETY OF WATER FOR PROCESSING AND ICE PRODUCTION (Continued)

XIII.02.A.(4)(a) Swing (C/K)
(C/K)XV.02.A.(5)(a) Swing (C/K)

XIV.02.A.(3)(a) Swing

C. Dead-legs in plumbing system.

XI.02.A.(4)(a)(i) Swing (C/K)
XIII.02.A.(4)(a)(i) Swing (C/K)
XV.02.A.(5)(a)(i) Swing (C/K)

XII.02.A.(3)(a)(i) Swing (C/K)
XIV.02.A.(3)(a) Swing (C/K)

ITEM # 8 SAFETY OF WATER FOR PROCESSING AND ICE PRODUCTION (Continued)

Ice used in the processing, storage, or transport of shellfish shall be manufactured from potable water in a commercial ice machine onsite or come from a facility sanctioned by the Authority or the appropriate regulatory authority.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Ice manufactured with contaminated water supply.

XI.02.A.(2)(a) Critical
XIII.02.A.(2)(a) Critical
XV.02.A.(2)(a) Critical

XII.02.A.(2)(a) Critical
XIV.02.A.(2)(a) Critical

B. Ice used for cooling shellstock and shucked oyster meats originated from a fish processor that was not sanctioned by the Shellfish Control Authority or other state food protection agency.

XI.02.A.(2)(b) Critical
XII.02.A.(2)(b) Critical
XV.02.A.(2)(b) Critical

XIII.02.A.(2)(b) Critical
XIV.02.A.(2)(b) Critical

ITEM # 9 CONDITION AND CLEANLINESS OF FOOD CONTACT SURFACES

This section addresses the construction, materials, installation, maintenance, cleaning, and sanitizing of food contact surfaces of utensils and equipment, including gloves and outer garments. Food contact surfaces in food processing can include all equipment, utensils, and facilities used during processing; as well as, worker clothing and hands, and packaging materials. The storage of food contact surfaces is marked under this item. Proper handling of shucking and packing containers is covered here; as is the construction, maintenance, and storage of finger cots and gloves.

A food contact surface is defined as: a surface of equipment or a utensil with which food comes into contact with; or a surface of equipment or utensil from which food may drain, drip, or splash into a food or onto a surface normally in contact with food. Construction requirements for food contact surfaces are contained in the *Shellfish Industry Equipment Construction Guides*.

The *Equipment Construction Guides* note that plastic is adequate but is usually not durable enough for specific uses. Stainless steel should be ASA Type 302 or better. Any internal equipment angles less than 135° shall have a minimum radius of 1/4 inch, and welds shall be smooth and polished. Shucking pails shall hold less than 9 pints (4 pints for soft shell clams). Conveyors shall be solid vinyl or rubber; there shall be no lead items in contact with food; and there shall be no exposed rivet heads, screws, or rough surfaces. Blower air lines shall be cleanable to at least 2 inches above the tank overflow rim. Copy of the *Equipment Construction Guides* is available in the 2013 NSSP MO, *Guidance Documents*.

EXAMPLES OF CONDITIONS TO DEBIT:

- A. Construction of any food contact utensil or equipment not in compliance with the *Equipment Construction Guides*.

XI.02.B.(1)(a) Key
XII.02.B.(1)(a) Key
XV.02.B.(1)(a) Key

XIII.02.B.(1)(a) Key
XIV.02.B. Key

- B. Wood-handled shucking knives or other wood-handled utensils used to open shellstock. **[Note: Only Shucker Packers can shuck shellfish.]**

XI.02.B.(1)(b)(i) Key

- C. Wood or otherwise unacceptable shucking blocks. **[Note: Only Shucker Packers can shuck shellfish.]**

XI.02.B.(1)(d)(ii) Key

- D. The use of unsealed wood or concrete as a component of an ice bin.

XI.02.B.(1)(g) Key
XIII.02.B.(1)(d) Key
XV.02.B.(1)(d) Key

XII.02.B.(1)(d) Key
XIV.02.B. Key

ITEM # 9 CONDITION AND CLEANLINESS OF FOOD CONTACT SURFACES (Continued)

E. Wood-handled ice shovel or scoop.

XI.02.B.(1)(g) Key
XIII.02.B.(1)(d) Key
XV.02.B.(1)(d) Key

XII.02.B.(1)(d) Key
XIV.02.B. Key

F. Use of wood knife holders.

XI.02.B.(1)(b)(i) Key

XII.02.B(1)(b)(i) Key

Does not apply to other processing activities.

G. Heat shock (hot dip) tanks or baskets do not meet food contact surface requirements.

XI.02.B.(1)(f) Key

Does not apply to other processing activities.

H. Exposed rivet heads or screws on food contact surfaces.

XI.02.B.(1)(b)(ii) Key
XIII.02.B.(1)(b)(ii) Key

XII.02.B.(1)(b)(ii) Key
XV.02.B.(1)(b)(ii) Key

I. Rough or rusty food contact surfaces, including rusty 3-compartment sinks.

XI.02.B.(1)(b)(i) Key
XIII.02.B.(1)(b)(i) Key
XV.02.B.(1)(b)(i) Key

XII.02.B.(1)(b)(i) Key
XIV.02.B. Key

J. Skimmer is constructed with less than a 6-inch air break. **[Note: only applies to Shucker-Packers and Repackers.]**

XI.02.B.(1)(a) Key

XII.02.B.(1)(a) Key

K. Surfaces not designed to be easily cleaned – crevices, overlapping metal plates, rolled edges on bowls, etc.

XI.02.B.(1)(b)(i) Key
XIII.02.B(1)(b)(i) Key
XV.02.B.(1)(b)(i) Key

XII.02.B.(1)(b)(i) Key
XIV.02.B. Key

L. Ice bin or ice scoop with rough surfaces or welds.

XI.02.B.(1)(g) Key
XIII.02.B.(1)(d) Key
XV.02.B.(1)(d) Key

XII.02.B.(1)(d) Key
XIV.02.B. Key

ITEM # 9 CONDITION AND CLEANLINESS OF FOOD CONTACT SURFACES (Continued)

M. Ice shovel or scoop stored in splash zone or on floor. Not stored to be protected from contamination.

XI.02.B.(1)(g) Key
XII.02.B.(1)(d) Key
XV.02.B.(1)(d) Key

XIII.02.B.(1)(d) Key
XIV.02.B. Key

N. Blower tank, shucking pail or skimmer table with rough surfaces or welds.

XI.02.B.(1)(c) Key

XII.02.B.(1)(c) Key

Does not apply to other processing activities.

O. Blower air line not cleanable to at least 2 inches above flood rim of blower tank.

XI.02.B.(1)(b)(i) Key

XII.02.B.(1)(b)(i) Key

Does not apply to other processing activities.

P. Blower air supply line or filter dirty.

XI.02.B.(1)(b)(i) Key

XII.02.B.(1)(b)(i) Key

Does not apply to other processing activities.

Q. Shellstock washing tank not self-draining

XI.02.B.(1)(h)(ii) Key
XV.02.A.(3)(b)(i) Key

XIII.02.B.(1)(e)(ii) Key

Does not apply to other processing activities.

Vacuum cleaner used as a *blower*. Carbon bearings used in vacuum cleaner motors can cause incoming air to be contaminated as they wear, and carbon particles are released into the air stream.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Vacuum cleaner used as a blower.

XI.02.B.(1)(b)(i) Key

XII.02.B.(1)(b)(i) Key

Does not apply to other processing activities.

ITEM # 9 CONDITION AND CLEANLINESS OF FOOD CONTACT SURFACES (Continued)

Approved detergents, sanitizers, and other cleaning supplies that are safe, adequate, and effective under the conditions of use. Adequate cleaning facilities, including 3-compartment sinks, brushes, detergents, and sanitizers shall be available within the plant.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Detergents, sanitizers, or cleaning equipment not available for use.

XI.02.B.(2)(a)(i) Key
XIII.02.B.(2)(a)(i) Key
XV.02.B.(2)(a)(i) Key

XII.02.B.(2)(a)(i) Key
XIV.02.B. Key

B. No three-compartment sink. **[Note: Reshippers are not required to have three compartment sinks, but must wash, rinse, and sanitize any equipment used for ice handling.]**

XI.02.B.(2)(a)(i) Key
XIII.02.B.(2)(a)(i) Key

XII.02.B.(2)(a)(i) Key
XV.02.B.(2)(a)(i) Key

Not required for Reshipping activities.

C. Brushes adequate for cleaning all equipment/utensils, e.g. blower air supply tubing, blower air diffuser or "spider," etc. are not available.

XI.02.B.(2)(a)(i) Key
XIII.02.B.(2)(a)(i) Key

XII.02.B.(2)(a)(i) Key
XV.02.B.(2)(a)(i) Key

Not required for Reshipping activities.

D. No sink available in Shellstock Shipper or Reshipper facilities for cleaning ice shovel/scoop if ice shovel/scoop is used. (A single compartment utility sink may be acceptable if the firm's only utensil is an ice scoop or shovel.)

XIII.02.B.(2)(a)(i) Key

XIV.02.B. Key

All gloves shall be clean and well-maintained. Gloves made of absorbent material may be used, however, they shall be:

1. New and clean. If absorbent gloves are reused, they must be properly laundered with hot water in a mechanical washer, sanitized, dried, and stored to prevent contamination before being used.
2. All gloves shall be maintained, discarded if torn or have holes, etc., and replaced as necessary to prevent contamination.

E. Tape on shucker's finger(s).

XI.02.B.(2)(e)(i) Other

ITEM # 9 CONDITION AND CLEANLINESS OF FOOD CONTACT SURFACES (Continued)

Does not apply to other processing activities.

F. Shucker, packer, or repacker using dirty cotton gloves or other type of permeable material.

XI.02.B.(2)(e)(i) Other

XII.02.B.(2)(d)(i) Other

G. Shucker or packer using dirty or torn gloves. **[Note: Shucker Packer and Repacker requirement only.]**

XI.02.B.(2)(e)(v) Key

XII.02.B.(2)(d)(v) Key

H. Dirty shucking/repacking gloves stored on shucking/repacking bench. **[Note: Shucker Packer and Repacker requirement only.]**

XI.02.B.(2)(e)(iv) Key

XII.02.B.(2)(d)(iv) Key

I. Reused shuckers/repackers gloves not sanitized before use, or at least twice daily. **[Note: Shucker Packer and Repacker requirement only.]**

XI.02.B.(2)(e)(ii) Key

XII.02.B.(2)(d)(ii) Key

J. Reused shuckers/repackers gloves not washed or cleaned as necessary. **[Note: Shucker Packer and Repacker requirement only.]**

XI.02.B.(2)(e)(iii) Key

XII.02.B.(2)(d)(iii) Key

Proper *cleaning and sanitizing* of food contact surfaces are essential to remove dirt and contaminants prior to use and between uses. Proper cleaning of food contact surfaces must take place prior to sanitizer application for the sanitizer to be effective. The application of the sanitizing agent could be by immersion, spraying or brushing. Concentrations for chlorine bleach, quaternary ammonium and iodine sanitizing solutions shall be in accordance with the manufacturer's directions on the label.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Dirty food contact surfaces (including those used for storing or holding ice, such as shelf in ice bin).

XI.02.B.(2)(a) Key

XIII.02.B.(2)(a) Key

XV.02.B.(2)(a) Key

XII.02.B.(2)(a) Key

XIV.02.B. Key

B. Food contact surfaces, equipment, and utensils not washed, rinsed, and sanitized between uses or as necessary. Food contact surfaces, equipment, and utensils must be washed and rinsed at the end of each day and sanitized prior to start-up of each day's activities and following any interruption or break.

ITEM # 9 CONDITION AND CLEANLINESS OF FOOD CONTACT SURFACES (Continued)

XI.02.B.(2)(a)(ii) Key
XIII.02.B.(2)(a)(ii) Key
XV.02.B.(2)(a)(ii) Key

XII.02.B.(2)(a)(ii) Key
XIV.02.B. Key

C. No sanitizer or insufficient concentration of sanitizer used for food contact surfaces or utensils.

XI.02.B.(2)(a) Key
XIII.02.B.(2)(a) Key
XV.02.B.(2)(a) Key

XII.02.B.(2)(a) Key
XIV.02.B. Key

D. Ice shovels, ice bins, ice machine chute, and/or ice scoops not cleaned and sanitized as necessary.

XI.02.B.(1)(g) Key
XIII.02.B.(1)(d) Key
XV.02.B.(1)(d) Key

XII.02.B.(1)(d) Key
XIV.02.B. Key

E. Dirty ice bin or ice machine chute.

XI.02.B.(1)(g) Key
XIII.02.B.(1)(d) Key
XV.02.B.(1)(d) Key

XII.02.B.(1)(d) Key
XIV.02.B. Key

F. Ice stored in a dirty container. If there is dirt, mold, etc. observed in the ice, then item #12 **Critical** is marked.

XI.02.B.(1)(g) Key
XIII.02.B.(1)(d) Key
XV.02.B.(1)(d) Key

XII.02.B.(1)(d) Key
XIV.02.B. Key

G. Blower air supply line not sanitized. [**Note: Shucker Packers and Repackers only.**]

XI.02.B.(2)(a) Key

XII.02.B.(2)(a) Key

H. Hot/cold dip and other heat shock equipment not cleaned or sanitized.

XI.02.B.(2)(a) Key

Does not apply to other processing activities.

I. Wet storage tanks not cleaned and sanitized between lots, when emptied, etc. [**Note: Reshippers do not process shellstock so this requirement does not apply.**]

XI.02.B.(2)(a) Key
XIII.02.B.(2)(a) Key

XII.02.B.(2)(a) Key
XV.02.B.(2)(a) Key

ITEM # 9 CONDITION AND CLEANLINESS OF FOOD CONTACT SURFACES (Continued)

J. Depuration tanks are not cleaned and sanitized on a regular schedule as part of the plant standard operating procedure. [Note: The requirement only applies to Depuration certificate holders.]

XV.02.B.(2)(c) Key

Single service containers for shucked shellfish, including repacking shucked shellfish, shall be kept cleaned, covered, and protected from contamination. Containers shall be stored off the floor and away from walls to facilitate inspection and cleaning.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Any uncovered single-use container used for shucked shellfish exposed to dust, dirt splash, or insects during storage. [Note: Requirement for Shucker Packers and Repackers only.]

XI.02.B.(2)(d)(ii) Key

XII.02.B.(2)(c)(ii) Key

B. Reuse of firm's own single-service containers. Single-service containers are not designed to be cleaned adequately for reuse. [Note: Requirement for Shucker Packers and Repackers only.]

XI.02.B.(2)(d) Key

XII.02.B.(2)(c) Key

C. Improper storage of single service items, e.g. shucked shellfish containers, whether rigid plastic containers or plastic bags. [Note: Requirement for Shucker Packers and Repackers only.]

XI.02.B.(2)(d)(ii) Key

XII.02.B.(2)(c)(ii) Key

ITEM #10 PREVENTION OF CROSS-CONTAMINATION

Shellstock shall be protected from contamination during storage and at points of transfer. Washing shellstock in standing water is prohibited. Shellstock shall not be stored on the floor, near puddles of water, left outside unattended, or walked on by employees. Shellstock must be protected from contaminants that may be splashed onto the shellstock by foot traffic, or close enough to the floor for soft-shell clams to extend their siphons to suck up puddled water.

Equipment and utensils, e.g. shellstock containers, pallets, etc. must be stored in a manner to prevent splash, dust, and contamination.

Employees shall wash their hands to prevent contamination of shucked shellfish and shellstock. Employees handling shucked shellfish are required to have effective hair restraints, wear clean out garments, and remove any unsecured jewelry.

Containers of shucked product shall be covered while stored; covered containers of shucked product shall be stored off the floor. Shucking buckets and any other containers of shucked shellfish shall be an adequate height above the floor to prevent contamination by splash. Shucking buckets and any other containers of shucked shellfish shall be an adequate height above the shucking table to prevent contamination by splash or drip.

Activities which could result in the contamination of shellstock or shucked shellfish shall be separated by adequate barriers, or by sufficient space and time.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shellstock storage areas receive drainage from other portions of the facility.

XI.02.C.(1)(a) Swing (C/K)
XIV.02.C.(1)(a) Swing (C/K)

XIII.02.C.(1)(a) Swing (C/K)
XV.02.C.(1)(a) Swing (C/K)

Does not apply to Repacking activities.

B. Shellstock (contained or loose) lying directly on ground, on the floor on which people walk, or employees are walking on shellstock.

XI.02.C.(1)(a) Swing (C/K)
XIV.02.C.(1)(a) Swing (C/K)

XIII.02.C.(1)(a) Swing (C/K)
XV.02.C.(1)(a) Swing (C/K)

Does not apply to Repacking activities.

C. Heat shock (hot dip) tanks or baskets stored on floor or ground. **[Note: Requirement only for Shucker Packers.]**

XI.02.C.(1)(d) Swing (K/O)

D. Shucking knives improperly stored. **[Note: Requirement only for Shucker Packers.]**

XI.02.C.(1)(d) Swing (K/O)

ITEM # 10 PREVENTION OF CROSS-CONTAMINATION

(Continued)

E. Shellstock held outside not protected from contamination.

XI.02.C.(1)(a) Swing (C/K)
XIV.02.C.(1)(a) Swing (C/K)

XIII.02.C.(1)(a) Swing (C/K)
XV.02.C.(1)(a) Swing (C/K)

Does not apply to Repacking activities.

F. Shellstock incidentally stored in bilge water or other water that does not meet approved criteria (not a wet storage system or recirculating shellstock washing system).

XI.02.C.(1)(b) Swing (C/K)
XIV.02.C.(1)(b) Swing (C/K)

XIII.02.C.(1)(b) Swing (C/K)
XV.02.C.(1)(b) Swing (C/K)

Does not apply to Repacking activities.

G. Crabs, fish, etc. intermixed with shellfish in cooler with no partition or spatial separation.

Shellstock:

XI.02.C.(1)(a) Swing (C/K)
XIV.02.C.(1)(a) Swing (C/K)

XIII.02.C.(1)(a) Swing (C/K)
XV.02.C.(1)(a) Swing (C/K)

Does not apply to Repacking activities.

Shucked:

XI.02.C.(1)(b) Swing (C/K)
XIII.02.C.(1)(b) Swing (C/K)

XII.02.C.(1)(b) Swing (C/K)
XIV.02.C.(1)(b) Swing (C/K)

Does not apply to Depuration processing activities.

H. Observation of contaminants on shellstock or in shucked shellfish, e.g. bird droppings, insects, dirt, vermin, hair, animal urine, trash, etc.

Shellstock:

XI.02.C.(1)(b) Critical
XIV.02.C.(1)(b) Critical

XIII.02.C.(1)(b) Critical
XV.02.C.(1)(b) Critical

Shucked:

XI.02.C.(1)(b) Critical
XII.02.C.(1)(a) Critical

XIII.02.C.(1)(b) Critical
XIV.02.C.(1)(b) Critical

I. Dirty ice added to shucked shellfish or placed on shellstock.

Shellstock:

XI.02.C.(1)(a) Critical
XIV.02.C.(1)(a) Critical

XIII.02.C.(1)(a) Critical
XV.02.C.(1)(a) Critical

ITEM # 10 PREVENTION OF CROSS-CONTAMINATION

(Continued)

Shucked:

XI.02.C.(1)(b) Critical
XII.02.C.(1)(a) Critical

XIII.02.C.(1)(b) Critical
XIV.02.C.(1)(b) Critical

J. Shucking on floor.

XI.02.C.(1)(b) Swing (C/K)

Does not apply to other processing activities.

K. Electric insect killers installed over shucking bench, shucking stall, food contact surfaces, or shellstock/shucked shellfish product storage area.

XI.02.C.(1)(b) Swing (C/K)
XIII.02.C.(1)(b) Swing (C/K)
XV.02.C.(1)(b) Swing (C/K)

XII.02.C.(1)(a) Swing (C/K)
XIV.02.C.(1)(b) Swing (C/K)

L. Open containers of shucked shellfish on floor. **[Note: Applies to Shucker Packers and Repackers only.]**

XI.02.C.(1)(b) Swing (C/K)

XII.02.C.(1)(a) Swing (C/K)

M. Open containers of shucked shellfish in cooler.

XI.02.C.(1)(b) Swing (C/K)
XII.02.C.(1)(a) Swing (C/K)

XIII.02.C.(1)(b) Swing (C/K)
XIV.02.C.(1)(b) Swing (C/K)

N. Use of seaweed, wet newspaper, or previously used burlap on shellstock.

XI.02.C.(1)(a) Swing (C/K)
XIV.02.C.(1)(a) Swing (C/K)

XIII.02.C.(1)(a) Swing (C/K)
XV.02.C.(1)(a) Swing (C/K)

Does not apply to other processing activities.

Different operations should be separated to prevent cross-contamination. Contamination may occur from spatter, handling other foods, processing methods, shucking, etc. Adequate separation between other processing operations and shellfish processing may be obtained by operating at different times, utilizing effective barriers, e.g., walls, or providing adequate spatial separation.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Packing/weighing/sorting and storing operations conducted in shucking room or processing areas not sufficiently separated by barriers, space, or time.

XI.02.C.(2)(b) Key

XV.02.C.(2) Key

ITEM # 10 PREVENTION OF CROSS-CONTAMINATION

(Continued)

Does not apply to other processing activities.

- B. Mud or water from shucking room splashing into packing room. **[Note: Requirement for Shucker Packers only.]**

XI.02.C.(1)(b) Key

- C. Aisles and work space obstructed or too narrow to allow employees to perform duties without contaminating shellfish, their clothing, or food contact surfaces. **[Note: Requirement applies to Shucker Packer and Depuration Processors.]**

XI.02.C.(2)(b) Key

XV.02.C.(2) Key

Does not apply to other processing activities.

- D. Shucked shellfish delivery window slopes into packing room.

XI.02.C.(2)(b) Key

ITEM # 10 PREVENTION OF CROSS-CONTAMINATION

(Continued)

Employees shall wash their hands to prevent contamination of shucked shellfish and shellstock before starting work, after each absence from their work station, after each work interruption, and any other time their hands may have become soiled or contaminated.

Employees may work in both the packing and shucking room, however, they must wear clean outer garments and wash their hands upon entering the shucking or packing rooms. There is an exception for small operations, which allows the shucker to enter the packing room provided the shucker puts on a clean apron and washes their hands thoroughly after entering the packing room.

EXAMPLES OF CONDITIONS TO DEBIT:

- A. Employees not washing their hands after returning from a break, or when entering the shucking, repacking, or packing room to work. **[Note: the example is specific to Shucker Packers and Repackers.]**

XI.02.C.(3)(b) Key

XII.02.C.(2)(b) Key

Does not apply to other processing activities.

- B. Shuckers entering packing room.

XI.02.C.(1)(b) Swing (C/K)

- C. Shucker also acting as packer and not washing hands upon entering packing room. **[Note: the requirement applies to Shucker Packers only.]**

XI.02.C.(3)(a) Key

Does not apply to other processing activities.

- D. Employees not washing their hands before starting work, after returning from break, or any time their hands have become soiled or contaminated.

XI.02.C.(3)(b) Key

XIII.02.C.(2)(a) Key

XV.02.C.(3)(a) Key

XII.02.C.(2)(b) Key

XIV.02.C.(2)(a) Key

ITEM # 10 PREVENTION OF CROSS-CONTAMINATION

(Continued)

Employees handling shucked shellfish, or working in areas where shellfish are shucked, packed or repacked, must wear effective hair restraints, remove hand jewelry (or wear clean finger cots or gloves), and wear clean outer garments (which are rinsed or changed as necessary to keep them clean) to protect shellfish from contamination.

In areas where shellfish are shucked, packed, repacked, stored, and in areas where utensils are cleaned or stored, employees shall not store clothing or other personal belongings; eat or drink; spit; or use tobacco in any form.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Facilities should be provided outside the food processing areas for storage of clothes, food and other personal items.

XI.02.C.(3)(c)(v)(a) Other and (b) Key
XIII.02.C.(2)(b)(i) Other and (ii) Key
XV.02.C.(3)(b)(i) Other and (ii) Key

XII.02.C.(2)(c)(v)(a) Other and (b) Key
XIV.02.C.(2)(b)(i) Other and (ii) Key

B. Jewelry on hands of shuckers, repackers, or packers while processing product. (Easily cleanable wedding bands or similar type jewelry is acceptable.) **[Note: The requirement applies to Shucker Packers and Repackers only.]**

XI.02.C(3)(c)(ii) Other

XII.02.C(2)(c)(ii) Other

C. Employees eating, drinking, smoking, or spitting in areas where shellfish are shucked, repacked, or packed, or in any area used for the cleaning or storage of utensils.

XI.02.C.(3)(v)(b),(c), or (d) Key
XII.02.C.(2)(c)(v)(b), (c), or (d) Key
XV.02.C.(3)(v)(b),(ii), (iii) or (iv) Key

XIII.02.C.(2)(b)(ii),(iii), or (iv) Key
XIV.02.C.(2) (b)(ii), (iii), or (iv) Key

D. No hair restraint on shucker, repacker, or packer or a non-effective hair restraint. **[Note: The requirement applies to Shucker Packers and Repackers only.]**

XI.02.C.(3)(c)(i) Other

XII.02.C.(2)(c)(i) Other

E. Packer wearing dirty apron. **[Note: The requirement applies to Shucker Packers and Repackers only.]**

XI.02.C.(3)(c)(iv) Other

XII.02.C.(2)(c)(iv) Other

Does not apply to other processing activities.

F. Employee wearing dirty clothes or no shirt while working. **[Note: The requirement applies to Shucker Packers and Repackers only.]**

XI.02.C.(3)(c)(iv) Other

XII.02.C.(2)(c)(iv) Other

ITEM # 10 PREVENTION OF CROSS-CONTAMINATION

(Continued)

G. Employees personal clothing or other items. (e.g., purses, jackets, mobile phones, etc.) stored on shucking bench, tables, in the cooler, on a shelf with utensils, on the edge of the utensil cleaning sink(s), on skimmer, in the packing room, on top of shellstock bags, on shucked shellfish containers, etc.

XI.02.C.(3)(c)(v)a. Other
XIII.02.C.(2)(b)(i) Other
XV.02.C.(3)(b)(i) Other

XII.02.C.(2)(c)(v)a. Other
XIV.02.C.(2)(b)(i) Other

H. Food or drink containers in processing areas, cooler, on shucking table, in packing room, on ice machine, on skimmer, in packing area, on shellstock or shucked shellfish packaging material, etc.

XI.02.C.(3)(c)(v)b. Key
XIII.02.C.(2)(b)(ii) Key
XV.02.C.(3)(b)(ii) Key

XII.02.C.(2)(c)(v)b. Key
XIV.02.C.(2)(b)(ii) Key

ITEM # 11 MAINTENANCE OF HANDWASHING, AND TOILET FACILITIES

Warm water at a minimum temperature of 100°F (37.8°C) shall be provided at hand wash facilities. Toilets shall be conveniently located, properly maintained, and supplied with toilet paper in a suitable holder. Sewage [C] and liquid disposal wastes [K] shall be properly removed from the facility.

Acceptable toilet facilities are required and shall be kept clean, functional, and supplied with necessary amenities. Separate toilets for men and women are not required for firms with fewer than 10 employees, unless required by state or local code. Shellstock Shippers and Reshippers are required to have access to adequate toilet facilities. In the NSSP, there is no requirement for a sink in the toilet room; however, one may be required by applicable plumbing codes. The NSSP requires a hand wash station to be located where a supervisor can observe employees washing their hands.

EXAMPLES OF CONDITIONS TO DEBIT

A. No warm water 100°F (37.8°C) at hand wash sink.

XI.02.D.(1) Swing (K/O)
XIII.02.D.(1) Swing (K/O)
XV.02.D.(1) Swing (K/O)

XII.02.D.(1) Swing (K/O)
XIV.02.D.(1) Swing (K/O)

B. No mixing valve or combination faucet at hand wash sink.

XI.02.D.(1) Swing (K/O)
XIII.02.D.(1) Swing (K/O)
XV.02.D.(1) Swing (K/O)

XII.02.D.(1) Swing (K/O)
XIV.02.D.(1) Swing (K/O)

C. Inadequate number of toilets for number of employees.

XI.02.D.(6)(b) Key
XII.02.D.(3)(b) Key
XV.02.D.(5)(b) Key

XIII.02.D.(3)(b) Key
XIV.02.D.(3)(b) Key

D. No adequately working toilet available for use.

XI.02.D.(6)(b) Key
XIII.02.D.(3)(b) Key
XV.02.D.(5)(b) Key

XII.02.D.(3)(b) Key
XIV.02.D.(3)(b) Key

E. Drain lines from hand wash not appropriately plumbed to sewage system.

XI.02.D.(2)(c) Key
XIII.02.D.(1)(a)(iii) Key
XV.02.D.(2)(c) Key

XII.02.D.(1)(a)(iii) Key
XIV.02.D.(1)(a)(iii) Key

ITEM # 11 MAINTENANCE OF HANDWASHING, AND TOILET FACILITIES (Continued)

F. Restrooms greater than 500 feet from facility or greater than one floor level away (Building Officials and Code Administrators International, Inc., [BOCA] Code 1202.4).

XI.02.D.(6)(b) Key
XIII.02.D.(3)(b) Key
XV.02.D.(5)(b) Key

XII.02.D.(3)(b) Key
XIV.02.D.(3)(b) Key

G. Leaking toilet seal (leaking around base of toilet).

XI.02.D.(5) Critical
XIII.02.D.(2) Critical
XV.02.D.(4) Critical

XII.02.D.(2) Critical
XIV.02.D.(2) Critical

H. No toilet paper.

XI.02.D.(6)(c) Key
XIII.02.D.(3)(c) Key
XV.02.D.(5)(c) Key

XII.02.D.(3)(c) Key
XIV.02.D.(3)(c) Key

I. Restroom doors open directly to processing area.

XI.02.D.(6)(a) Key
XIII.02.D.(3)(a) Key
XV.02.D.(5)(a) Key

XII.02.D.(3)(a) Key
XIV.02.D.(3)(a) Key

J. Restroom doors that are not tight fitting or self-closing.

XI.02.D.(6)(a) Key
XIII.02.D.(3)(a) Key
XV.02.D.(5)(a) Key

XII.02.D.(3)(a) Key
XIV.02.D.(3)(a) Key

ITEM # 11 MAINTENANCE OF HANDWASHING, AND TOILET FACILITIES (Continued)

Handwash sinks shall be conveniently located to encourage employee hand washing. There shall be a hand washing station in the packing room. Hand washing stations shall have signs in language understood by employees; disposable towels (or heated air hand dryer); soap or detergent; and an easily cleaned waste receptacle. A firm handling only boxes or bags of shellstock is not required to have a hand sink in the work area, a conveniently located hand sink in the restroom is sufficient.

EXAMPLES OF CONDITIONS TO DEBIT:

A. No hand wash sink present.

XI.02.D.(2)(d) Key
XIII.02.D.(1)(a)(iv) Key
XV.02.D.(2)(d) Key

XII.02.D.(1)(a)(iv) Key
XIV.02.D.(1)(a)(iv) Key

B. Handwash sink present but not accessible for use (e.g. full of boxes).

XI.02.D.(2)(a) Other
XIII.02.D.(1)(a)(i) Other
XV.02.D.(2)(a) Other

XII.02.D.(1)(a)(i) Other
XIV.02.D.(1)(a)(i) Other

C. No hand wash sink in the packing room(s). [Note: The requirement applies to Shucker Packer and Repackers only.]

XI.02.D.(3) Other

XII.02.D.(1)(b) Other

D. No hand wash sign at a hand wash station.

XI.02.D.(4)(d) Other
XIII.02.D.(1)(b)(iv) Other
XV.02.D.(3)(d) Other

XII.02.D.(1)(c)(iv) Other
XIV.02.D.(1)(b)(iv) Other

E. No disposable hand towels or heated air dryer available at each hand wash station.

XI.02.D.(4)(b) Other
XIII.02.D.(1)(b)(ii) Other
XV.02.D.(3)(b) Other

XII.02.D.(1)(c)(ii) Other
XIV.02.D.(1)(b)(ii) Other

F. No soap available at each hand wash station.

XI.02.D.(4)(a) Key
XIII.02.D.(1)(b)(i) Key
XV.02.D.(3)(a) Key

XII.02.D.(1)(c)(i) Key
XIV.02.D.(1)(b)(i) Key

G. Use of continuous roll or common cloth towels.

XI.02.D.(4)(b) Other
XIII.02.D.(1)(b)(ii) Other

XII.02.D.(1)(c)(ii) Other
XIV.02.D.(1)(b)(ii) Other

ITEM # 11 MAINTENANCE OF HANDWASHING, AND TOILET FACILITIES (Continued)

XV.02.D.(3)(b) Other

H. No waste receptacle at each hand wash station if disposable hand towels are used.

XI.02.D.(4)(c) Other
XIII.02.D.(1)(b)(iii) Other
XV.02.D.(3)(c) Other

XII.02.D.(1)(c)(iii) Other
XIV.02.D.(1)(b)(iii) Other

I. Handwash signs not in language understood by employees.

XI.02.D.(4)(d) Other
XIII.02.D.(1)(b)(iv) Other
XV.02.D.(3)(d) Other

XII.02.D.(1)(c)(iv) Other
XIV.02.D.(1)(b)(iv) Other

J. Handwash sink not located where supervisor can observe hand washing.

XI.02.D.(2)(d) Key
XIII.02.D.(1)(a)(iv) Key
XV.02.D.(2)(d) Key

XII.02.D.(1)(a)(iv) Key
XIV.02.D.(1)(a)(iv) Key

ITEM # 12 PROTECTION FROM ADULTERANTS

Shellfish shall be protected from contamination and adulteration while being transferred during handling and processing, including returnable containers for interplant shipment.

Any light fixtures, light bulbs, skylights or other glass suspended over food storage or processing areas shall be of the safety type or protected to prevent food contamination in case of breakage.

Ice is a food and must be protected from contamination. It shall be inspected when received and rejected if it was delivered in an unprotected manner or has visible signs of contamination

Adequate ventilation shall be provided to minimize condensation in areas where shellfish are stored, processed, and packed. Condensate dripping into ice inside the ice machine or in the ice room is not debited as long as the ceiling surface is clean.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Unshielded lights in processing areas. Shielding includes plastic tubes and end caps fitted over fluorescent lights, plastic coated light bulbs or metal frames over incandescent bulbs.

XI.02.E.(2) Other
XIII.02.E.(2) Other
XV.02.E.(2) Other

XII.02.E.(2) Other
XIV.02.E.(2) Other

Adequate *ventilation* is required to remove noxious fumes, to minimize condensation, and to prevent contamination of shellfish by airborne pollutants. Condensate on the cooler ceiling or walls is debited here. Infrequent occurrences of dampness in areas such as over a cooler door on a humid day are acceptable.

A. Condensation must be removed from the heat shock room.

XI.02.E.(5) Swing (C/K)

Does not apply to other processing activities.

B. Condensation on ceilings, walls or attached equipment anywhere in the facility where food may become contaminated.

XI.02.E.(5) Swing (C/K)
XIII.02.E.(6) Swing (C/K)
XV.02.E.(4) Swing (C/K)

XII.02.E.(5) Swing (C/K)
XIV.02.E.(5) Swing (C/K)

C. Condensate dripping from ceiling or pipe onto ice used for processing or storage.

XI.02.E.(4)(b) Swing (C/K)
XIII.02.E.(5)(b) Swing (C/K)
XV.02.E.(6)(b) Swing (C/K)

XII.02.E.(4)(b) Swing (C/K)
XIV.02.E.(4)(b) Swing (C/K)

ITEM # 12 PROTECTION FROM ADULTERANTS (Continued)

Protection of food-contact surfaces *from adulterants*.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Use of shucking buckets to hold chemical compounds such as sanitizer.

XI.02.E.(3) Key

Does not apply to other processing activities.

Ice is used on shellstock, shucked product and containers of shucked product. Ice is a food and shall be stored so that it does not come in contact with unclean surfaces and is protected from contamination. Ice used for shellstock shall be handled in the same way as ice used for shucked shellfish. This item is marked as a critical deficiency when contaminants are observed in the ice.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Failure to inspect ice received from another plant.

XI.02.E.(4)(a) Key
XIII.02.E.(5)(a) Key
XV.02.E.(6)(a) Key

XII.02.E.(4)(a) Key
XIV.02.E.(4)(a) Key

B. Ice stored directly on a floor that may be subject to foot traffic, including foot traffic inside the ice bin.

XI.02.E.(4)(b) Key
XIII.02.E.(5)(b) Key
XV.02.E.(6)(b) Key

XII.02.E.(4)(b) Key
XIV.02.E.(4)(b) Key

C. Any visible contaminants in the ice supply, i.e., dirt, rust, etc.

XI.02.E.(4)(b) Critical
XIII.02.E.(5)(b) Critical
XV.02.E.(6)(b) Critical

XII.02.E.(4)(b) Critical
XIV.02.E.(4)(b) Critical

D. Door to ice bin left open to outside of plant when not in use.

XI.02.E.(4)(b) Key
XIII.02.E.(5)(b) Key
XV.02.E.(6)(b) Key

XII.02.E.(4)(b) Key
XIV.02.E.(4)(b) Key

E. Food or beverage containers, or food, stored in or on the ice supply.

XI.02.E.(4)(b) Critical
XIII.02.E.(5)(b) Critical
XV.02.E.(6)(b) Critical

XII.02.E.(4)(b) Critical
XIV.02.E.(4)(b) Critical

ITEM # 12 PROTECTION FROM ADULTERANTS (Continued)

Returnable containers are used only for interplant shipments. They should be sealed during shipment, so the contents will be protected from contamination during transportation.

EXAMPLES OF CONDITIONS TO DEBIT:

- A. Shucked shellfish in containers with loose fitting lid being moved to another plant or section of the same plant.

XI.02.E.(1) Key
XIV.02.E.(1) Key

XII.02.E.(1) Key

Does not apply to other processing activities.

The *air intake* for the blower must be located in a protected area to prevent contamination of the air used in processing shellfish. Filters must be of an approved type to prevent airborne contaminants, oil, or other liquids from entering into the blower.

EXAMPLES OF CONDITIONS TO DEBIT:

- A. Air filter or intake housing rusty.

XI.02.E.(7) Other

- B. Air intake not in protected area.

XI.02.E.(7) Other

- C. Oil bath or immersion type filter.

XI.02.E.(7) Other

ITEM # 13 PROPER LABELING, STORAGE, AND USE OF TOXIC COMPOUNDS

Containers with poisonous or toxic materials shall be properly labeled, used, and stored to prevent the contamination of food, packing materials, and food contact surfaces. Insecticides and rodenticides are permitted if used properly. Sanitizers and detergents may be toxic if used improperly and are considered toxic materials. All sanitizers, pesticides and detergents must be properly labeled and contain directions for mixing for use in the food industry.

Each category of toxic substance shall be physically separated during storage as follows:

1. Insecticides and rodenticides
2. Detergents, sanitizers, cleaning agents
3. Caustic acids, polishes, other chemicals

Recommended chlorine sanitizer strengths:

1. Hand sanitizer: 50 – 100 ppm
2. Food contact surfaces: 100 – 200 ppm

Recommended quaternary ammonium strengths:

1. Hand sanitizer: None
2. Food contact surfaces: 200 ppm

Recommended iodine strengths:

1. Hand sanitizer: 12.5 - 25 ppm
2. Food contact surfaces: 25 ppm

The original container labels should show:

- Name of compound or solution in the container
- Name and address of manufacturers (manufactured for; packed for, or distributed by; and
- Instruction for proper use.

A working container label must show:

- Name of compound or solution in the container; and
- Instruction for proper use.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Use of bearing grease or other non-food grade grease to lubricate machinery in processing areas.

XI.02.F.(2)(c) Key
XIII.02.F.(2)(c) Key
XV.02.F.(2)(b) Key

XII.02.F.(2)(c) Key
XIV.02.F.(2)(c) Key

ITEM # 13 PROPER LABELING, STORAGE, AND USE OF TOXIC COMPOUNDS (Continued)

B. No labeling or mislabeling of chemicals; labels unreadable.

XI.02.F.(2)(b) Key
XIII.02.F.(2)(b) Key
XV.02.F.(2)(b) Key

XII.02.F.(2)(b) Key
XIV.02.F.(2)(b) Key

C. Chlorine (bleach) used at a concentration of >200 ppm on food contact surfaces.

XI.02.F.(2)(b) Key
XIII.02.F.(2)(b) Key
XV.02.F.(2)(b) Key

XII.02.F.(2)(b) Key
XIV.02.F.(2)(b) Key

D. Iodine used at a concentration of >25 ppm on food contact surfaces.

XI.02.F.(2)(b) Key
XIII.02.F.(2)(b) Key
XV.02.F.(2)(b) Key

XII.02.F.(2)(b) Key
XIV.02.F.(2)(b) Key

E. Use of chlorine without directions for mixing proper sanitizer strength.

XI.02.F.(2)(b) Key
XIII.02.F.(2)(b) Key
XV.02.F.(2)(b) Key

XII.02.F.(2)(b) Key
XIV.02.F.(2)(b) Key

F. No separation of the three categories of toxic materials.

XI.02.F.(1)(b) Key
XIII.02.F.(1)(b) Key
XV.02.F.(2)(b) Key

XII.02.F.(1)(b) Key
XIV.02.F.(1)(b) Key

G. Storage of toxic materials in processing areas.

XI.02.F.(1)(c) Key
XIII.02.F.(1)(c) Key
XV.02.F.(1)(c) Key

XII.02.F.(1)(c) Key
XIV.02.F.(1)(c) Key

H. Misuse of toxic chemicals such as spraying insecticide on food contact surfaces. A restricted use pesticide shall be applied by an applicator certified as defined in 7 USC 136(e) the Federal Insecticide, Fungicide and Rodenticide Act.

XI.02.F.(2)(a) Key
XIII.02.F.(2)(a) Key
XV.02.F.(2)(a) Key

XII.02.F.(2)(a) Key
XIV.02.F.(2)(a) Key

I. Toxic compounds stored where they could contaminate food contact surfaces.

XI.02.F.(1)(c) Key

XIII.02.F.(1)(c) Key

ITEM # 13 PROPER LABELING, STORAGE, AND USE OF TOXIC COMPOUNDS (Continued)

XII.02.F.(1)(c) Key
XV.02.F.(1)(c) Key

XIV.02.F.(1)(c) Key

J. Toxic compounds stored where they could contaminate shellfish.

XI.02.F.(1)(c) Key
XII.02.F.(1)(c) Key
XV.02.F.(1)(c) Key

XIII.02.F.(1)(c) Key
XIV.02.F.(1)(c) Key

K. Test kit or other device not available to accurately measure the concentration of the chemical sanitizing agent is use.

XI.02.F.(2)(d) Key
XII.02.F.(2)(d) Key

XIII.02.F.(2)(d) Key
XV.02.F.(2)(d) Key

XIV Reshipping does not reference under 02.F a requirement for a test kit or other device to measure the concentration of a chemical sanitizing agent.

ITEM # 14 CONTROL OF EMPLOYEES WITH ADVERSE HEALTH CONDITIONS

No one with symptoms of communicable disease shall work in a food processing firm in any capacity in which 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.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Personnel known to have or observed with signs of a communicable disease.

XI.02.G.(1) Key
XIII.02.G.(1) Key
XV.02.G.(1) Key

XII.02.G.(1) Key
XIV.02.G.(1) Key

B. Personnel known to have or observed with signs of infection.

XI.02.G.(2) Key
XIII.02.G.(2) Key
XV.02.G.(2) Key

XII.02.G.(2) Key
XIV.02.G.(2) Key

C. Personnel with an exposed wound.

XI.02.G.(3) Key
XIII.02.G.(3) Key
XV.02.G.(3) Key

XII.02.G.(3) Key
XIV.02.G.(3) Key

ITEM #15 EXCLUSION OF PESTS

Insects, rodents and other pests shall be excluded from the facility and processing activities. Dogs, cats and other animals including birds shall also be excluded.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Flies or other insects noted in facility or conveyances.

XI.02.H. Key
XII.02.H. Key
XV.02.H. Key

XIII.02.H. Key
XIV.02.H. Key

B. Rodents, insects, or other vermin, or evidence of their activity (droppings or runs) in the facility or in conveyances.

XI.02.H. Key
XII.02.H. Key
XV.02.H Key

XIII.02.H. Key
XIV.02.H. Key

C. Cats, dogs or other animals inside facility; or with access to facility or storage area for vehicles used to transport shellfish.

XI.02.H. Key
XII.02.H. Key
XV.02.H Key

XIII.02.H. Key
XIV.02.H. Key

ITEM # 16 SANITATION MONITORING AND RECORDS

Sanitation Monitoring: Each dealer shall monitor conditions and practices that are both appropriate to the plant and the food being processed with sufficient frequency to ensure, at minimum, conformance the requirements specified in XI.02, XII.02, XIII.02, XIV.02, and XV.02. The requirements specified in these Sections relate to Inspection Form Items 8 through 15.

Sanitation Monitoring Records: Each dealer shall maintain sanitation control records that, at a minimum, document the monitoring and corrections prescribed by §.02A.

These records are subject to the requirements of §.01H.

Deficiencies in the format of the records are coded as Other deficiencies. Each record must contain the name and location of the firm, the date and time of the monitoring activity, the identity of the product and production code (if these are appropriate), and the initials or signature of the person performing the operation.

EXAMPLES OF CONDITIONS TO DEBIT:

This is the section dealing with the firm's monitoring of the 8 Key Sanitation Items (Inspection Form Items 8–15), and the records which document that monitoring is taking place as specified in the SSOP's. *Deficiencies noted in monitoring or recordkeeping for Inspection Form Items 8 – 15 are marked here.*

- X.02.A. Key Monitoring deficiencies**
- X.02.B. Key Recordkeeping deficiencies**
- X.02.B. Other Format deficiencies**

ITEM # 17 PLANTS AND GROUNDS

This item includes maintenance of the physical facilities, exclusion of pests, flood conditions, and physical conditions in and around the plant and grounds. Acceptable toilet facilities are required and shall be kept clean and functional.

Flood waters may contain bacterial, chemical, or toxic contaminants which would render the facility unfit for storing or processing of food products. This item may also refer to unusually high tides caused by hurricanes, or other natural causes. If the plant is flooded, operations shall be discontinued until flood waters recede and the building is cleaned and sanitized.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Plant is operating while flood or high tide water has encroached within the plant facility.

XI.03.A.(2)(b)(i) Critical
XIII.03.A.(2)(b)(i) Critical
XV.03.A.(2)(b)(i) Critical

XII.03.A.(2)(b)(i) Critical
XIV.03.A.(2)(b)(i) Critical

B. Plant operating after flooding but before being cleaned and sanitized.

XI.03.A.(2)(b)(i) Critical
XIII.03.A.(2)(b)(i) Critical
XV.03.A.(2)(b)(i) Critical

XII.03.A.(2)(b)(i) Critical
XIV.03.A.(2)(b)(i) Critical

Insects, rodents and other vermin are carriers of microorganisms which may be transmitted to the food or to food contact surfaces. Approved flypaper, traps, and pellets are acceptable control measure for non-food areas. Insect light traps are acceptable for food plants if they are cleaned regularly and are properly located.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Rodent burrows outside facility.

XI.03.A.(4) Key
XIII.03.A.(4) Key
XV.03.A.(4) Key

XII.03.A.(4) Key XIII.03.A.(4) Key
XIV.03.A.(4) Key

B. No drain covers on floor or wall drains.

XI.03.A.(4) Key
XIII.03.A.(4) Key
XV.03.A.(4) Key

XII.03.A.(4) Key
XIV.03.A.(4) Key

C. Torn screens or screens exceeding 16 mesh per inch.

XI.03.A.(4)(b) Key
XIII.03.A.(4)(b) Key
XV.03.A.(4)(b) Key

XII.03.A.(4)(b) Key
XIV.03.A.(4)(b) Key

ITEM # 17 PLANTS AND GROUNDS (Continued)

D. Wall openings, such as conveyer exits, not screened or without sufficient barrier to prevent entry of vermin.

XI.03.A.(4) Key
XIII.03.A.(4) Key
XV.03.A.(4) Key

XII.03.A.(4) Key
XIV.03.A.(4) Key

E. Holes go completely through walls to the outside, allowing for pest access.

XI.03.A.(4) Key
XIII.03.A.(4) Key
XV.03.A.(4) Key

XII.03.A.(4) Key
XIV.03.A.(4) Key

F. Unscreened exhaust vents.

XI.03.A.(4) Key
XIII.03.A.(4) Key
XV.03.A.(4) Key

XII.03.A.(4) Key
XIV.03.A.(4) Key

G. Uncovered wet storage areas open to vermin, rodents and insects.

XI.03.A.(4) Key
XIII.03.A.(4) Key
XV.03.A.(4) Key

XII.03.A.(4) Key
XIV.03.A.(4) Key

H. Any open, unscreened window or door, as well as, gaps between the floor and the door.

XI.03.A.(4) Key
XIII.03.A.(4) Key
XV.03.A.(4) Key

XII.03.A.(4) Key
XIV.03.A.(4) Key

I. Exterior door not tight fitting.

XI.03.A.(4)(a) Key
XIII.03.A.(4)(a) Key
XV.03.A.(4)(a) Key

XII.03.A.(4)(a) Key
XV.03.A.(4)(a) Key

Debris and litter exemplify unsanitary practices by plant management. These conditions create harborage for insects, rodents and other vermin. This item applies to both the interior and exterior of the facility.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Improperly stored, unused equipment inside or around the exterior of the facility (e.g. against walls, preventing access for cleaning; and, creating harborage for vermin).

Inside:

XI.03.A.(5)(a) Other
XIII.03.A.(5)(a) Other
XV.03.A.(5)(a) Other

XII.03.A.(5)(a) Other
XIV.03.A.(5)(a) Other

ITEM # 17 PLANTS AND GROUNDS (Continued)

Outside:

XI.03.A.(6)(a) Other
XIII.03.A.(6)(a) Other
XV.03.A.(6)(a) Other

XII.03.A.(6)(a) Other
XIV.03.A.(6)(a) Other

B. Litter, waste and refuse inside or around exterior of the facility

Inside:

XI.03.A.(5)(a) Other
XIII.03.A.(5)(a) Other
XV.03.A.(5)(a) Other

XII.03.A.(5)(a) Other
XIV.03.A.(5)(a) Other

Outside:

XI.03.A.(6)(a) Other
XIII.03.A.(6)(a) Other
XV.03.A.(6)(a) Other

XII.03.A.(6)(a) Other
XIV.03.A.(6)(a) Other

C. Uncut grass or weeds around facility which constitute an attractant or harborage for vermin including insects or other pests.

XI.03.A.(6)(a) Other
XIII.03.A.(6)(a) Other
XV.03.A.(6)(a) Other

XII.03.A.(6)(a) Other
XIV.03.A.(6)(a) Other

D. Standing water or poor drainage outside facility.

XI.03.A.(6)(b) Other
XIII.03.A.(6)(b) Other
XV.03.A.(6)(b) Other

XII.03.A.(6)(b) Other
XIV.03.A.(6)(b) Other

E. Shell piles inhibiting water absorption or drainage from the premises.

XI.03.A.(6)(b) Other
XIII.03.A.(6)(b) Other
XV.03.A.(6)(b) Other

XII.03.A.(6)(b) Other
XIV.03.A.(6)(b) Other

F. Excessively dusty roads, parking lots and yards.

XI.03.A.(3) Swing (C/K)
XIII.03.A.(3) Swing (C/K)
XV.03.A.(3) Swing (C/K)

XII.03.A.(3) Swing (C/K)
XIV.03.A.(3) Swing (C/K)

Cracks in floors may contain organic material and inorganic salts which support the growth of pathogenic microorganisms, (e.g., *Listeria*, *Bacillus* and *Vibrio* species). Standing water may contain any number of contaminants and microorganisms from foot traffic or equipment and may be spread throughout the plant.

ITEM # 17 PLANTS AND GROUNDS (Continued)

EXAMPLES OF CONDITIONS TO DEBIT:

A. Worn concrete floors not smooth and easily cleanable (e.g. exposed aggregate).

Dry area floors:

XI.03.A.(5)(b) Other
XIII.03.A.(5)(b) Other
XV.03.A.(5)(c) Other

XII.03.A.(5)(b) Other
XIV.03.A.(5)(b) Other

Wet area floors:

XI.03.A.(5)(c) Other
XIII.03.A.(5)(c) Other
XV.03.A.(5)(d) Other

XII.03.A.(5)(c) Other
XIV.03.A.(5)(c) Other

B. Standing or puddling of water on floor.

XI.03.A.(5)(c)(i) Other
XIII.03.A.(5)(c)(i) Other
Other XV.03.A.(5)(d)(i) Other

XII.03.A.(5)(c)(i) Other
XIV.03.A.(5)(e)(i)

C. Large cracks in floor.

Dry area floors:

XI.03.A.(5)(b) Other
XIII.03.A.(5)(b) Other
XV.03.A.(5)(c) Other

XII.03.A.(5)(b) Other
XIV.03.A.(5)(b) Other

Wet area floors:

XI.03.A.(5)(c)(ii) Other
XIII.03.A.(5)(c)(ii) Other
XV.03.A.(5)(d)(ii) Other

XII.03.A.(5)(c)(ii) Other
XIV.03.A.(5)(c)(ii) Other

D. Coving inadequate or gaps between floor and wall.

XI.03.A.(5)(c)(iii) Other
XIII.03.A.(5)(c)(iii) Other
XV.03.A.(5)(d)(iii) Other

XII.03.A.(5)(c)(iii) Other
XIV.03.A.(5)(c)(iii) Other

E. Holes in truck floors from deterioration.

XI.03.A.(5)(b) Other
XIII.03.A.(5)(b) Other
XV.03.A.(5)(c) Other

XII.03.A.(5)(b) Other
XIV.03.A.(5)(b) Other

ITEM # 17 PLANTS AND GROUNDS (Continued)

ITEM # 17 PLANTS AND GROUNDS (Continued)

F. Dirty floors or floor drains.

XI.03.A.(5)(a) Other
XIII.03.A.(5)(a) Other
XV.03.A.(5)(a) Other

XII.03.A.(5)(a) Other
XIV.03.A.(5)(a) Other

G. Dry area floors covered with pallets to the extent that these pallets become the floor and are walked on.

XI.03.A.(5)(b) Other
XIII.03.A.(5)(b) Other
XV.03.A.(5)(c) Other

XII.03.A.(5)(b) Other
XIV.03.A.(5)(b) Other

Walls and ceilings shall be constructed of smooth, easily cleaned, non-porous material that will not deteriorate under repeated washing. They shall be kept clean and in good repair. Deficiencies in doors, windows, attached equipment (ducts, refrigeration evaporators/condensers inside walk-in coolers, and window fans) are debited here. Free standing shelves are not debited here (they are non-food contact surfaces). Doors and plastic strip curtains are considered walls. They are debited when dirty or in disrepair.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Wall, ceiling or attached equipment which is in poor condition (cracked, pitted, rusty, exposed insulation etc.).

XI.03.A.(5)(d) Other
XIII.03.A.(5)(d) Other
XV.03.A.(5)(e) Other

XII.03.A.(5)(d) Other
XIV.03.A.(5)(d) Other

B. Dirty or torn plastic strip curtain.

XI.03.A.(1) Other
XIII.03.A.(1) Other
XV.03.A.(1) Other

XII.03.A.(1) Other
XIV.03.A.(1) Other

C. Dirty or broken door.

XI.03.A.(1) Other
XIII.03.A.(1) Other
XV.03.A.(1) Other

XII.03.A.(1) Other
XIV.03.A.(1) Other

D. Porous wall or ceiling (wood, sheetrock, cement block, insulation board, sprayed with blown insulation, etc.).

XI.03.A.(5)(d) Other
XIII.03.A.(5)(d) Other
XV.03.A.(5)(e) Other

XII.03.A.(5)(d) Other
XIV.03.A.(5)(d) Other

ITEM # 17 PLANTS AND GROUNDS (Continued)

E. Peeling paint, unsealed wood or tarpaulin on wall or ceiling.

XI.03.A.(5)(d) Other
XIII.03.A.(5)(d) Other
XV.03.A.(5)(e) Other

XII.03.A.(5)(d) Other
XIV.03.A.(5)(d) Other

F. Dirty evaporator fan in cooler.

XI.03.A.(5)(a) Other
XIII.03.A.(5)(a) Other
XV.03.A.(5)(a) Other

XII.03.A.(5)(a) Other
XIV.03.A.(5)(a) Other

G. Cracks in wall sufficient to allow accumulation of dirt and debris.

XI.03.A.(5)(d) Other
XIII.03.A.(5)(d) Other
XV.03.A.(5)(e) Other

XII.03.A.(5)(d) Other
XIV.03.A.(5)(d) Other

H. Exposed fiberglass or other insulation material located where it may fall on shellstock.

XI.03.A.(1) Other
XIII.03.A.(1) Other
XV.03.A.(1) Other

XII.03.A.(1) Other
XIV.03.A.(1) Other

Toilet facilities shall be kept clean and functional.

I. Dirty restroom doors, floors, walls or ceilings.

XI.03.A.(5)(a) Other
XIII.03.A.(5)(a) Other
XV.03.A.(5)(a) Other

XII.03.A.(5)(a) Other
XIV.03.A.(5)(a) Other

J. Damage to restroom walls (not leading to outside).

XI.03.A.(5)(d) Other
XIII.03.A.(5)(d) Other
XV.03.A.(5)(b) Other

XII.03.A.(5)(d) Other
XIV.03.A.(5)(d) Other

ITEM # 18 PLUMBING AND RELATED FACILITIES

This section includes repair and maintenance of plumbing and plumbing fixtures, some aspects of floor drainage, liquid waste removal, and some aspects of sewage disposal.

A. Hot water not supplied to all three compartments in a three-compartment sink.

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

B. No hot and cold water plumbed to each sink (hand wash sinks require warm water).

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

C. Low water pressure.

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

D. Leaking faucets, potable water pipes or water supply to toilet.

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

E. Improperly stored water hoses.

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

F. Toilet in disrepair or broken

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

ITEM # 18 PLUMBING AND RELATED FACILITIES (Continued)

SEWAGE DISPOSAL

The sewage disposal system shall be designed, constructed and maintained in accordance with state and local codes. Sewage includes wastes from toilets as well as drainage from hand wash sinks. Sewage shall be inaccessible to insects and other vermin. Outhouses (privies) are acceptable if approved by the Authority where water carriage systems are not feasible. Sewage disposal is a “swing” item depending on the severity of the problem. Professional discretion is used to determine whether a deficiency is critical or key.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Loose fitting or cracked septic tank lids.

XI.03.B.(3) Swing (C/K)
XIII.03.B.(3) Swing (C/K)
XV.03.B.(3) Swing (C/K)

XII.03.B.(3) Swing (C/K)
XIV.03.B.(3) Swing (C/K)

B. Broken or clogged sewer lines.

XI.03.B.(3) Swing (C/K)
XIII.03.B.(3) Swing (C/K)
XV.03.B.(3) Swing (C/K)

XII.03.B.(3) Swing (C/K)
XIV.03.B.(3) Swing (C/K)

C. Exposed septic tank drain field or standing water in leach field.

XI.03.B.(3) Swing (C/K)
XIII.03.B.(3) Swing (C/K)
XV.03.B.(3) Swing (C/K)

XII.03.B.(3) Swing (C/K)
XIV.03.B.(3) Swing (C/K)

D. No cap/cover on sewer clean-out risers.

XI.03.B.(3) Swing (C/K)
XIII.03.B.(3) Swing (C/K)
XV.03.B.(3) Swing (C/K)

XII.03.B.(3) Swing (C/K)
XIV.03.B.(3) Swing (C/K)

E. Exposed sewage (includes open septic tank).

XI.03.B.(3) Swing (C/K)
XIII.03.B.(3) Swing (C/K)
XV.03.B.(3) Swing (C/K)

XII.03.B.(3) Swing (C/K)
XIV.03.B.(3) Swing (C/K)

F. Leaking sink drains.

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

ITEM # 18 PLUMBING AND RELATED FACILITIES (Continued)

Liquid waste from processing (such as blower and skimmer drainage and cooler condensate drainage) shall be disposed so it does not contaminate food or food contact surfaces through splash, drip or other means. The drainage shall be discharged in accordance with state and local codes. Drain or waste pipes shall not be installed over areas where food or food contact surfaces could be contaminated. Cooler condensate may be drained to outside of cooler as long as the discharge water does not create nuisance conditions. Cooler condensate should not be discharged to any foot trafficked areas in or around the facility.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Cooler condensate draining onto floor from broken drain line or disposal system.

XI.03.B.(1) Key
XIII.03.B.(1) Key
XV.03.B.(1) Key

XII.03.B.(1) Key
XIV.03.B.(1) Key

B. Inadequate floor drains for blower or skimmer wastes.

XI.03.B.(2) Key

XII.03.B.(2) Key

Does not apply to other processing activities

Drain or waste pipes shall not be installed over areas where food or food contact surfaces could be contaminated.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Sewage pipes over processing areas.

XI.03.B.(4) Key
XIII.03.B.(4) Key
XV.03.B.(4) Key

XII.03.B.(4) Key
XIV.03.B.(4) Key

ITEM # 19 UTILITIES

Heating, ventilation and cooling systems shall not create conditions that may cause shellfish products to become contaminated.

Provide adequate lighting in hand-washing areas, dressing and locker rooms, and toilet rooms and in all areas where food is examined, processed, or stored and where equipment or utensils are cleaned.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Wood or coal burning stoves in the processing area.

XI.03.C.(1) Swing (C/K)
XIII.03.C.(1) Swing (C/K)
XV.03.C.(1) Swing (C/K)

XII.03.C.(1) Swing (C/K)
XIV.03.C.(1) Swing (C/K)

B. Excessively hot processing areas.

XI.03.C.(1) Swing (C/K)
XII.03.C.(1) Swing (C/K)
XV.03.C.(1) Swing (C/K)

XIII.03.C.(1) Swing (C/K)
XIV.03.C.(1) Swing (C/K)

C. Noxious fumes or vapors present in food processing or storage areas.

XI.03.C.(1) Swing (C/K)
XIII.03.C.(1) Swing (C/K)
XV.03.C.(1) Swing (C/K)

XII.03.C.(1) Swing (C/K)
XIV.03.C.(1) Swing (C/K)

D. Inadequate lighting in cooler to promote proper cleaning of the cooler.

XI.03.C.(2) Swing (C/K)
XIII.03.C.(2) Swing (C/K)
XV.03.C.(2) Swing (C/K)

XII.03.C.(2) Swing (C/K)
XIV.03.C.(2) Swing (C/K)

ITEM #20 DISPOSAL OF OTHER WASTE

Shell and waste on the shucking bench may interfere with sanitary processing operations and must be removed promptly from the processing area. Disposal of waste materials shall be in accordance with applicable federal, state, and local rules, and shall minimize odors, not create nuisance conditions, nor provide harborage for vermin. This item is for waste inside and outside the building.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shell and wastes piled up on shucking bench or on shucking room floor.

XI.03.D.(2) Other

Does not apply to other processing activities.

B. Culled shells from shellstock not promptly removed.

XI.03.D.(2) Other

Does not apply to other processing activities.

C. Trash from receptacles, inside or outside the firm, littering the floor inside or the ground outside the firm.

**XI.03.D.(3) Other
XIII.03.D.(2) Other
XV.03.D.(2) Other**

**XII.03.D.(2) Other
XIV.03.D.(2) Other**

D. Paper, boxes, old unusable shellstock sacks, and other debris piled up outside or inside a firm.

**XI.03.D.(3) Other
XIII.03.D.(2) Other
XV.03.D.(2) Other**

**XII.03.D.(2) Other
XIV.03.D.(2) Other**

ITEM #21 EQUIPMENT CONDITION, CLEANING, MAINTENANCE AND CONSTRUCTION OF NON- FOOD CONTACT SURFACES.

Proper construction refers to fabrication from impervious, corrosion resistant, and safe materials which are easily cleaned.

Non-food contact surfaces are: shucking benches, tables, stools, pallets, shellstock containers, conveyances and equipment for handling stored shellstock, and the delivery window. Non-food contact surfaces shall be cleaned as frequently as necessary.

Non-food contact surfaces shall be cleaned at a frequency appropriate to prevent contamination of shellstock and food contact surfaces. All conveyances and equipment which come into contact with stored shellstock shall be cleaned and maintained in a manner and frequency necessary to prevent shellstock contamination.

Wood pallets are acceptable only in dry storage areas if they are clean, relatively dry and in good condition.

Non-food contact surfaces do not have to be sanitized

EXAMPLES OF CONDITIONS TO DEBIT:

A. Conveyances not constructed from corrosion-resistant, safe materials so as to be impervious or easily cleaned.

XI.03.E.(5) Other
XIII.03.E.(4) Other
XV.03.E.(4) Other

XII.03.E.(4) Other
XIV.03.E.(4) Other

B. Shucking benches or stalls constructed so that drainage is not directed away from shellfish on the bench.

XI.03.E.(3) Other

Does not apply to other processing activities.

C. Stands, stalls, stools and padding improperly constructed.

XI.03.E(2)(b) Other
XIII.03.E(2) Other
XV.03.E(1) Other

XII.03.E(2) Other
XIV.03.E(2) Other

D. Standing shelves which are improperly constructed

XI.03.E.(2)(c) Other
XIII.03.E.(2) Other
XV.03.E.(2) Other

XII.03.E.(2) Other
XIV.03.E.(2) Other

ITEM #21 EQUIPMENT CONDITION, CLEANING, MAINTENANCE AND CONSTRUCTION OF NON- FOOD CONTACT SURFACES. (Continued)

E. Dirty and/or torn shellstock bags.

XI.03.E.(5) Other
XIII.03.E.(4) Other
XV.03.E.(4) Other

XII.03.E.(4) Other
XIV.03.E.(4) Other

F. Reusing single use containers (i.e. burlap, plastic or nylon bags).

XI.03.E.(1) Other
XII.03.E.(1) Other
XV.03.E.(1) Other

XIII.03.E.(1) Other
XIV.03.E.(1) Other

G. Dirty pallets, pallets in disrepair, or wood pallets in wet areas.

XI.03.E.(5) Other
XIII.03.E.(4) Other
XV.03.E.(4) Other

XII.03.E.(4) Other
XIV.03.E.(4) Other

H. Improperly maintained non-food contact surfaces.

XI.03.E.(2)(c) Other
XIII.03.E.(2) Other
XV.03.E.(2) Other

XII.03.E.(2) Other
XIV.03.E.(2) Other

I. Unsealed wood stands, racks, stools etc.

XI.03.E.(2) Other
XIII.03.E.(2) Other
XV.03.E.(2) Other

XII.03.E.(2) Other
XIV.03.E.(2) Other

J. Standing shelves which are dirty.

XI.03.E.(4) Other
XIII.03.E.(4) Other
XV.03.E.(4) Other

XII.03.E.(4) Other
XIV.03.E.(4) Other

K. Standing shelves which are in disrepair.

XI.03.E.(5) Other
XIII.03.E.(4) Other
XV.03.E.(4) Other

XII.03.E.(4) Other
XIV.03.E.(4) Other

L. Worn concrete shucking benches.

XI.03.E.(5) Other

ITEM #21 EQUIPMENT CONDITION, CLEANING,
MAINTENANCE AND CONSTRUCTION OF NON-
FOOD CONTACT SURFACES. (Continued)

ITEM #21 EQUIPMENT CONDITION, CLEANING, MAINTENANCE AND CONSTRUCTION OF NON- FOOD CONTACT SURFACES. (Continued)

M. Empty shellstock containers improperly stored.

XI.03.E.(5) Other
XIII.03.E.(4) Other
XV.03.E.(4) Other

XII.03.E.(4) Other
XIV.03.E.(4) Other

N. Dirty apron stored in packing room.

XI.03.E.(5) Other

XII.03.E.(4) Other

O. Employee wearing torn apron or apron in disrepair.

XI.03.E.(5) Other
XIII.03.E.(4) Other
XV.03.E.(4) Other

XII.03.E.(4) Other
XIV.03.E.(4) Other

ITEM #22 SHELLFISH STORAGE AND HANDLING

These requirements relate to the condition of the shellstock upon receipt and the handling during processing.

Mud or dirt contains organisms or substances which may contaminate processing or storage surfaces and utensils. Shellstock must be inspected upon receipt and cleaned before processing, if necessary.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shellstock excessively dirty or muddy while in storage or during processing.

XI.03.F.(1)(a) Other
XV.03.F.(1)(a) Other

XIII.03.F.(1)(a)(ii) Other

A dip bucket is a container of stagnant water used for knife or hand rinsing. After repeated use, it may become a source of contamination. A bowl or tub of sanitizing solution located in a supervised area for sanitizing knives, gloves, or hands after washing with detergent is not a dip bucket.

EXAMPLES OF CONDITIONS TO DEBIT:

B. Use of dip buckets at shucking stations.

XI.03.F.(4) Key

Shucking buckets shall be emptied in the packing room and no shucked meat (overage) returned to the shucker.

EXAMPLES OF CONDITIONS TO DEBIT:

C. Overage returned to shucker.

XI.03.F.(2) Key

Frozen shellfish maintained frozen while in storage and transportation.

EXAMPLES OF CONDITIONS TO DEBIT:

D. Frozen shellfish stored or transported at temperatures which resulted in the product becoming thawed.

XI.03.F.(9) Swing (K/O)
XIII.03.F.(5) Swing (K/O)

XII.03.F.(1)(g) Swing (K/O)
XIV.03.F.(4) Swing (K/O)

E. Processing dead or unwholesome shellstock.

XI.03.F.(3) Key
XV.03.F.(4) Key

XIII.03.F.(2) Key

F. Failure to inspect incoming shellstock for wholesomeness.

XI.03.F.(3) Key
XV.03.F.(4) Key

XIII.03.F.(2) Key

ITEM #22 SHELLFISH STORAGE AND HANDLING (Continued)

G. Wet storing, depurating, heat shocking, or shucking of shellfish that are dead, badly cracked or otherwise unwholesome.

XI.03.F.(1)(c) Key
XV.03.F.(10) Key

XIII.03.F.(2) Key

H. Shellstock commingled without a state commingling plan.

XI.03.F.(10) Key
XIV.03.F.(2)(a) Key

XII.03.F.(1)(a) Key
XV.03.F.(9) Key

I. Reshipper altering or removing initial dealer's tags.

XIV.03.F.(2)(b) Key

J. Additives that are not food grade or additives not Generally Recognized As Safe, such as a non-food grade salt used in brine tanks.

XI.03.F.(8) Key

XII.03.F.(1)(f) Key

K. Empty single service containers in facility with certification number of another dealer.

XI.03.F.(5) Key

XII.03.F.(1)(c) Key

ITEM #23 HEAT SHOCK

The dealer is required to post the scheduled process, make all responsible persons familiar with the process, cool all hot-dipped shellfish immediately after dipping, and drain and flush the dipping tanks every three hours or more often when tank water temperature is maintained at less than 140° F. If the heat shock tank water is maintained at or above 140° F, then the dealer shall completely drain and flush the tank at the end of the day's operation.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Not cooling heat shocked shellfish immediately after the heat shock process.

XI.03.G.(1)(c) Key

B. Heat shock process schedule not posted in conspicuous location.

XI.03.G.(1)(a) Key

C. Heat shock tank not drained, flushed, and cleaned every 3 hours or less when tank water temperature is maintained at less than 140°F.

XI.03.G.(2) Key

ITEM #24 SUPERVISION

This section defines the responsibilities of the supervisor in maintaining an adequate level of sanitation and food safety.

The supervisor is charged with implementing proper cleaning activities; monitoring employee hygiene practices (including hand washing; eating and smoking at the work station; and storage of personal items); supervising plant and equipment cleaning, product handling, and protection of shellfish from contamination.

Supervisors should not allow unauthorized persons into those portions of the facility where shellfish are stored, handled, processed, packaged or food handling equipment, utensils, and packaging materials are cleaned or stored.

The supervisor is responsible for training employees in proper food handling practices, and to make sure that employees report any symptoms of illness to the supervisor.

Lack of effective supervision is cited in addition to the deficiency(ies) caused by its absence.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shucked shellfish sitting on shucking bench while shuckers are at lunch or on break.

XI.03.H.(4)(b)(ii) Key

B. Open containers of shucked product sitting on delivery window shelf or packing table for extended periods of time.

XI.03.H.(4)(b)(ii) Key

C. Shucked meats not promptly packed after delivery to packing room.

XI.03.H.(4)(b)(ii) Key

XII.03.H.(4)(b)(ii) Key

D. Sealed or open food or drink containers for employee consumption stored in shellstock cooler. A separate section or area is acceptable if there is adequate separation.

**XI.03.H.(4)(b)(iii) Key
XII.03.H.(4)(b)(iii) Key
XV.03.H.(4)(b)(iii) Key**

**XIII.03.H.(4)(b)(iii) Key
XIV.03.H.(4)(b)(iii) Key**

E. Drink, food or tobacco on food contact surfaces.

**XI.03.H.(4)(a) Key
XII.03.H.(4)(a) Key
XV.03.H.(4)(a) Key**

**XIII.03.H.(4)(a) Key
XIV.03.H.(4)(a) Key**

F. Hand washing in a utensil wash sink.

**XI.03.H.(4)(a) Key
XII.03.H.(4)(a) Key
XV.03.H.(4)(a) Key**

**XIII.03.H.(4)(a) Key
XIV.03.H.(4)(a) Key**

ITEM #24 SUPERVISION (Continued)

Only persons whose job function requires them to be present in the processing areas of the plant may be present. Unauthorized persons are not allowed in the processing facility while it is in operation. This includes other employees, truck drivers and harvesters entering the processing areas of a shellfish processing plant.

A. Unauthorized person in processing areas of a facility during periods of operation.

XI.03.H.(4)(c) Key
XII.03.H.(4)(c) Key
XV.03.H.(4)(c) Key

XIII.03.H.(4)(c) Key
XIV.03.H.(4)(c) Key

ITEM #25 TRANSPORTATION (*SHIPPER ONLY*)

NSSP MO Chapter IX describes the requirements for conveyances used to transport shellfish and controls for the protection of shellfish during transport.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Shellstock containers used to transport shellstock do not provide adequate drainage and shellstock are stored in standing water.

IX.01.B.(2) Key

B. Dog is observed in the conveyance where shellstock is being stored during transit.

IX.01.F. Key

C. Live crabs being stored on top of containers of shucked shellfish in the conveyance.

IX.03.C.(1) Key

ITEM #26 LABELING AND TAGGING

This item refers to the information required for shipping shellstock, shucked shellfish, and for identification during intermediate processing. The purpose of the tag or label is to facilitate product traceability. The tag or label shall be of proper size, waterproof, and contain all the information specified in the Model Ordinance. A bulk shipment requires a transaction record containing the same information as a tag. Dealers are responsible for accepting only those containers of shellfish that are properly identified. (When a dealer has accepted shellfish that are not properly identified, it is a Source Control Failure, and is marked under Item # 5.) In-shell product may contain a tag or label. If a label is used on In-shell product it must contain all the required information normally contained on a tag.

Labels shall be legible, contain all the information required by the NSSP Model Ordinance, and shall comply with the Federal Food Drug & Cosmetic Act (FD&C Act), the Fair Packaging and Labeling Act (FPLA), and Title 21 of the Code of Federal Regulations (21 CFR) Parts 101 and 161. Frozen shellfish shall be labeled as frozen. Thawed frozen shellfish shall be labeled as “previously frozen” or an equivalent statement. Shucked shellfish containers shall be labeled according to the Model Ordinance, Chapter X. Labeling requirements do not apply to master shipping containers as long as individual containers are labeled.

EXAMPLES OF CONDITIONS TO DEBIT:

A. Tags not meeting requirements in NSSP Manual such as: specific order, date, etc.

X.05.B.(2) Swing (K/O)

B. Tags not constructed of durable, waterproof material.

X.05.B.(1)(a) Swing (K/O)

C. Incomplete, illegible, or incorrectly completed tags, but contains harvest area information.

X.05.B.(2) Swing (K/O)

D. Original shipper certification number not on tag.

X.05.B.(2)(c) Swing (K/O)

E. Failure to include state prefix or dealer-type suffix in the certification number.

X.05.B.(2)(b) Swing (K/O)

F. Lack of distributor name on the retail size shucked shellfish containers.

X.06.A.(4) Swing (K/O)

G. No certification number of SP or RP on containers of shucked shellfish.

X.06.A.(5) Swing (K/O)

ITEM #26 LABELING AND TAGGING (Continued)

H. No date shucked (or sell-by date) on containers of shucked shellfish.

For packages <64 oz. **X.06.A.(6)(a) Swing (K/O)**

For packages ≥64 oz. **X.06.A.(7)(a) Swing (K/O)**

I. Containers not truthfully labeled as to content or net weight.

X.06.A.(4) Swing (K/O)

J. Frozen product not labeled as frozen, or, if thawed, not labeled as previously frozen.

Frozen: **X.06.A.(9) Swing (K/O)**

Previously Frozen: **X.06.A.(8) Swing (K/O)**

K. Returnable containers not accompanied by a transaction record containing the original shucker's certification number, name, shucking date, quantity of shellfish, and/or total number of containers shipped.

X.06.A.(2)(a), (b), and (c) Swing (K/O)

L. Shucked shellfish labels which are illegible because of the type of ink, lack of durability, etc.

X.06.A.(4) Swing (K/O)

M. Ingredients added (e.g., water, preservatives, or chemicals to enhance water retention) but not on ingredients statement.

X.06.A.(4) Swing (K/O)

N. Fresh or fresh frozen half shell product without “sell by date” or “best if used by date” on the package.

X.07.B.(1)(d) Swing (K/O)

ITEM #27 SHIPPING DOCUMENTS AND RECORDS

Maintaining proper transaction records is important in the event any question arises about the safety of a product and if it becomes necessary to track the shellfish back to its source. The format shall be acceptable to the Authority and include the information specified in the NSSP Model Ordinance. Records are to be retained for one (1) year for fresh product, and two (2) years for frozen product. Alternative methods of maintaining records, such as on a computer or by maintaining invoices and bills of lading, are acceptable if they contain all the required information.

Dealers shall adopt written recall procedures for conducting recalls of adulterated and/or misbranded shellfish products.

EXAMPLES OF CONDITIONS TO DEBIT:

A. No shellfish transaction records.

X.08.B.(2) Key

B. Records are not maintained or there are incomplete shellfish records.

X.08.B.(2) Key

C. Records not maintained for one (1) year for fresh product or two (2) years for frozen product.

X.08.B.(4) Key

D. No written recall procedures.

X.03.B.(1) Key

E. Shipping dealer that is shipping live shellstock is not providing shipping documents that state the time of shipment and that the conveyance of the shellstock was not pre-chilled to 45°F or less.

IX.04 and .05 Key

NSSP Standardized Shellfish Processing Plant Inspection Form

Agency Name:						Date		
Type of Inspection <input type="checkbox"/> Certification <input type="checkbox"/> Pre-operational <input type="checkbox"/> Routine <input type="checkbox"/> Follow-up <input type="checkbox"/> Standardization								
Dealer Name:					Certification Number			
Dealer Address:								
Hazard Analysis Critical Control Point (HACCP)								
1.	HACCP Plan		Yes <input type="checkbox"/> No <input type="checkbox"/>	Required for Certification				
2.	Plan Elements Identified and Adequate	Citation	<input checked="" type="checkbox"/> <input type="checkbox"/> NA	Code	Citation	<input checked="" type="checkbox"/> <input type="checkbox"/> NA	Code	
	(a) Hazards	X.01.C.(1)		O	(e) Critical Control Points X.01.C.(2)		K	
	(b) Records	X.01.C.(6)		O	(f) Monitoring X.01.C.(4)		K	
	(c) Critical Limits	X.01.C.(3)		K	(g) Verification Procedures X.01.C.(7)		O	
	(d) Name, Address, Signed and Dated	X.01.H.(1) X.01.D.		O	(h) Corrective Action if identified X.01.C.(5)		K	
3.	HACCP Training		Yes <input type="checkbox"/> No <input type="checkbox"/>	Code O	Activities	Records		
4.	Plan Implementation		Corrective Actions Recorded (K)		X.01.F.(1)	X.01.F.(4)		
			Verification Procedures (K) (Signature)		X.01.G.(1)	X.01.G.(1)(c)		
			Monitoring Procedures (K)		X.01.C.(4)	X.01.C.(6)		
			Records: Accurate/ Maintained (K) Format (O)		X.01.H			
			Initialed/Dated (O)		X.01.H		<input checked="" type="checkbox"/> <input type="checkbox"/> NA	Code
			Firm's Name on record (O)		X.01.H			
	(a)	Receiving						
	(b)	Shellstock Storage						
	(c)	Processing						
	(d)	Shucked Meat Storage						
	(e)	Other Critical Limits						
5.	Approved Source Control Failure				.01 A		C	
6.	Time/Temperature Control Failure				.01 A,B,C,D		C	
7.	Other Critical Control Failure				.01 A,B,C,D,E,F		C	
Sanitation Items					Citation	<input checked="" type="checkbox"/> <input type="checkbox"/> NA	Code	
8.	Safety of water for processing and ice production				.02A			
9.	Condition and cleanliness of food contact surfaces				.02B			
10.	Prevention of cross-contamination				.02C			
11.	Maintenance of hand-washing and toilet facilities				.02D			
12.	Protection from adulterants				.02E			
13.	Proper labeling, storage, and use of toxic compounds				.02F			
14.	Control of employees with adverse health conditions				.02G			
15.	Exclusion of pests				.02H			
16.	Sanitation Monitoring and Records						S(K/O)	
Additional Model Ordinance Requirements					Citation	<input checked="" type="checkbox"/> <input type="checkbox"/> NA	Code	
17.	Plants and Grounds				.03A			
18.	Plumbing and related facilities				.03B			
19.	Utilities				.03C			
20.	Disposal of other waste				.03D			
21.	Equipment condition and cleaning, maintenance, and construction of non-food contact surfaces				.03E			
22.	Shellfish storage and handling				.03F			
23.	Heat shock				.03G			
24.	Supervision				.03H			
25.	Transportation (To include only the person shipping)				IX.05		K	
26.	Labeling and Tagging				X.05,.06,.07		S (K/O)	
27.	Shipping Documents and Records / Written Recall Procedures				X.08, .03		K	
Dealer's Signature					Inspector's Signature			