

# FACILITY AUDIT FORM – Hatchery Compliance



[rssbp.org](http://rssbp.org)

Audit Date: 5/25/2023 Start time: 1:00 pm End Time: 2:30 pm

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Initial audits take ~1.5 hours.

Business Name Hatchery \_\_\_\_\_ Business Address \_\_\_\_\_

## Facility Point of Contact

Name \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

Name \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

## Auditor Contact

2

Initial / first-time audits require two auditors. Renewals only require one

Name \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

Name \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

## Others present:

3

For facilitators / extension agents, etc.

Name \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

Name \_\_\_\_\_ Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

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

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Initial - first-time audit  
Annual - renewals  
Follow-up - in the event of a conditional approval where a second visit is required to confirm the correction was made.

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

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Eastern Oyster / *Crassostrea virginica*

Hard Clam / *Mercenaria mercenaria*

Softshell Clam / *Mya arenaria*

Other (list):

Is based on the information in the application

## General Facility Comments: (optional)

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Depending on the expertise of the auditor, advice for facility improvement may be included. In this particular example, the advice is outside of the biosecurity component.

This facility has continued to upgrade their water delivery system with the installation of additional filtration capabilities for all incoming water. During the visit, the area between buildings was muddy in spots creating a poor aesthetic appearance. While this does not constitute a biosecurity issue, the appearance is distracting from care taken in other areas to maintain a neat appearance.

**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: <sup>1</sup>exceeds, <sup>2</sup>meets, <sup>3</sup>corrective action, <sup>4</sup>does 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>            General water flow: Incoming raw water - mixed media (sand and charcoal) filter - 50 um bag filtration - 10 um bag filter - 5 um bag filter - 1 um bag filtration bags at individual tanks during the filling process. All larval water is filtered to 1 um. Algal water is chlorinated/ de-chlorinated with final filtration to 0.3 um. All water enters the facility in one place.</p>	<p><input type="radio"/> Exceeds</p> <p><input checked="" type="radio"/> Meets</p> <p><input type="radio"/> Corrective action</p> <p><input type="radio"/> 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>            Broodstock is held in a separate room from the algae and larval culture. There is a sign posted on door with biosecurity guidelines for employee access (untreated water area - wash hands after leaving, etc.).</p>	<p><input type="radio"/> Exceeds</p> <p><input checked="" type="radio"/> Meets</p> <p><input type="radio"/> Corrective action</p> <p><input type="radio"/> 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="radio"/> Exceeds</p> <p><input checked="" type="radio"/> Meets</p>

**7** <sup>1</sup> Not all facilities will be able to achieve an "exceeds" rating as it might require a level of sophistication or technology that is unattainable.

<sup>2</sup> "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.

<sup>3</sup> "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.

<sup>4</sup> "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>Broodstock water drainage is through a separate floor drain that does not spill out into the treated water areas.</p>	<input type="radio"/> Corrective action <input type="radio"/> Does not meet
<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><b>8</b></p> <p>In this example, the auditor is making a suggestion of how the facility might further improve biosecurity to achieve the "exceeds" rating.</p> <p>Comments:</p> <p>There is dedicated equipment for each functional area (broodstock, larvae, algae) however it is not labeled. I recommend labeling each set - color coded handles, etc. to avoid any accidental movement into other areas of the hatchery.</p>	<input type="radio"/> Exceeds <input checked="" type="radio"/> Meets <input type="radio"/> Corrective action <input type="radio"/> Does not meet
<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><b>9</b></p> <p>In this example, the facility is exceeding the program standard. To meet compliance, there should be a plan in place to ensure workers are not moving back and forth between treated and untreated areas.</p> <p>Comments:</p> <p>The hatchery has an annual training for employees which includes biosecurity/RSSBP BMPS. Staff understand the need to separate treated/untreated activities and the use of dedicated equipment. The larvae and treated area work is the first task of the day with broodstock maintenance at the end of the day. There are signs posted on entryways to remind employees to wash hands and change aprons if coming from untreated areas.</p>	<input checked="" type="radio"/> Exceeds <input type="radio"/> Meets <input type="radio"/> Corrective action <input type="radio"/> Does not meet
<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>Cleaning of filters is done outside, away from the treated areas and performed at the end of the day. There is a separate apron and gloves outside for this process.</p>	<input type="radio"/> Exceeds <input checked="" type="radio"/> Meets <input type="radio"/> Corrective action <input type="radio"/> Does not meet
<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>There is a broodstock binder in the facility which has all required documentation. The facility does not house non-native broodstock, but does employ a quarantine area (separate from all other areas) for non-local broodstock as required by the state authority.</p>	<input type="radio"/> Exceeds <input checked="" type="radio"/> Meets <input type="radio"/> Corrective action <input type="radio"/> Does not meet
<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>	<input checked="" type="radio"/> Exceeds <input type="radio"/> Meets

<p><b>10</b> Spawning sheets in a folder or in a binder would meet compliance. This example is demonstrating what exceeding the standard looks like.</p> <p>The spawning records are on a state-of the art digital record system which track individual cohorts through time.</p>	<input type="radio"/> __Corrective action <input type="radio"/> __Does not meet
<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><b>11</b> We've found that facilities don't typically track this info in a logbook. RSSBP compliance requires facilities to have some sort of record book or logbook to track this information.</p> <p>Comments: Filters have label tape indicating last change. The hatchery has started a log book for filter changes to be compliant with RSSBP.</p>	<input type="radio"/> __Exceeds <input checked="" type="radio"/> __Meets <input type="radio"/> __Corrective action <input type="radio"/> __Does not meet
<p>4. Health examinations should be conducted on animals experiencing unexplained, atypical mortality and records kept.</p> <p>*note - auditors inquire about relationships with pathology labs and sampling plans.</p> <p>Comments: The operator routinely sends samples for health examination.</p> <p>You are looking for whether or not the hatchery operator understands the importance of ruling out disease in times of exceptionally poor production. Auditors don't rate the response; this is more of a conversation.</p>	<p><b>12</b></p> <p>n/a</p>
<p>5. The facility must be compliant with all Federal, State and Local permitting requirements. The hatchery operator is responsible for regulatory compliance and acknowledged such by signing the application form. This is a BMP, but auditors are not responsible for checking up on what permits are required in each location.</p>	<p>n/a <b>13</b></p>

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

- 14** Conditional or denial recommendations are forwarded to the Advisory Council (minus industry members) for decision which may include another facility inspection, etc.
- 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: