

FACILITYAUDIT FORM - Hatchery Compliance



rssbp.org

Audit Date _____ Start time _____ End Time _____

Business Name _____ Business Address _____

Facility Point of Contact

Name _____ Cell Phone _____ Email _____

Name _____ Cell Phone _____ Email _____

Auditor Contact

Name _____ Cell Phone _____ Email _____

Name _____ Cell Phone _____ Email _____

Others present:

Name _____ Cell Phone _____ Email _____

Name _____ Cell Phone _____ Email _____

Activity Type (check 1): Initial Follow-up Annual

Species List - list all species in production at this facility whether or not a candidate for product certification:

- ___ Eastern Oyster / *Crassostrea virginica*
- ___ Hard Clam / *Mercenaria mercenaria*
- ___ Softshell Clam / *Mya arenaria*
- ___ Other (list):

General Facility Comments: (optional)

Demonstration of RSSBP Best Management Practices - auditors will provide comments on how the facility is implementing each of the BMPs and an implementation rating. Ratings include: ¹exceeds, ²meets, ³corrective action, ⁴does not meet.

RSSBP Best Management Practice	Rating
<p>1. Water treatment to prevent pathogen exposure during early life stage cultivation should employ a series of filters to get to 1µm filtration, or demonstrate another means to minimize the risk of pathogen exposure from source water (e.g., pasteurization, well water, etc.)</p> <p><i>Comments:</i></p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>2. Adequate separation is required between untreated water and treated water to avoid cross contamination including physical separation of areas, water drainage, equipment, workflow, and cleaning:</p>	
<p>2-a. Physical separation of areas- Adult animals, i.e., broodstock, should be segregated from algal, larval, and post-set culture systems within the hatchery. If applicable, quarantine practices must be demonstrated for all non-local endemic species of broodstock.</p> <p><i>Comments:</i></p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>2-b. Water drainage - Untreated water drainage must be collected/diverted in some manner (floor drains, etc.) to avoid spilling out on the floor where it could easily come in contact with clean equipment (hoses, buckets) or be tracked throughout the facility.</p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p>

¹ Not all facilities will be able to achieve an “exceeds” rating as it might require a level of sophistication or technology that is unattainable.

² “Meets” expectation is all that is required for RSSBP compliance. Auditors may include suggestions that would elevate the rating from “meets” to “exceeds”, but it is not required to have an “exceeds” rating.

³ “Corrective action” is selected if the auditor determines a practice modification is needed to meet the BMP. Once the hatchery implements the corrective action, a follow up visit is scheduled to verify and the hatchery can be recommended for approval. This does not count against the hatchery as the intent of the Program is to find ways to improve biosecurity.

⁴ “Does not meet” will be elevated to the RSSBP Shellfish Health Advisory Council for discussion and follow-up with the hatchery. Not all facilities will be able to fully comply with the BMPs. The intent is to help facilities improve biosecurity and facilities that cannot meet expectations can simply continue batch health evaluations.

<p>Comments:</p>	<p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>2-c. Equipment - Equipment should be assigned to specific operational areas (e.g., containers used to transport adult animals should be used only for such tasks) or effectively sanitized between uses when shared.</p> <p>Comments:</p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>2-d. Workflow - Workflow and operational plans should be designed to prevent the introduction of raw water and contaminants from entering areas where cultivated life stages are in treated water.</p> <p>Comments:</p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>2-e. Cleaning - Cleaning of water filters or other water treatment apparatus should be conducted in an area separate from treatment areas or any areas containing treated water to avoid cross contamination.</p> <p>Comments:</p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>3. Records should be kept for broodstock, spawning, and maintenance of systems used to eliminate POCs:</p>	
<p>3-a. Broodstock records must be maintained and document source location, genetic background, and collection date.</p> <p>Comments: <i>*note whether or not quarantine practices are required and/or in place.</i></p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>3 - b. Spawning records must be maintained that document the specific broodstock used from the broodstock records, spawn code/name, and date spawned in order to accommodate any trace back from health certification results.</p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p>

<p><i>Comments</i></p>	<p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>3-c. Maintenance records should be kept indicating maintenance of systems to eliminate POCs from source water (e.g., filter change regimes, relative "age" of all active filters). Labels on equipment indicating maintenance are strongly recommended to alert all staff of needs.</p> <p><i>Comments:</i></p>	<p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Corrective action</p> <p><input type="checkbox"/> Does not meet</p>
<p>4. Health examinations should be conducted on animals experiencing unexplained, atypical mortality and records kept.</p> <p><i>*note - auditors inquire about relationships with pathology labs and sampling plans.</i></p> <p><i>Comments:</i></p>	<p>n/a</p>
<p>5. The facility must be compliant with all Federal, State and Local permitting requirements.</p> <p><i>The hatchery operator is responsible for regulatory compliance and acknowledged such by signing the application form.</i></p>	<p>n/a</p>

Auditor(s) recommendation to the RSSBP Advisory Council based on the evaluation of facility compliance to the RSSBP Best Management Practices:

- Recommend Approval as a BMP-Compliant Facility under the RSSBP
- Recommend a Conditional Approval as a BMP-Compliant Facility under the RSSBP (please explain corrective actions necessary)
- Recommend Denial as a BMP-Compliant Facility under the RSSBP (please explain)

Signature auditor(s)

Date: