

DEPARTMENT OF MARINE RESOURCES

CHAPTER 15

GENERAL SHELLFISH SANITATION REQUIREMENTS

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## DEPARTMENT OF MARINE RESOURCES

## CHAPTER 15 GENERAL SHELLFISH SANITATION REQUIREMENTS

## 15.01 Compliance

Each dealer shall comply with the requirements specified in Chapters 15 through 20 as appropriate to the plant and the shellfish being processed.

## 15.02 Definitions

- A. In addition to the definitions set forth in 1 M.R.S. §§71 and 72 and 12 M.R.S. §6001, the following definitions shall apply in interpretation of chapters 9, 10, 14 and 15-21.
1. "Adequate" means that which is needed and/or appropriate to accomplish the intended purpose and/or use in keeping with good public health practice.
  2. "Air gap" means the unobstructed vertical distance through the free atmosphere between the lowest opening from any pipe or faucet supplying water to a tank, plumbing fixture or other device and the flood level rim of the receptacle.
  3. "Alteration" means the act or process of altering; the condition of being permanently altered; to make different, to modify the footprint of the structure.
  4. "Approved" means a classification used to identify a growing area where harvest for direct marketing is allowed by the Department.
  5. "Aquaculture" for the purposes of Chapters 9 and 15 through 20 means the cultivation of shellfish seed in natural or artificial growing areas, or the cultivation of shellstock other than seed in growing areas.
  6. "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.
  7. "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.
  8. "Blower" means a receptacle for washing shucked shellfish, which uses forced air as a means of agitation.
  9. "Bulk tagging" means a specified written agreement between a harvester(s), a certified Maine Shellfish Dealer and the Department; or between two certified dealers and the Department under which mussels, quahogs, surf clams or oysters that are harvested from one harvest area on a single day by one licensed harvester may be landed or transported between dealers bearing one tag per lot (if loose) or per pallet (if bagged, stacked and shrink wrapped).
  10. "Certification or certify" means the issuance of a numbered certificate to a facility or vehicle for a particular activity or group of activities that indicates:
    - (a) Permission from the Department to conduct the activity; and
    - (b) Compliance with the requirements of state laws and regulations.

11. "Certificate holder" means any wholesale seafood (12 M.R.S. §6851) or shellfish transportation (12 M.R.S. §6855) licensee to whom the Department has issued a certificate, as required by 12 M.R.S. §6856, authorizing that licensee to buy, sell, ship, transport or process shellfish. Classes of certificate holders include:
- (a) Shucker-Packer (SP). The holder of a shucker-packer certificate may purchase, sell, pack, ship, shuck or transport shellfish, whether in shellstock or shucked form. A shucker-packer may repack shucked shellfish obtained from other certificate holders. A shucker-packer shall have a facility for proper storage and/or repacking of shellstock and shucked shellfish, including a means of refrigerated storage of shellfish, i.e. a walk – in cooler.
  - (b) Shellstock Shipper (SS). The holder of a shellstock shipper certificate may purchase, sell, pack, ship and transport shellstock. A shellstock shipper certificate holder may purchase and sell shucked shellfish obtained from a shucker- packer certificate holder, but must not shuck shellfish or repack shucked shellfish. A shellstock shipper shall have a facility for proper storage and packing or repacking of shellstock, including a means of refrigerated storage of shellfish, i.e. a walk-in cooler.
  - (c) Reshipper (RS). The holder of a reshipper certificate may ship or transport shucked shellfish in original containers, and shellstock purchased from certified shellfish dealers to other certificate holders, retailers or to final consumers. A reshipper shall not shuck, repack, hold or store shellfish for sale, shipment or transport. A reshipper may not harvest shellfish or buy from harvesters.
  - (d) Depuration Processor (DP). The holder of a depuration certificate may purchase, receive or harvest shellstock from areas classified as approved, conditionally approved, restricted or conditionally restricted and submits such shellstock to an approved depuration process. The depuration processor may pack, sell, ship or transport the depurated shellstock. A depuration processor shall have a facility, including a means of refrigerated storage of shellfish, i.e. a walk-in cooler.
  - (e) A shucker-packer (a), shellstock shipper (b), or depuration processor (d) may harvest shellfish provided that individual holds a shellfish license as provided by 12 M.R.S. §6601.
  - (f) If a shellfish certificate holder does not conduct any shellfish business activity for more than 365 days, the business shall be considered inactive. See definition 15.02(46) "inactive status".
12. "Certificate number" means the unique identification number issued by the Department to each dealer for each location. Each certification number shall consist of a one to five digit Arabic number preceded by the two letter state abbreviation and followed by a two letter abbreviation for the type of activity or activities the dealer is qualified to perform in accordance with the laws and regulations of the State of Maine using the following terms:
- (a) Shucker - packer (SP);
  - (b) Shellstock shipper (SS);
  - (c) Reshipper (RS); and
  - (d) Depuration processor (DP).
13. "Coliform group" means the entire aerobic and facultative anaerobic, gram-negative, nonspore forming, rod shaped bacilli, which ferment lactose broth with gas formation within 48 hours at 35 degrees centigrade.
14. "Commingle or Commingling" means the act of combining different lots of shellstock or shucked shellfish.

15. "Compliance schedule" means a written schedule that provides a correction time period to eliminate "Key" or "Other deficiencies".
16. "Conditionally approved" means a classification used to identify a growing area, which meets the criteria for the approved classification except under certain conditions described in a management plan.
17. "Conditionally restricted" means a classification used to identify a growing area, which meets the criteria for the restricted classification except under certain conditions described in a management plan.
18. "Container" means any bag, sack, tote, conveyance or other receptacle used for containing shellfish for holding or transport.
19. "Corrosion resistant materials" means materials that maintain their original surface characteristics under normal exposure to the foods being contacted, normal use of cleaning compounds and bactericidal solutions, and other conditions of use.
20. "Critical control point" (CCP) means a point, step or procedure in a food process at which control can be applied, and a food safety hazard can as a result be prevented, eliminated or reduced to acceptable levels.
21. "Critical deficiency" means a condition or practice which: (a) results in the production of a product, which is unwholesome; or (b) presents a threat to the health or safety of consumers.
22. "Critical limit" means the maximum or minimum value to which a physical, biological, or chemical parameter must be controlled at a critical control point to prevent, eliminate or reduce to an acceptable level the occurrence of the identified food safety hazard.
23. "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.
24. "Cull" means to remove dead, broken or unsafe shellstock and foreign material from a lot of shellstock.
25. "Dealer" means a person to whom certification is issued for the activities of shellstock shipper, shucker - packer, reshipper, or depuration processor.
26. Depuration or depurate means the process of reducing the pathogenic organisms that may be present in shellstock by using a controlled aquatic environment as the treatment process.
27. "Direct marketing" means the sale for human consumption of shellfish which:
  - (a) Does not require depuration or relaying prior to sale; or
  - (b) Has been subjected to depuration or relaying activities.
28. "Dry storage" means the storage of shellstock out of water.
29. "Easily cleanable" means a surface, which is:
  - (a) Readily accessible; and

- (b) Is made of such materials that is so fabricated that it has a smooth finish and residues may be effectively removed by normal cleaning methods.
30. "Fecal coliform" means that portion of the coliform group which will produce gas from lactose in an EC or A-1 multiple tube procedure liquid medium within 24(+2) hours in a water bath maintained at 112 °Fahrenheit (44.5 °+ 0.2 ° Centigrade).
  31. "FDA" means the United States Food and Drug Administration.
  32. "Food contact surface" means an equipment surface or utensil, which normally comes into direct or indirect contact with shucked shellfish, process water or ice.
  33. "Food contact zone" means parts of food equipment, including auxiliary equipment (such as blower pipes and drain valves), which may contact food being processed, or that drain into a portion of equipment that may contact food being processed.
  34. "Food safety hazard" means any biological, chemical or physical property that may cause a food to be unsafe for human consumption.
  35. "Geometric mean" means the antilog (base 10) of the arithmetic mean of the sample result logarithm (base 10).
  36. "Growing area" means any site, which supports or could support the propagation of shellstock by natural or artificial means.
  37. "HACCP" is an acronym that stands for Hazard Analysis Critical Control Point, a systematic, science - based approach used in food production as a means to assure food safety. The concept is built upon the seven principles identified by the National Advisory Committee on Microbiological Criteria for Foods (1992).
  38. "HACCP Plan" means a written document that delineates the formal procedures that a dealer follows to implement the HACCP requirements set forth in 21 Code of Federal Regulations (CFR) 123.6 as adopted by the Interstate Shellfish Sanitation Conference (ISSC).
  39. "Harvest" means the act of removing shellstock from growing areas and its placement on or in a manmade conveyance or other means of transport or transfer.
  40. "Harvest area" means an area that contains harvestable quantities of shellstock and may include aquaculture sites and facilities.
  41. "Harvester" means a person who holds a current valid license that obtains shellstock by any means from a growing area.
  42. "Heat shock" means the process of subjecting shellstock to any form of heat treatment prior to shucking, including steam, hot water or dry heat, to facilitate removal of the meat from the shell without substantially altering the physical or organoleptic characteristics of the shellfish.
  43. "Holding" means the refrigerating, storing, accumulating or processing of shellfish either shucked or in the shell, for sale, offer or transport.
  44. "Importer" means any dealer who introduces molluscan shellfish into domestic commerce. An importer has ownership of the shellfish, but need not take physical custody of the shellfish.
  45. "Includes" or "including" means includes or including by way of illustration and not by way of limitation.

46. "Inactive Status" means a certified shellfish dealer who has not conducted any shellfish business activity for 365 days or more.
47. "Indelible" means that which cannot be erased, blotted out, eliminated, or that which is permanent or lasting.
48. "Inspection item" means one of the standard criteria listed in the National Shellfish Sanitation Program (NSSP) Plant Inspection Form under which single or multiple observations of specific critical, key or other deficiencies can be debited.
49. "Interstate Certified Shellfish Shippers List" (ICSSL) means an FDA publication of shellfish dealers, domestic or foreign, who have been certified by a state or foreign Authority as meeting the public health control measures specified in the National Shellfish Sanitation Program (NSSP).
50. "Interstate Shellfish Sanitation Conference" (ISSC) means the organization which consists of agencies from shellfish producing and receiving States, FDA, the shellfish industry, the National Marine Fisheries Service of the U.S. Department of Commerce, and the U.S. Environmental Protection Agency. The ISSC provides the formal structure wherein State regulatory authorities, with FDA concurrence, can establish updated guidelines and procedures for sanitary control of the shellfish industry.
51. "Internal temperature" means the actual temperature of shellfish whether shucked or in shellstock form, as opposed to the air temperature of the container in which the shellfish is stored.
52. "Key deficiency" means a condition or practice, which may result in adulterated, decomposed, misbranded or unwholesome product.
53. "Label" means any written, printed or graphic matter affixed to or appearing upon any package containing shellfish.
54. "Legible" means that which can be read or deciphered easily.
55. "Lots":
  - (a) "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 harvested by one or more harvesters.
  - (b) "Shellstock for Depuration": means shellstock harvested from a particular area at a particular time and delivered to one depuration plant. Also the same shellstock following completion of the depuration cycle.
  - (c) "Shucked Shellfish": means a lot/set 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.
56. "Marine biotoxin" means any poisonous compound produced by marine microorganisms and accumulated by shellstock. Examples include but are not limited to the genus *Alexandrium*.
57. "Monoculture" means the culture of a single bivalve species.
58. "MPN" (Most Probable Number) means a statistical estimate of the number of bacteria per unit volume and is determined from the number of positive results in a series of fermentation tubes.

59. National Shellfish Sanitation Program” (NSSP) means the cooperative State-FDA-Industry program for the sanitary control of shellfish that is adequate to insure that the shellfish produced in accordance with the most recent edition of the Model Ordinance (MO) (available at [www@ISSC.org](http://www@ISSC.org)), will be safe and sanitary.
60. “Operational Plan” means a written description of the design and activities of the facility specific to, but not limited to, the species of shellfish to be processed, the source of the shellfish to be processed, how the shellfish will be processed, and how the required records will be maintained.
61. “Other Deficiency” means a condition or practice that is not defined as critical or key and is not in accordance with NSSP Guide for Control of Molluscan Shellfish requirements or state regulations or laws.
62. “Poisonous or deleterious substance” means a toxic substance occurring naturally or added to the environment for which a regulatory tolerance limit or action level has been established in shellfish to protect public health.
63. “Polyculture” means the cultivation of:
  - (a) Two or more species of shellfish; or
  - (b) Shellfish with other species in a common environment.
64. “Potable Water” means a water supply, which meets the requirements of the Safe Drinking Water Act, as administered by the EPA and which meets the requirements of Chapters 15 - 20.
65. “Primary Dealer” means those certified dealers who receive, purchase and/or pack shellfish directly from harvesters.
66. “Principal display panel” means that part of a label that is most likely to be displayed, presented, shown or examined under customary conditions or retail sale.
67. Process, the verb. The verb "process" means handling, storing, cooking, preparing, producing, manufacturing, preserving, packing or other activity which could change the condition or form. (12 M.R.S. §6001(35)).
68. “Process batch” means a quantity of shellstock used to fill each separate tank or a series of tanks supplied by a single process water system for a specified wet storage or depuration cycle in a depuration or wet storage activity.
69. “Process water” means the water used in a wet storage, hot dip/heat shock or depuration process.
70. “Prohibited” means a classification used to identify a growing area where the harvest of shellstock for any purpose, except depletion or gathering of seed for aquaculture, is not permitted.
71. “Recall” means an appropriate method for removing or correcting marketed consumer products, including their labeling and/or promotional literature that violate the laws administered by the Food and Drug Administration (FDA) or the Department. They are generally more efficient and afford equal and more timely consumer protection than formal administrative or civil actions, especially when the product has been widely distributed.

Recalls may be undertaken at any time on the initiative of manufacturers and distributors to carry out their responsibility to protect the public health and well-being, or in response to a formal request by the Department or the US FDA.

72. "Relay means" to transfer shellstock from a growing area classified as restricted or conditionally restricted to a growing area classified as approved or conditionally approved for the purpose of reducing pathogens as measured by the coliform indicator group or poisonous or deleterious substances that may be present in the shellstock by using the ambient environment as the treatment process.
73. "Renovate" means to restore to a previous condition, as by remodeling.
74. "Repacking shellstock" means the practice of removing shellstock from containers and placing them into other containers.
75. "Restricted" means a classification used to identify a growing area where harvesting shall be by special license and the shellstock, following harvest, is subjected to a suitable and effective treatment process through relaying or depuration.
76. "Safe materials" means articles manufactured from or composed of materials that may not reasonably be expected to, directly or indirectly, become a component of or otherwise adversely affect the characteristics of any food.
77. "Sanitation control record" means records that document the monitoring of sanitation practices and conditions during processing.
78. "Sanitize" means to adequately treat food contact surfaces by a process that is effective in:
  - (a) Destroying vegetative cells of microorganisms of public health significance;
  - (b) Substantially reducing the numbers of other undesirable microorganisms; and
  - (c) Not adversely affecting the product or its safety for the consumer.
79. "Seed" means shellstock, which is less than market size.
80. "Shall" means mandatory and required.
81. "Shellfish" means all species of:
  - (a) Clams, mussels, quahogs and oysters, whether:
    - (1) Shucked or in the shell;
    - (2) Fresh or frozen; and
    - (3) Whole or in part.
  - (b) Scallops in any form, except when the final product form is the adductor muscle only.
82. "Shellstock" means live molluscan shellfish in the shell; and shellfish which have not been removed from their shells (12 M.R.S. §6001(42)).
83. "Shellstock packing" means the process of placing shellstock into containers for introduction into commerce.

84. "Shucked Shellfish" means shellfish meats, whether whole or in part, which have been removed from the shell.
85. "Single Service Containers" means containers that are to be used only once and may not be reused. This applies to containers for shucked product, wooden shellstock crates, plastic bags and mesh bags.
86. "SPC" is "Standard Plate Count" or "Heterotrophic Plate Count" method that is used for the enumeration of total aerobic and facultative anaerobic bacteria in shellfish meat samples. The method provides a means of monitoring shellfish meats for contamination prior to and during processing. This direct quantitative technique is performed by plating shellfish bray in a pour plate assay utilizing Heterotrophic Plate Count Agar as medium. Colonies are counted on 10 plates per sample and reported as colony forming units (CFU) per 100 grams of meat. A count greater than 500,000 CFU/100 gm is unsatisfactory.
87. "Standardization" means a process in which applicable staff from the FDA and the Department conducts evaluations using standard criteria in a uniform manner.
88. "State shellfish standardized inspector" means a person that has successfully completed the field evaluation phase of shellfish plant inspection with a state standardization officer. The state shellfish standardized inspector shall successfully complete the FDA standardization training course or one deemed acceptable by the FDA.
89. "State shellfish standardization officer" means a person that has successfully completed the FDA standardization training course and the field evaluation phase of shellfish plant inspection with an FDA standardization officer.
90. "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.
91. "Time and Temperature Matrix or Matrices" means a table or tables delineating time-temperature controls for harvested shellfish in accordance with MO Chapter VIII, "Control of Shellfish Harvesting."
92. "Time" for the purpose of time to temperature control begins once the first shellstock harvested is no longer submerged.
93. "Transaction record" means the form or forms used to document each purchase and/or sale of shellfish at the wholesale level, and includes shellfish harvest and sales records, ledgers, purchase records, invoices and bills of lading.
94. "Transfer" means to transport by boat on the water (12 M.R.S. §6001(49)).
95. "Wet storage" means the temporary storage 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.
96. "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.

## 15.03 Regulated Activity

- A. Any person who receives, buys, purchases, possesses, processes, sells, ships, shucks, or transports shellfish in any form for other than personal use within or across State of Maine boundaries must hold a certificate from the Department, as required by 12 M.R.S. §6856 or 12 M.R.S. §6852.
1. Exception – Common Carrier. A common carrier licensed by the Federal Highway Administration, as defined in §6001(8) may possess, ship or transport shellfish without a Department shellfish sanitation certificate.
  2. Exception – Commercial Shellfish Harvester. A commercial shellfish harvester licensed pursuant to §6601 may possess or transport shellstock within the state limits or sell shellstock he or she has taken from open areas to a wholesale seafood license holder certified under 12 M.R.S. §6856 or an Enhanced Retail Certificate holder under 12 M.R.S. §6852. A licensed harvester may also sell shellstock in the retail trade from his or her home or aquaculture site which the license holder has taken from his home in accordance with 12 M.R.S. §6601.
  3. Exception – Land Based Aquaculture. In accordance with MO Chapter VI.01 Shellfish Aquaculture, a land based aquaculture facility operator/owner is exempt from being a dealer when nursery shellstock are 6 months or more growing time from market size.
- B. It shall be unlawful for the holder of a shellfish certificate to receive, buy, purchase, hold, wash, pack, tag or label shellstock in any location other than the permanent facility for which the holder's certificate has been issued.
1. Exception. Certified dealers, in accordance with 12 M.R.S. §6856, may purchase mussels and mahogany quahogs at locations other than the permanent facility for which the holder's certification was issued (Chapter 15.18(D) and 15.19). Vehicles used to transport mussels and mahogany quahogs purchased at such locations must be in compliance with the requirements of Chapter 16.23.
  2. Exception. Certified dealers may purchase soft shelled clam shellstock from licensed harvesters at locations other than the permanent facility for which the holder's certification was issued with a buying station permit pursuant to Chapter 15.37.

## 15.04 Origin of Shellfish

It shall be unlawful to buy, purchase and/or possess shellfish obtained from any source other than shellstock harvested by a licensed harvester from an area classified by the Department as approved or conditionally approved in the open status; and or a dealer holding a shellfish certificate.

Exception: The holder of a depuration certificate or a relay permit from the Department may buy, ship, transfer or transport shellfish from an area classified as restricted or conditionally restricted in accordance with permit conditions.

## 15.05 Certification Requirements

- A. No person shall act as a wholesale seafood dealer prior to obtaining certification pursuant to 12 MRSA §6856.
- B. Any person who wants to obtain certification shall, on an annual basis:
1. Apply to the Department on forms supplied by the Commissioner and shall provide all information required, including, but not limited to the following:

- (a) Name, address, home and business phone of the applicant as well as a list of all Department of Marine Resources licenses currently held by the applicant.
  - (b) Exact location of the proposed facility where applicant proposes to process shellfish.
  - (c) Detailed description of the proposed shellfish processing operation which an applicant proposes to undertake.
  - (d) Names of all those persons who will act as agent for the applicant, as well as the name of the manager or officer of the proposed shellfish processing facility.
  - (e) A complete disclosure of any history of marine resource violations, whether federal or state, of the owner, agents, managers, or officers;
2. Submit and implement an HACCP plan that is signed and dated, and have a program of sanitation monitoring and record keeping in compliance with 21 CFR 123 as it appears in the Federal Register of December 18, 1995 and in accordance with Chapter 15.26 and 15.31; and
- C. An operational plan shall be submitted to the Department with any initial application for certification, a bulk tagging permit, a wet storage permit, a buying station permit and whenever there is a change in the operations of a shellfish business.
  - D. Each dealer shall have a business facility address at which inspections of facilities, activities, equipment, and records can be conducted.
  - E. Any person requesting certification shall be subject to a comprehensive onsite inspection. A state shellfish standardized inspector shall conduct the inspection, using the appropriate inspection form.
  - F. Certifications expire on the first day of June, unless an earlier expiration date is given.
  - G. Only one certification number may be issued to a dealer for a location. A person or dealer may obtain more than one certification if each business is:
    - 1. Maintained as a separate entity; and
    - 2. Is not found at the same location.
  - H. Facilities may be shared by separate certified dealers with prior written Department approval.
  - I. The holder of a shellfish certificate shall be strictly responsible for all activities undertaken pursuant to that shellfish certificate whether or not those activities are undertaken personally by the certificate holder or by an employee, agent, manager or officer employed by the certificate holder.
  - J. Upon initial application for certification and any time thereafter that changes are made to the dealer's plumbing system, the applicant shall submit local code enforcement or plumbing inspector's inspection permit to the Department to demonstrate that all plumbing and sewage within the facility meets state and local code requirements.

15.06 Initial Certification Criteria

- A. The physical plant, equipment and the operations of the applicant must be in compliance with all Department regulations. The Commissioner may issue a conditional shellfish certificate to the applicant containing performance requirements for the applicant's shellfish operations.
- B. Certification shall only be given to those applicants which meet the following standards for certification:
  - 1. HACCP requirements:
    - a. A HACCP plan accepted by the Department;
    - b. No critical deficiencies;
    - c. Not more than 2 key deficiencies;
    - d. Not more than 2 other deficiencies.
  - 2. Sanitation and additional Model Ordinance Requirements:
    - a. No critical deficiencies.
    - b. Not more than 2 key deficiencies;
    - c. Not more than 3 other deficiencies.
- C. The deficiencies must be corrected according to a compliance schedule approved, in writing, by the Department.

#### 15.07 Renewal of Certification

- A. The dealer shall apply for certification renewal annually at the time specified by the Department.
- B. The Department shall not certify any dealer until the dealer has:
  - 1. Corrected any deficiencies identified in a compliance schedule if applicable.
  - 2. Addressed any new key or other deficiencies in a new or revised compliance schedule; and
    - (a) Met the requirements of Chapter 15.06.

#### 15.08 Denial of Certification

- A. Where the Commissioner determines that an applicant's proposed shellfish operations do not comply with Department regulations he/she may deny the shellfish certificate application in writing, stating the reasons for the denial and notifying the applicant of his/her right to request an adjudicatory hearing on the denial before the Commissioner.
- B. Any applicant denied a shellfish certificate by the Commissioner may request an adjudicatory hearing before the Commissioner. The request must be in writing and must be received by the Department no later than 10 days of receipt by the applicant of the notice, by certified mail, of denial of the shellfish certificate. The Commissioner shall follow the adjudicatory hearing procedures set forth in 5 M.R.S. §9051 et seq. and shall give notice of the hearing as required by 5 M.R.S. §9052(1)(A). No public notice shall be required.
- C. Any applicant denied a shellfish certificate by the Commissioner may submit amended applications after they have corrected deficiencies cited by the Commissioner.
- D. Any applicant may request, in writing, additional Department inspections after correcting deficiencies cited in the Department inspection report.

#### 15.09 Inspections

- A. Except as provided by chapter 15.10, all certified facilities must be inspected on a random basis according to the following minimum frequencies:
  - 1. All newly certified dealers will be reinspected within 30 working days.
  - 2. All shucker packers (SP) will be inspected at least once every three months.
  - 3. All shellstock shippers (SS) will be inspected at least once every six months.
  - 4. All reshippers (RS) will be inspected at least once every six months.
  - 5. All depuration plants (DP) will be inspected at least once every month.
  - 6. All wet storage permit holders activities will be inspected at least annually for offshore storage in natural bodies of water and semiannually for all land based systems.

#### 15.11 Performance Bond

Any shellfish certificate applicant adjudicated for violating any shellfish law or regulation in a civil proceeding, or convicted in a criminal proceeding for violating any shellfish law or regulation, may be required by the Commissioner to post a surety company's performance bond in the sum of Five Thousand Dollars (\$5,000.00), payable to the Treasurer State of Maine and conditioned so as to ensure faithful fulfillment of all duties and obligations imposed by law and regulation upon shellfish certificate holders. The bond must be delivered to the Commissioner prior to the reinstatement, renewal or granting of a shellfish certificate. Any subsequent judgment in a civil proceeding or conviction in a criminal proceeding shall be reported immediately to the bonding company by the Commissioner who may obtain forfeiture of the bond upon presentation of a court-certified copy of the record of the judgment or conviction.

#### 15.12 Alterations and Renovations

- A. At least 30 days prior to altering or renovating any physical plant, handling procedure or equipment, the Department must be contacted. Written permission must be obtained from the Commissioner prior to changes.
  - 1. All water supply and wastewater disposal systems must comply with the requirements of the Department of Human Services and the Department of Environmental Protection with regard to drinking water and wastewater disposal, and the construction must comply with all local fire, plumbing and electrical codes.
- B. If the Commissioner denies permission, he/she shall issue his/her denial in writing, with specific reasons for his/her denial.

#### 15.13 Surrender of Certificate and Reactivation of Certificate

- A. The holder of a shellfish certificate must surrender its certificate to the Commissioner if the holder's business becomes inactive. In the event that the holder wishes to reactivate the business during the original certification period, the holder may apply in writing to the Commissioner for reissuance of the certificate. The certificate shall be reinstated, in writing, by the Commissioner for the original issuance period, if the physical plant, equipment and operating procedures of the shellfish business comply with shellfish sanitation laws and regulations.
- B. Any shellfish certificate holder who relocates its shellfish processing establishment or changes vehicles used to transport shellfish shall notify the Commissioner in writing of the relocation or

change and surrender the certificate issued for the former establishment or vehicle. The certificate holder shall file a new application for certification on the new establishment or vehicle.

#### 15.14 Suspension, Revocation or Refusal to Reissue a Shellfish Certificate

##### A. Suspension or Revocation

1. The Commissioner may suspend a shellfish certificate under 12 M.R.S. §6371 where the holder has refused to allow a shellfish inspection or has violated a shellfish sanitation regulation. The Commissioner shall follow the procedures set forth in 12 M.R.S. §6372 and §6374 to impose such a suspension.
2. The Commissioner may suspend a shellfish certificate under 12 M.R.S. §6401 where the holder has been convicted of a violation of a marine resources law. The Commissioner shall follow the procedures set forth in 12 M.R.S. §§6351 to 6353 to impose such a suspension.

##### B. When the Department determines that a condition exists that presents an immediate threat to public health the Department may take any or all of the following actions to protect the public health:

1. Suspend the shellfish certification in accordance with Title 5 §10004 (3 & 4);
2. Require the holder of the shellfish certificate to initiate a recall, in accordance with Chapter 15.36, of any distributed shellfish that are adulterated or may have become adulterated; and
3. Embargo and destroy any undistributed lots of shellfish that are adulterated or may have become adulterated in accordance with the provisions of Chapter 15.23.

##### C. If the Commissioner determines that an applicant for renewal of a shellfish certificate is not currently in compliance with shellfish sanitation regulations, or has failed to comply with shellfish sanitation regulations during the previous license period, the Commissioner may refuse renewal of the license in accordance with the following procedures:

1. The Commissioner shall advise the applicant for renewal by certified mail, return receipt requested, of the refusal and the grounds for this refusal.
2. The Commissioner shall advise the applicant for renewal that the applicant has a right to request that an adjudicatory hearing be held before the Department in conformity with 5 M.R.S., Chapter 375 subchapter IV. The Commissioner shall advise the applicant that the hearing must be requested in writing and that the written request must be received by the Department no later than 10 days of receipt by the applicant of the notice, by certified mail, of refusal to renew the shellfish certificate.
3. If an adjudicatory hearing is requested, the Commissioner shall schedule a hearing within 10 days of the Department's receipt of the written request for hearing, unless a longer period is mutually agreed to in writing.
4. Notice of the hearing date, time and location shall be given immediately to the applicant.

#### 15.16 Shellfish Contamination Standards - Biotoxins

- A. It shall be unlawful to buy, receive, sell, possess, ship, transport, shuck or otherwise process shellfish in any form, regardless of origin where the shellfish meet the following action levels established by the NSSP Model Ordinance (Chapter 15.02(A)(59)).

1. For paralytic shellfish poisoning (PSP), the toxin concentration equals or exceeds 80 ug/100 mg of edible portion of raw shellfish;
  2. For Domoic acid, Amnesic shellfish poisoning (ASP), the toxin concentration shall not be equal to or exceed 20 ppm in the edible portion of raw shellfish; or
  3. For any marine biotoxin-producing organism for which criteria have not been established under the NSSP Model Ordinance, either cell counts in the water column or biotoxin meat concentrations may be used by the Department as the criteria for not allowing the harvest of shellstock.
- B. The Department may collect samples of shucked shellfish and shellstock from shellfish certificate holder periodically to determine if shellfish meet the contamination standards, described in Chapter 15.16(A) above.

#### 15.18 Shellfish Tagging and Labeling Requirements

- A. All shellfish shipped or transported into, out of, or within the state of Maine must be transported or shipped directly from a shellfish dealer who has been certified in accordance with the provisions of the National Shellfish Sanitation Program in his state or nation of residency, and/or who is listed as a certified shellfish shipper by the Food and Drug Administration's Interstate Certified Shellfish Shipper's List. This paragraph shall not be construed to prohibit transportation of shellfish to a certified dealer within the state of Maine or to a shellfish license holder's home, by a shellfish license holder. Nor shall it prohibit the retail sale of shellstock by a shellfish license holder, from the license holder's home or aquaculture lease site, in accordance with 12 M.R.S. §6601(2).
- B. Each dealer certified by the Department must prior to sale securely affix a dealer's tag to each container. Tags must be approved by the Department prior to use and must be at least 2  $\frac{5}{8}$  inches x 5  $\frac{1}{4}$  inches (6.7 x 13.3 cm) in size and be waterproof and durable. It shall be unlawful to ship or transport shellfish unless the container of such shellfish bears, at all times, a waterproof label or tag as described below. Example tags are located at the end of this Chapter. Both sides of the tags may be used. The dealer tag must contain legible and indelible printed information arranged in the following order:
1. The title: "Dealer Tag" must be printed on the top of the tag;
  2. The dealer's name and address; except that for bulk tags also list the harvester's name;
  3. The dealer's certification number assigned by the Department; except that for bulk tags add the DMR harvester's license number in addition to the dealer certificate number;
  4. The original shipper's certification number including the state abbreviation; or if depurated or bulk tagged the original shellstock shipper's certification number is not required;
  5. Date of harvest; or if depurated, the date of depuration processing; or if bulk tagged, add the time of harvest after the date;
  6. If wet stored or depurated, the wet storage or depuration cycle or lot number. The wet storage lot number shall begin with the letter "W";
  7. The most precise identification of the harvest location (e.g. flat or cove, river or bay, town, state. For example: White's Cove, Nonesuch River, Shellfishville, ME), aquaculture lease site or LPA site as is practicable, including the initials of the state (Maine – ME).

Off shore vessels harvesting mahogany quahogs must provide identification as to the bay (if appropriate) and/or harvesting zones described by the Department;

When the shellstock is bulk tagged the bulk tag must include the following statement: "ALL SHELLSTOCK CONTAINERS IN THIS LOT HAVE THE SAME HARVEST DATE AND AREA OF HARVEST";

8. Type and quantity of shellstock; or if bulk tagged list the type of shellstock and number of individual containers in the lot;
9. When the shellstock has been placed in wet storage and it originated from a state other than Maine, the following statement: "THIS PRODUCT IS A PRODUCT OF (NAME OF STATE) AND WAS WET STORED AT (FACILITY CERTIFICATION NUMBER) FROM (DATE) TO (DATE)";
10. The following statement, which must appear in bold capitalized type and must be adhered to at all times:  
"THIS TAG IS REQUIRED TO BE ATTACHED UNTIL CONTAINER IS EMPTY OR IS RETAGGED AND THEREAFTER KEPT ON FILE FOR 90 DAYS "; and
11. The following statement, "RETAILERS, INFORM YOUR CUSTOMERS" from the Maine Food Code (01-001 Code of Maine Regulations, Chapter 331) regarding consumer advisories (3-603.11):

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

The statement "Keep Refrigerated" or an equivalent statement must be included on the tag.

12. When both the dealer and harvester tags appear on the container, the dealer's tag is not required to duplicate the information on the harvester's tag.
- D. It shall be unlawful for any person or persons other than the certified dealer to be in possession of new or unused certified dealer tags.

Exception: Bulk tags where approved for use by the Department.

- E. It shall be unlawful for the holder of a Maine shellfish certificate to receive, handle, buy, possess, sell, ship or transport shellfish unless each container of shellfish bears a label or tag as required by this section, Chapter 15.18.

Exception: Bulk tags where approved for use by the Department.

- F. The absence of labels or tags as required by this regulation shall be prima facie evidence of violation of these regulations. The absence of required labels or tags shall be grounds for the immediate embargo and destruction of the untagged or unlabeled shellfish.
- G. Shellfish tags that do not contain the required information or are altered or mislabeled shall be grounds for immediate embargo and destruction.

#### 15.19 Bulk Tagging of Shellstock

- A. When receiving bulk tagged shellfish, the certified dealer must have a Bulk Tagging Plan approved by the Department to ensure that each lot of shellstock is kept separate and identified in a way which prevents non-permitted dealer commingling (Chapter 15.20) or misidentification. The lot may be tagged with a single tag in accordance with Chapter 15.18 and approved by the Department. Dealers choosing to practice bulk tagging shall apply to the Department on an annual basis. The Bulk Tagging Plan must be pre-approved by the Department and must describe

the standard operating procedure implemented by the dealer for handling bulk tagged product, during transportation of the product and during processing or repackaging. A list of proposed participating harvesters and/or certified dealers, and their license or certification numbers must be included in the permit request.

- B. A dealer receiving bulk tagged shellstock must have an intermediate processing plan approved by the Department which establishes the procedures the dealer shall use to tag the lot during washing, packing, or staging of shellfish to ensure that each lot of shellstock is kept separate and identified in a way which prevents non-permitted dealer commingling (Chapter 15.20) or misidentification under the provisions of Chapter 15.18.

#### 15.20 Tagging of Shellstock During Intermediate Processing

- A. When the shellstock is removed from the original container, the dealer shall:
  1. Maintain purchase and sales records under the provisions of Chapter 15.24;
  2. Maintain the lot identity of all shellstock during any intermediate stage of processing, i.e. washing and/or packing shellstock; and
  3. Have a written intermediate processing plan approved by the Department, which establishes procedures the dealer shall use to tag the lot during the washing and packing of shellfish and which includes a Department approved commingling plan to ensure that each lot of shellstock is separated and identified in a way, which prevents commingling or misidentification.
- B. The identification shall be provided by:
  1. The harvester tag, bulk tag or dealer tag, which meet the requirements of Chapter 15.19; or
  2. A tag for each lot of shellstock, which contains the following information:
    - (a) The title: "Intermediate Processing Tag" must be printed on the top of the tag;
    - (b) A statement that "All shellstock containers in this lot have the same harvest date and area of harvest";
    - (c) Original dealer certification number;
    - (d) Harvest date;
    - (e) Harvest area; and
    - (f) Number of individual containers in each lot of shellstock container (e.g. a pallet) after washing or packing has been completed.
- C. When a dealer has an approved intermediate processing plan, the dealer shall tag each lot of shellstock in accordance with the intermediate processing plan while the lot of shellstock is being processed in the plant.
- D. Commingling
 

Only a Primary Dealer may commingle shellfish products and only with a Department approved commingling plan.

  1. The plan shall include provisions that minimize commingling but meet the minimum of:

- (a) multiple harvest areas from the same harvest date, and/or
  - (b) multiple harvest dates from the same harvest area are permitted to be commingled.
  - (c) The shellfish tag and records must indicate which areas and/or which dates from the same harvest area have been commingled; i.e. Quahog Bay / White's Cove, Brunswick commingled or Quahog Bay, Brunswick 11/12 & 11/13 commingled.
2. Shucked product may be commingled if it is in one container and from only two consecutive days processing. The areas commingled must be documented in the days shucking log, also in the sales records.

#### 15.21 Shucked Shellfish Labeling

- A. Each individual package containing fresh or fresh frozen shucked shellfish meat shall bear a permanent printed label approved by the Department that is legibly and indelibly marked in accordance with applicable federal and state regulations to contain, but not be limited to, the following:
  - 1. The packer's, distributor's and original shucker's name and address;
  - 2. The original shucker-packer's certification number; and
  - 3. The type and quantity of shucked shellfish in the container.
- B. The dealer shall also label each individual package containing less than 64 fluid ounces (1873 ml) of fresh or fresh frozen shellfish with the following:
  - 1. The words "SELL BY DATE" or "BEST IF USED BY" followed by a date when the product would be expected to reach the end of its shelf life;
  - 2. The date shall consist of the abbreviation for the month and number of the day of the month; and
  - 3. For fresh frozen shellfish, the year shall be added to the date.
- C. The dealer shall label each individual package containing 64 fluid ounces (1873 ml) or more of fresh or fresh frozen shellfish with the following:
  - 1. The words "DATE SHUCKED" followed by the date shucked located on both the lid and sidewall or bottom of the container;
  - 2. The date shall consist of either the abbreviation for the month and number of the day of the month or in Julian format (YDDD) i.e., the last digit of the four digit year and the three digit number corresponding the day of the year; and
  - 3. For fresh frozen shellfish, the year shall be added to the date (for non-Julian format).
- D. A dealer who freezes shucked shellfish shall label all frozen shellfish as frozen in a font of equal prominence immediately adjacent to the type of the shellfish.
- E. Shellfish that has been frozen and is thawed must be labeled as previously frozen in a font of equal prominence immediately adjacent to the type of the shellfish.
- F. If the dealer uses master shipping cartons, the master cartons are exempt from these labeling requirements when the individual containers within the carton are properly labeled.

- G. If the dealer uses lot codes to track shellfish containers, the lot codes shall be distinct and set apart from any date listed on the container.
- H. The presence of used, single service containers in a certified shellfish establishment, shall be unlawful.
- I. Shucker packers that repack shucked shellfish shall pack and label all shellfish in accordance with Chapter 15.21(B) except that the original date of shucking shall be added to the new repacked container as specified in Chapter 15.21(C)(1) or the original date of shucking shall be used in establishing the SELL BY DATE as specified in Chapter 15.21(B)(1).
- J. Each package of fresh or frozen shucked shellfish shall include a consumer advisory. The following statement, from Section 3-603.11 of the Maine Food Code (01-001 Code of Maine Regulations, Chapter 331), or an equivalent statement, shall be included on all packages: "Consuming raw or undercooked meats, poultry, seafood, shellfish, or eggs may increase your risk of foodborne illness, especially if you have certain medical conditions."

#### 15.22 Brokers

Any person acting as an independent contractor who ships or transports shellfish and who does not buy or take ownership of the shellfish being transported shall not be required to affix his/her own tag or label. However, all shellfish transported must be tagged with the name of the consignor and consignee, and the consignor or other owner of the shellfish shall remain liable for the quality of the shellfish being transported and its conformity with these regulations.

#### 15.23 Embargo Procedure for Shellfish

- A. In the event that the Commissioner or his agent determines that shellfish should be embargoed, whether for violation of shellfish sanitation regulations or for any other reason set forth in 12 M.R.S. §6856(6), the shellfish shall be tagged with a "HOLD" label and shall not be sold, shipped, transported, moved or otherwise altered by any person, without the express permission of the Commissioner or his agent.
- B. A "HOLD" label shall be affixed to every single container or lot of shellfish subjected to embargo. The "HOLD" label shall bear a number, signifying the identity of the container or lot of embargoed shellfish. The Commissioner shall retain a copy of all current embargo orders or destruct orders, which includes the hold number, container or lot description, name and address of the shellfish owner and the reason for embargo. A copy of such orders containing this information shall be given to the owner of the embargoed shellfish.
- C. It shall be unlawful to pack shellfish, whether shucked or in shellstock form into mislabeled containers, or to possess mislabeled shellfish. Shellfish shall be considered mislabeled if:
  - 1. The label is absent, bears inaccurate information, or is missing information concerning the identity of the packer, shipper, distributor, the area name, the date of harvest, the date of packing or the type and quantity of shellfish in the container.
- D. Shellfish that are mislabeled shall be grounds for immediate embargo, condemnation and destruction as being of unsound or unknown quality, and therefore, unsafe.
- E. When shellfish samples indicate that those shellfish contain toxin levels exceeding those described in Chapter 15.17, or the shellfish are suspected of being contaminated or of unsound quality or deleterious to the public health, the Commissioner shall embargo the contaminated shellfish; as well as any other shellfish which are likely to be contaminated in the same vehicle or facility. The Commissioner shall condemn and order destruction of such shellfish in accordance with the embargo authority granted to the Commissioner of Marine Resources in 12 M.R.S. §6856(6).

## 15.24 Shipping Documents and Records

- A. Shipping documents shall accompany each shellfish shipment and be available to the Department upon request.
1. The shipping documents shall contain;
    - (a) The name, address, and certification number of the shipping dealer;
    - (b) The name(s) and address (es) of the consignee(s); and
    - (c) The type and quantity of the shellfish product(s);
    - (d) The date and time of shipment; and
    - (e) A statement that all shipping conveyances comply with NSSP Guide (Model Ordinance) Chapter IX.04.
  2. The receiving dealer shall;
    - (a) Maintain a copy of the completed shipping document; and
    - (b) Make the shipping document available to the Department upon request.
- B. Purchase and sales records shall be maintained by each certified dealer and must meet the following criteria:
1. Each dealer shall have a business address at which records are maintained
  2. Records shall:
    - (a) Be complete, accurate and legible;
    - (b) Contain all of the Department's required information in a form authorized by the Department; and
    - (c) Shall be made available for Department personnel to review and copy upon request.
  3. The records must be sufficient to document that;
    - (a) Shellfish are from an authorized source (licensed harvester or certified dealer);
    - (b) A container of shellfish can be traced back to the specific incoming lot of shellfish from which it was taken; and
    - (c) A lot of shucked shellfish or a lot of shellstock can be traced back to the growing area, date of harvest, and if possible, the harvester or group of harvesters.
  4. Records shall be maintained in a permanently bound ledger book or other recording method approved by the Department.
  5. The records shall be retained:
    - (a) For fresh shellfish, for a minimum of one year and

- (b) For frozen shellfish, for at least two years or the shelf - life of the product, whichever is longer.
  - C. Shucked shellfish logs shall be maintained by shucker packers and must be sufficient to document:
    - 1. Date product was shucked;
    - 2. Product lot code;
    - 3. The harvest area and harvest date;
    - 4. The amount of product shucked; and
    - 5. The total amount of product produced.
  - D. Shellfish Reports: See Chapter 8.10(A) Landings Program
  - E. Aquaculture lease holders and LPA license holders shall maintain complete, legible and accurate records for at least two (2) years, which shall include the:
    - 1. Source of shellfish, including seed if the seed is from growing areas that are not in the approved classification;
    - 2. Dates of transplanting and harvest; and
    - 3. Water source, its treatment method, if necessary, and its quality in land based systems pursuant to Chapter 15.32, 15.33, 15.34 and/or 15.35.
- 15.25 General HACCP Requirements – Hazard Analysis
- A. Every dealer shall conduct a hazard analysis to determine the food safety hazards that are reasonably likely to occur for each kind of shellfish product processed by that dealer and to identify the preventative measures that the dealer can apply to control those hazards. Such food safety hazards can be introduced both within and outside the processing plant environment, including food safety hazards that can occur before, during and after harvest. A food safety hazard that is reasonably likely to occur is one for which a prudent dealer would establish controls because experience, illness data, scientific reports, or other information provide a basis to conclude that there is a reasonable possibility that it will occur in the particular type of shellfish product being processed in the absence of those controls. In the hazard analysis, the dealer shall consider the critical control points listed in the most recent edition of the FDA's "Fish and Fisheries Products Hazards and Controls Guide", henceforth referred to as the "Guide", as well as any recommended by the Department.
- 15.26 General HACCP Requirements – HACCP Plan
- A. Every dealer shall have and implement a written HACCP plan. A HACCP plan shall be specific to:
    - 1. Each location where shellfish products are processed by that dealer; and
    - 2. Each kind of shellfish product processed by the dealer. The plan may group kinds of shellfish products together, or group kinds of production methods together, if the food safety hazard, critical control points, critical limits, and procedures required to be identified and performed are identical for all shellfish products so grouped or for all production methods so grouped.

B. The HACCP plan shall, at a minimum:

1. List the food safety hazards that are reasonably likely to occur, as identified in accordance with Chapter 15.25(A) and that thus must be controlled for each shellfish product. Consideration should be given to whether any food safety hazards are reasonably likely to occur as a result of the following:
  - (a) Natural toxins;
  - (b) Microbiological contamination;
  - (c) Chemical contamination;
  - (d) Pesticides;
  - (e) Drug residues;
  - (f) Unapproved use of direct or indirect food or color additives; and
  - (g) Physical hazards;
2. List the critical control points for each of the identified food safety hazards, including as appropriate:
  - (a) Critical control points designed to control food safety hazards introduced outside the processing plant environment, including food safety hazards that occur before, during, and after harvest. At a minimum, the critical control points shall include those identified in the Guide or recommended by the Department, as applicable. As an alternative, the dealer may establish other critical control points, which the dealer can demonstrate to the Department, to provide equivalent public health protection. If the dealer can demonstrate to the Department through a hazard analysis that the food safety hazard is not reasonably likely to occur, the critical control point is not required with the exception of receiving, which shall always be considered a critical control point.
  - (b) Critical control points are designed to control food safety hazards that could be introduced in the processing plant environment. As an alternative, the dealer may establish other critical control points, which the dealer can demonstrate to the Department to provide equivalent public health protection. If the dealer can demonstrate to the Department through a hazard analysis that the food safety hazard is not reasonably likely to occur, the critical control point is not required. At a minimum, the critical control points shall include those identified in the Guide or as recommended by the Department, as applicable.
3. List the critical limits that must be met at each of the critical control points. At a minimum, the critical limits shall include those listed in the Guide or as recommended by the Department, as applicable. As an alternative the dealer may establish other critical limits which the dealer has demonstrated provide equivalent public health protection, with the exception of receiving, which shall always be considered a critical control point. In any case, the critical limits identified in the Guide, or as recommended by the Department, shall be met as components of good manufacturing practices.
4. List the procedures, and frequency thereof, that will be used to monitor each of the critical control points to ensure compliance with the critical limits.
5. Include any corrective action plans that have been developed in accordance with Chapter 15.27, to be followed in response to deviations from critical limits at critical control points.
6. Provide for a record keeping system that documents the monitoring of the critical control points. The records shall contain the actual values and observations obtained during monitoring.

7. List the verification procedures, and frequency thereof, that the dealer will use in accordance with Chapter 15.28.
- C. The HACCP plan shall be signed and dated, either by the most responsible individual on site at the processing facility or by a higher-level official of the dealer. This signature shall signify that the dealer has accepted the HACCP plan for implementation.
1. The HACCP plan shall be signed and dated:
    - (a) Upon initial acceptance;
    - (b) Upon any modification; and
    - (c) Upon verification of the plan in accordance with Chapter 15.28.

Sanitation controls may be included in the HACCP plan. However, to the extent that they are monitored in accordance with Chapter 15.31, they need not be included in the HACCP plan, and vice versa.

#### 15.27 General HACCP Requirements – Corrective Actions

- A. Whenever a deviation from a critical limit occurs, a dealer shall take corrective action either by:
1. Following a corrective action plan that is appropriated for the particular deviation, or
  2. Following the procedures in Chapter 15.27(C).
- B. Dealers may develop written corrective action plans, which become part of their HACCP plans in accordance with Chapter 15.26(B)(5), by which they predetermine the corrective actions that they will take whenever there is a deviation from a critical limit. A corrective action plan that is appropriate for a particular deviation is one that describes the steps to be taken and assigns responsibility for taking those steps, to ensure that:
1. No product enters commerce that is either injurious to health or is otherwise adulterated as a result of the deviation; and
  2. The cause of the deviation is corrected.
- C. When a deviation from a critical limit occurs and the dealer does not have a corrective action plan that is appropriate for that deviation, the dealer shall:
1. Segregate and hold the affected product, at least until the requirements of Chapter 15.27(B)(1) and (2) are met;
  2. Perform or obtain a review to determine the acceptability of the affected product for distribution. An individual or individuals who have adequate training or experience to perform such a review shall perform the review. Adequate training may or may not include training in accordance with Chapter 15.30;
  3. Take corrective action, when necessary, with respect to the affected product to ensure that no product enters commerce that is either injurious to health or is otherwise adulterated as a result of the deviation;
  4. Take corrective action, when necessary, to correct the cause of the deviation; and
  5. Perform or obtain timely reassessment by an individual or individuals who have been trained in accordance with Chapter 15.30, to determine whether the HACCP plan needs to be

modified to reduce the risk of recurrence of the deviation, and modify the HACCP plan as necessary.

- D. All corrective actions taken in accordance with this section shall be fully documented in records that are subject to verification in accordance with Chapter 15.28 and the record keeping requirements of Chapter 15.29.

#### 15.28 General HACCP Requirements - Verification

- A. Every processor shall verify that the HACCP plan is adequate to control food safety hazards that are reasonably likely to occur, and that the plan is being effectively implemented. Verification shall include, at a minimum:
  - 1. A reassessment of the adequacy of the HACCP plan at least annually and whenever any changes occur that could affect the hazard analysis or alter the HACCP plan in any way. These changes may include: Raw materials or source of raw materials, product formulation, processing methods or systems, finished product distribution systems, or the intended use or consumers of the finished product.
  - 2. An individual or individuals who have been trained in accordance with Chapter 15.30 shall perform the reassessment.
- B. The HACCP plan shall be modified immediately whenever a reassessment reveals that the plan is no longer adequate to fully meet the requirements of Chapter 15.26(B).
- C. Ongoing verification activities shall include:
  - 1. A review of any consumer complaints that have been received by the dealer to determine whether they relate to the performance of critical control points or reveal the existence of unidentified critical control points;
  - 2. The calibration of process-monitoring instruments; and
  - 3. At the option of the dealer, the performance of periodic end product or in-process testing.
- D. A review, including signing and dating, shall occur within one (1) week of the day that the records are made, by an individual who has been trained in accordance with Chapter 15.30, of the records that document:
  - 1. The monitoring of critical control points. The purpose of this review shall be, at a minimum, to ensure that the records are complete and to verify that they document values that are within the critical limits;
  - 2. The taking of corrective actions. The purpose of this review shall be, at a minimum, to ensure that the records are complete and to verify that appropriate corrective actions were taken in accordance with Chapter 15.27; and
  - 3. The calibrating of any process monitoring instruments used at critical control points and the performing of any periodic end product or in process testing that is part of the dealer's verification activities. The purpose of these reviews shall be, at a minimum, to ensure that the records are complete, and that these activities occurred in accordance with the processor's written procedures.
- E. Dealers shall immediately follow the procedures in Chapter 15.27 whenever any verification procedure, including the review of a consumer complaint, reveals the need to take a corrective action.

- F. The calibration of process-monitoring instruments, and the performing of any periodic end-product and in-process testing in accordance with Chapter 15.28 shall be documented in records that are subject to the records keeping requirements of Chapter 15.29.

#### 15.29 General HACCP Requirements - HACCP and Sanitation Standard Operating Procedures (SSOP's) Records

- A. All records required by monitoring HACCP and SSOP's shall include:
  - 1. The name and location of the dealer;
  - 2. The date and time of the activity that the record reflects;
  - 3. The signature or initials of the person performing the operation; and
  - 4. Where appropriate, the identity of the product and the production code, if any. Processing and other information shall be entered on the records at the time that it is observed.
- B. All records required by monitoring HACCP and SSOP's shall be retained at the processing facility for at least one (1) year after the date they were prepared in the case of refrigerated products and for at least two (2) years after the date they were prepared in the case of frozen products.
- C. Records that relate to the general adequacy of equipment or processes being used by a processor, including the results of scientific studies and evaluations, shall be retained at the processing facility for at least two (2) years after their applicability to the product being produced at the facility.
- D. If the processing facility is closed for a prolonged period between seasonal operations, the records may be transferred to some other reasonably accessible location at the end of the seasonal operations but shall be immediately returned for official review upon request.
- E. The maintenance of records on computers is acceptable, provided that appropriate controls are implemented to ensure the integrity of the electronic data and electronic signatures.

#### 15.30 General HACCP Requirements - Training

- A. At a minimum, the following functions shall be performed by an individual who has successfully completed training in the application of HACCP principles to shellfish processing at least equivalent to that received under standardized curriculum recognized as adequate by the FDA or who is otherwise qualified through job experience to perform these functions:
  - 1. Developing a HACCP plan, which could include adapting a model or generic-type HACCP plan that is appropriate for a specific processor, in order to meet the requirements of Chapter 15.26;
  - 2. Reassessing and modifying the HACCP plan in accordance with the corrective action procedures specified in Chapter 15.27 and the HACCP plan in accordance with the verification activities specified in Chapter 15.28; and
  - 3. Performing the record review required by Chapter 15.29.
- B. Job experience will qualify an individual to perform these functions if it has provided knowledge at least equivalent to that provided through the standardized curriculum as determined by the Department.

- C. The trained individual need not be an employee of the dealer.

#### 15.31 General Sanitation Requirements and Monitoring

- A. 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 a minimum, conformity with the requirements specified in Chapter 16. The requirements specified in these Sections relate to the following sanitation items:
  1. Safety of the water that comes into contact with food or food contact surfaces, or is used in the manufacture of ice, hereinafter referred to as: Safety of water for processing and ice production;
  2. Condition and cleanliness of food contact surfaces, including utensils, gloves, and outer garments, and from raw product to cooked product, hereinafter referred to as: Condition and cleanliness of food contact surfaces;
  3. Prevention of cross contamination from unsanitary objects to food, food packaging materials, and other food contact surfaces, including utensils, gloves, and outer garments, and from raw product to cooked product, hereinafter referred to as: Prevention of cross contamination;
  4. Maintenance of hand washing, hand sanitizing, and toilet facilities, hereinafter referred to as: Maintenance of hand washing, hand sanitizing and toilet facilities;
  5. Protection of food, food packaging material, and food contact surfaces from adulteration with lubricants, fuel, pesticides, cleaning compounds, sanitizing agents, condensate, and other chemical, physical, and biological contaminants, hereinafter referred to as: Protection from adulterants;
  6. Proper labeling, storage, and use of toxic compounds, hereinafter referred to as: Proper labeling, storage, and use of toxic compounds;
  7. Control of employee health conditions that could result in the microbiological contamination of food, food packaging materials, and food contact surfaces, hereinafter referred to as: Control of employees with adverse health conditions; and
  8. Exclusion of pests from the food plant hereinafter referred to as: Exclusion of pests.
- B. Each dealer shall maintain sanitation control records that, at a minimum, document the monitoring and corrections prescribed by Chapter 15.29(A). These records are subject to the requirements of Chapter 15.29. While monitoring of those specified conditions and practices that are not appropriate to the plant and the food being processed is not required, compliance with such conditions and practices remains mandatory.
- C. Sanitation controls may be included in the HACCP plan as required by Chapter 15.28. However, to the extent that they are monitored in accordance with Chapter 15.31 they need not be included in the HACCP plan, and vice versa.

#### 15.32 Wet Storage in Artificial Bodies of Water or in Natural Bodies of Water (Onshore or Offshore)

- A. Any dealer choosing to practice wet storage in artificial bodies of water, onshore flow through systems or in offshore waters, shall apply to the Department on an annual basis for a permit for each wet storage site or operation. Continuing operations without any changes from the prior year may submit the one page Renewal Form for Wet Storage Permit, found on the DMR website.
  1. The written application must include:

- (a) The name of the dealer (as it appears on certificate), address, telephone number and certification number included in an application requesting a permit for wet storage.
  - (b) A map indicating the exact location (GPS coordinates reported in decimal degrees) being considered for near shore storage sites and floats. Onshore facilities must submit a map indicating location of facility and source water used for wet storage. A detailed design plan of the proposed on-shore storage facility, a complete description of the source of water to be used for wet storage and details of any water treatment systems to be used. Any water treatment systems to be used must be approved by the Department.
  - (c) A physical description, diagram or photograph of the design of the wet storage structure or system. All plans for construction or remodeling of onshore wet storage facilities shall be reviewed and approved by the Department prior to commencing construction.
  - (d) Local code enforcement or plumbing inspector's inspection form to show, to the satisfaction of the Department, that all new and/or remodeling of existing plumbing and sewage within the facility meets state and local requirements.
  - (e) A copy of the Department of Environmental Protection (DEP) National Pollution Elimination Discharge System (NPDES) permit or DEP letter of "no impact"; and
  - (f) A written standard operating procedure, which includes:
    - (i) a description of the purpose for the wet storage operation (i.e. holding, conditioning, or salinization) and any species specific physiological factors that may affect design criteria.
    - (ii) how product is tagged or identified during wet storage and,
    - (iii) how product is handled and tagged when it comes out of wet storage.
2. Wet storage must strictly comply with any and all provisions contained in the Department's written approval.
- B. Prior to commencing construction, all plans for construction or remodeling of onshore wet storage facilities or operations shall be reviewed and authorized by the Department.
- C. Each onshore wet storage operation shall meet the following design, construction, and operating requirements.
- 1. Effective barriers shall be provided to prevent entry of birds, animals and vermin into the area.
  - 2. Storage tanks and related plumbing shall be constructed of safe material that is easily cleanable;
  - 3. Tanks shall be constructed so as to be easily accessible for cleaning and inspections, to be self draining and fabricated from nontoxic, corrosion resistant materials; and
  - 4. Plumbing shall be designed and installed in compliance with the Maine Plumbing Code so that cleaning and sanitizing can be conducted on a regular schedule specified in an operating procedure so as to prevent contamination of the tank and water.
  - 5. Storage tank design, dimensions and construction are such that adequate clearance shall be maintained between shellfish and the tank bottom.

6. Shellfish containers must be constructed of safe materials and have a mesh type construction, which allows free flow of water to all shellfish in the containers.
  7. Floors, walls and ceilings shall be constructed; and lighting, plumbing and sewage disposal systems shall be installed in compliance with appropriate sections of Chapter 16.
- D. Onshore flow through systems and offshore wet storage sites shall meet the requirements for classification as approved or conditionally approved in the open status while shellstock is being held in storage.
  - E. When areas classified as approved or conditionally approved are placed in a status other than open, any shellstock in wet storage in that area shall be:
    1. Subjected to relaying or depuration prior to human consumption; or
    2. Held in the wet storage site until the area is returned to the open status.
  - F. Different lots of shellstock shall not be commingled in wet storage without a Department approved commingling plan (Chapter 15.20).
  - G. If more than one lot of shellstock is held in wet storage at one time lot identity shall be maintained.
  - H. Shellstock held or washed in water containing any other marine organism(s) shall be grounds for immediate embargo and destruction as being of unsound or unknown quality, and therefore, unsafe for human consumption.
  - I. The offshore site evaluation shall include:
    1. The criteria in Chapter 15.32(D); and
    2. The location of the offshore storage sites and floats provided on a chart and including the GPS coordinates (in decimal degrees).
  - J. Each offshore wet storage operation shall meet the following design, construction and operating requirements:
    1. Effective barriers shall be provided to prevent entry of birds, animals and vermin into the area.
    2. Shellfish containers shall be constructed of safe materials and have a mesh type construction which allows free flow of water to all shellfish in the containers.

#### 15.33 Onshore Wet Storage Water Supply Requirements

- A. Except for wells, the quality of the surface source water prior to treatment shall meet, at a minimum, the bacteriological standards for the restricted classification.
- B. Any well used as source water for wet storage shall meet the requirements of Chapter 16.07.
- C. Except when the source of the water is a growing area in the approved classification, a water supply sampling schedule shall be included in the dealer's operating procedures and water shall be tested according to the schedule.
- D. Results of water samples and other tests to determine the suitability of the water supply shall be maintained for at least 2 years.

- E. Disinfection or other water treatment such as the addition of salt cannot leave residues unless they are Generally Recognized as Safe (GRAS) and they do not interfere with the shellstock's survival, quality or activity during wet storage.
- F. Disinfected water entering the wet storage tanks shall have no detectable levels of the coliform group.
- G. When the laboratory analysis of a single sample of disinfected water entering the wet storage tanks shows any positive result for the coliform group, daily sampling shall be immediately instituted until the problem is identified and eliminated.
- H. When the problem that is causing disinfected water to show positive results for the coliform group is eliminated, the effectiveness of the correction shall be shown on the first operating day following correction through the immediate collection, within a 24 hour period, of a set of three samples of disinfected water and one sample of the source water prior to disinfection.
  - 1. For water that is disinfected by ultra-violet treatment, turbidity shall not exceed twenty (20) nephelometric turbidity units (NTUs) measured in accordance with Standard Methods for the Examination of Water and Wastewater, APHA.
  - 2. The disinfection unit(s) for the water supply shall be cleaned and serviced as frequently as necessary to ensure effective water treatment.
- I. If the system is of continuous flow – through design, water from a growing area classified as:
  - 1. Approved may be used, without disinfection, in wet storage tanks provided that the near shore water source used for supplying the system meets the approved classification bacteriological criteria at all times the shellstock are being held in wet storage; or
  - 2. Other than approved may be used if the source water is continuously subjected to disinfection and it is sampled daily following disinfection.
- J. When a source classified as other than approved is used, a study shall be required to demonstrate that the disinfection system will consistently produce water that tests negative for the coliform group under normal operating conditions. The study shall:
  - 1. Include five sets of three samples from each disinfection unit collected for five consecutive days at the outlet from the disinfection unit or at the inlet to at least one of the wet storage tanks served by the disinfection system;
  - 2. Include one sample daily for five consecutive days from the source water prior to disinfection;
  - 3. Use NISP recognized methods to analyze the samples to determine coliform levels;
  - 4. Require all samples of disinfected water to be negative for the coliform group; and
  - 5. Be repeated if any sample of disinfected water during the study is positive for the coliform group.
- K. Once approved for use, the water system shall be sampled daily to demonstrate that the disinfected water is negative for the coliform group.
- L. Where multiple tank systems use a common water supply system for bivalve mollusks and other species, wet storage water shall be effectively disinfected prior to entering tanks containing bivalve mollusks.

- M. Shellstock held or washed in water containing any other marine organism(s) shall be grounds for immediate embargo and destruction as being of unsound or unknown quality, and therefore, unsafe for human consumption.

#### 15.34 Onshore Wet Storage Using a Recirculating Water System

- A. A study shall be required to demonstrate that the disinfection system for the recirculating system will consistently produce water that tests negative for the coliform group under normal operating conditions. The study shall meet the requirements in Chapter 15.33.
- B. Once approved for use, the recirculating water system shall be sampled weekly to demonstrate that the disinfected water is negative for the coliform group.
- C. When make-up water of more than 10 percent of the water volume in the recirculating system is added from a growing area source classified as other than approved, a set of three samples of disinfected water and one sample of the source water prior to disinfection shall be collected within a 24 hour period to reaffirm the ability of the system to produce water free from the coliform group.
- D. When ultra-violet treatment is used as the water disinfectant, each time new ultraviolet bulbs are installed a set of three samples of disinfected water and one sample of the source water prior to disinfection shall be collected within a 24 hour period to reaffirm the ability of the system to produce water free from the coliform group.
- E. Shellstock held or washed in water containing any other marine organism(s) shall be grounds for immediate embargo and destruction as being of unsound or unknown quality, and therefore, unsafe for human consumption.

#### 15.35 Wet Storage Shellstock Handling

- A. Shellstock shall be thoroughly washed with water from a source authorized by the Department and culled prior to wet storage in tanks.
  - 1. Exception: Due to the adverse effects of culling on mussel physiology, culling of mussels may be done after wet storage, subject to permission from the Department.
- B. Unless the dealer is following the Department's written commingling management plan, different lots of Shellstock shall not be commingled during wet storage in tanks.
  - 1. If more than one lot of shellstock is being held in wet storage at the same time, the identity of each lot of shellstock shall be maintained.
- C. Shellstock held or washed in water containing any other marine organism(s) shall be grounds for immediate embargo and destruction as being of unsound or unknown quality, and therefore, unsafe for human consumption.

#### 15.36 Recall Procedure

- A. Certified dealers shall adopt written procedures, approved by the Department for conducting recalls based on, and complementary to, the FDA Enforcement Policy on Recalls, CFR Title 21, Chapter 1, Subchapter A, Part 7 –Enforcement Policy, Appendix B, APB – 1.
- B. Certified dealers shall follow their written recall procedures to include timely notification of the Department, timely notification to the consignee(s) who received the affected product and effective removal or correction of the affected product.

#### 15.37 Buying Station

#### A. Definitions

1. "Buying station" means a truck that is leased, owned or rented by the certified dealer and which is used to transport soft shell clam shellstock purchased at a location other than the dealer's permanent facility. The truck must be properly constructed, operated and maintained to prevent contamination, deterioration and decomposition of the shellstock in accordance with Chapter 16.23 and Chapter 15.37(B)(6) below.
2. "State Authorized Buying Station Representative" means an individual who has been authorized by the DMR to oversee buying station activities. The buying station representative may be a third party contractor or an employee of the permit holder.

#### B. Compliance

Certified dealers choosing to operate a buying station shall apply to the Department on an annual basis for a permit. Continuing operations without any changes from the prior year may submit the one page Renewal Form for Buying Station Permits, found on the DMR website. The dealer may be permitted if the following criteria are met:

1. The truck used as a buying station must be leased, owned or rented by the certified dealer and licensed with the appropriate supplemental license for that truck in accordance with 12 M.R.S. §6851.
2. The dealer must be certified in accordance with Chapter 15.05.
3. All shellstock purchased at the buying station must be transported by the certified dealer to the permanent facility for which that holder's certification was issued.
4. None of the following activities may occur on or in connection with a buying station: washing of shellstock, packing, tagging, distribution to any person or entity other than the certified dealer's facility.
5. The HACCP plan and HACCP records must be kept with the truck. A copy of the HACCP plan and records that apply to the buying station/truck must be separately identified and kept with the buying station/truck.
6. In addition to the requirements of Chapter 16.23, any truck used as a buying station must meet the following requirements:
  - (a) The trucks must have mechanical refrigeration capable of maintaining an ambient air temperature in the storage area of 45° F (7.2° C) or less.
  - (b) The truck must be equipped with an automatic time / temperature recording device that is operational during the time that buying starts and until the truck is returned to the permanent facility. The record of the time/temperature recording device must accompany the Buying Station Activity Log for each purchase trip. Records for fresh shellstock must be maintained for a minimum of 1 year; and for frozen shellfish, for at least two years or the shelf-life of the product, whichever is longer;
  - (c) The absence of or lack of operational mechanical refrigeration and/or an automatic time/temperature recording device as required by this regulation shall be prima facie evidence of violation of these regulations and shall also be grounds for the immediate embargo and destruction of the shellstock on the truck.

- (d) Water used for sanitation of the truck must be from an approved water source at the certified dealer's permanent facility pursuant to Chapter 16.07.
7. Performance Bond
- Any buying station permit applicant shall be required by the Commissioner to post a surety company's performance bond in the sum of Five Thousand Dollars (\$5,000.00), payable to the Treasurer State of Maine and conditioned so as to ensure faithful fulfillment of all duties and obligations imposed by law and regulation upon buying station permit holders. The bond must be delivered to the Commissioner prior to the reinstatement, renewal or granting of a buying station permit. Any adjudication in a civil proceeding or conviction in a criminal proceeding for a violation of the laws or regulations pertaining to buying station permit holders shall be reported immediately to the bonding company by the Commissioner who may obtain forfeiture of the bond upon presentation of a court-certified copy of the record of the judgment or conviction.
8. State Authorized Buying Station Representative Requirements
- (a) Each buying station permit holder must submit an application to the Department on an annual basis identifying the names and addresses of all individuals who the certificate holder intends to use as state authorized buying station representatives. The Commissioner may refuse to authorize any person that he determines to be unsuitable to serve as a buying station representative, taking into account, among other things, whether that person has a record of having committed marine resource law violations. An individual who has been convicted of a marine resources law violation within the previous 7 years is not eligible as an authorized representative unless a waiver from this requirement has been granted by the commissioner for good cause as determined by the commissioner in his or her discretion.
- (b) The buying station representative must supervise all activities associated with the buying station permit and keep accurate records in accordance with this chapter. These records must be available for inspection by Department personnel at all times.
- (c) The state authorized buying station representative must maintain a buying station activity log on forms supplied by the Department which includes, but is not limited to, the date of purchase, the start time and end time of buying, the total number of containers purchased at the end of the purchasing activity, area harvested, names of all harvesters and their current, valid, shellfish harvester's license number, the quantity of shellstock purchased from each harvester, time of arrival at the certified dealer's fixed facility, and the number of the seal used to lock the truck (also see sections 15.37(B)(9)&(10)). One copy must go with the truck and one copy must be maintained by the buying station permit holder. The records must be kept for 2 years. These records must be available for inspection by Department personnel at all times.
- (d) The buying station representative must call the appropriate Maine State Police communications center to notify the local marine patrol officer in the event an emergency prevents the buying station truck from returning directly to the permanent facility.
9. Transportation and Delivery of Shellstock from the Buying Station to the Permanent Facility
- All shellstock purchased at a permitted buying station must be placed into an approved truck and the truck must be sealed immediately. Unless otherwise authorized by Marine Patrol, all shellstock harvested must be transported directly to the permanent facility immediately after purchasing is completed at that location.
- (a) The trucks must be sealed with state seals, issued to buying station representatives by the Department to the certified dealer. The buying station representative must record the seal number, the time the shellstock were placed in the truck, the time the truck arrived at

the permanent facility, and the time the seal was removed from the truck at the permanent facility, on the buying station activity log.

#### 10. State Seals

The Department will issue state seals for buying station permit purposes only to a certified dealer with a buying station permit. It shall be unlawful for any person, other than a buying station permit holder or buying station representative, to possess these seals. Unused seals must be submitted to the Department of Marine Resources upon cancellation or suspension of a buying station permit, or revocation or suspension of a certification. If the seal number is not confirmed or there is evidence of tampering, Marine Patrol must be notified immediately.

#### 11. Supervision

- (a) The holder of a shellfish certificate shall be responsible for the supervision of all activities associated with the buying station permit.
- (b) Supervision of all buying station activities shall be sufficient to ensure compliance with applicable regulations.
- (c) Lack of supervision and responsibility for the buying station permit, including the non production of records required to be maintained, shall be grounds for immediate suspension of the permit.
- (d) The buying station operation shall be effectively supervised by the certified dealer or the state authorized buying station representative to assure that all the shellstock are actually delivered to the certified dealer's permanent facility. Control procedures shall preclude any opportunity for shellstock to be inadvertently diverted to sale for human consumption in accordance with Chapter 15.03(B). Controls must be applied to all phases of the operation including purchasing, transportation, record keeping and the security of the shellstock once purchased and until the time it is delivered to the certified dealer's permanent facility.

12. Any violation of this regulation and/or the terms of a permit or any other shellfish sanitation law may result in the suspension of the buying station permit in accordance with 12 M.R.S. §6371. Additional conditions may be added to a permit at the discretion of the Commissioner.

#### C. Application for Buying Station Permit

Buying station permit applications will be reviewed and issued based on the applicant's ability to meet the criteria for safe operations and the availability of a state authorized buying station representative to supervise the buying station activities.

Persons may apply in writing to the Department for a buying station permit or obtain the application online at the DMR website: [www.maine.gov/dmr](http://www.maine.gov/dmr).

The written application must include:

1. The Dealer's name, address, business phone, email address, fax number and certification number.
2. Make, model, VIN number, registration, wholesale seafood supplemental license number, DMR inspection decal number and a recent, current photograph of the truck rented, leased or owned by the certified dealer proposed to be used as the buying station.
3. Type and model of mechanical refrigeration unit (reefer) and the type and model of the automatic time/temperature recording device.

4. Standard operating procedure for the buying station including the name and address of the individual(s) operating the buying station; and,
5. A HACCP plan for operating the buying station (to include details for sanitizing, storage for sanitizers, proof of approved water source) in accordance with Chapter 15.25 through 15.30 and Chapter 16.
6. The name, phone number and address of a proposed state authorized buying station representative(s) to supervise the activities.
7. A copy of the surety companies performance bond pursuant to Chapter 15.37(B)(7).

15.18(B) Sample Dealer tags

Note: Both sides of the tags may be used.

**DEALER TAG**

Name:	DMR Certificate #:
Address:	Original Shipper
	Cert.# / State:
	Country of Origin:
Harvest Date:	Shellfish Type:
Harvest Area:	Quantity:

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

**RETAILERS, INFORM YOUR CUSTOMERS:**

“Thoroughly cooking foods of animal origin such as beef, eggs, fish, lamb, poultry, or shellfish reduces the risk of food borne illness. Individuals with certain health conditions may be at higher risk if these foods are consumed raw or undercooked. Consult your physician or public health official for further information.”

**INTERMEDIATE PROCESSING TAG**

**ALL SHELLSTOCK CONTAINERS IN THIS LOT HAVE THE  
SAME HARVEST DATE AND AREA OF HARVEST  
KEEP REFRIGERATED**

Original dealer  
certification number:

Harvest date:

Harvest area:

Number of individual containers in  
each lot of shellstock container (e.g. a pallet)  
after washing or packing has been completed:

**DEALER TAG - WET STORAGE**

Name:  
Address:  
Country of Origin:  
DMR Certificate #:  
Original Shipper Cert.#/State:  
Harvest Date:  
Harvest Area:  
Shellfish Type:  
Quantity:

**THIS PRODUCT IS A PRODUCT  
OF (NAME OF STATE):  
& WAS WET STORED AT (FACILITY  
CERT. NUMBER):  
FROM (DATE):  
TO (DATE):  
Lot #: W**

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

**RETAILERS, INFORM YOUR  
CUSTOMERS:** "Thoroughly  
cooking foods of animal origin such  
as beef, eggs, fish, lamb, poultry,  
or shellfish reduces the risk of food  
borne illness. Individuals with  
certain health conditions may be at  
higher risk if these foods are  
consumed raw or undercooked.  
Consult your physician or public  
health official for further  
information."

**DEALER TAG - DEPURATION**

Name:  
Address:  
DMR Certificate #:  
Depuration  
Processing Date:  
Depuration Lot #:  
Harvest Area:  
Shellfish Type:

Quantity:

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

**RETAILERS, INFORM YOUR  
CUSTOMERS:** "Thoroughly cooking  
foods of animal origin such as beef,  
eggs, fish, lamb, poultry, or shellfish  
reduces the risk of food borne illness.  
Individuals with certain health  
conditions may be at higher risk if  
these foods are consumed raw or  
undercooked. Consult your physician  
or public health official for further  
information."

**DEALER TAG - BULK**

Name:  
Address:  
DMR Certificate #:  
Harvester Name:  
DMR License #:  
Harvest Date & Time:  
Harvest Area: with Bay or Zone#:

**ALL SHELLSTOCK CONTAINERS  
IN THIS LOT HAVE THE SAME  
HARVEST DATE AND AREA OF  
HARVEST**

Shellfish Type:  
# of Individual Containers in the lot:

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

**RETAILERS, INFORM YOUR  
CUSTOMERS:** "Thoroughly cooking  
foods of animal origin such as beef,  
eggs, fish, lamb, poultry, or shellfish  
reduces the risk of food borne illness.  
Individuals with certain health  
conditions may be at higher risk if  
these foods are consumed raw or  
undercooked. Consult your physician  
or public health official for further  
information."

CHAPTER 15

GENERAL SHELLFISH SANITATION REQUIREMENTS

INDEX

EFFECTIVE DATE:

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AMENDED:

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September 24, 1994

December 17, 2003 – Section 14

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September 23, 2008 – Sections 03(B) and 37

July 20, 2009 – Sections 02(A)(11)(a); and 21(I)

June 19, 2012 – EMERGENCY Section 15.02

September 17, 2012 –Section 15.02

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