

**Report From Agency**

**DATCP Docket No. 11-R-5**  
**Clearinghouse No. 12-037**

**Proposed Final Draft**  
**December 4, 2012**

**PROPOSED ORDER**  
**OF THE WISCONSIN DEPARTMENT OF AGRICULTURE,**  
**TRADE AND CONSUMER PROTECTION**  
**AMENDING, CREATING AND ADOPTING RULES**

1 The Wisconsin department of agriculture, trade and consumer protection proposes the following  
2 rule *to amend* subch. IV of ch. ATCP 70 (title); and *to create* ss. *ATCP* 70.05 (1m) (am), 70.07  
3 (8) and 70.21; *relating to* regulation of Wisconsin's food processing plants and shellfish shippers  
4 and processors and affecting small business.

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**Analysis Prepared by the Department**  
**of Agriculture, Trade and Consumer Protection**

This rule would modify ch. ATCP 70, Food Processing Plants, to adopt portions of the National Shellfish Sanitation Program (NSSP) Guide and to allow Wisconsin food processing plants to process and ship shellfish in interstate commerce.

***Statute Interpreted***

Statute Interpreted: s. 97.29 (2), Stats.

***Statutory Authority***

Statutory Authority: ss. 93.07 (1), 97.09 (4) and 97.29 (5), Stats.

***Explanation of Agency Authority***

DATCP has broad general authority, under s. 93.07 (1), Stats., to interpret laws under its jurisdiction. DATCP also has general authority, under s. 97.09 (4), Stats., to adopt rules specifying standards to protect the public from the sale of adulterated or misbranded foods. DATCP has specific authority, under s. 97.29 (5), Stats., to promulgate rules related to food processing, including food handling and storage, sanitary production and processing, and food sources and labeling.

### ***Related Statutes or Rules***

Related statutes include Ch. 97, Stats., “Food Regulation”, and food safety rules in chs. ATCP 55 to 88, Wis. Adm. Code.

### ***Plain Language Analysis***

## **Background**

This proposed rule would modify ch. ATCP 70, Food Processing Plants, to incorporate changes that apply to processing molluscan shellfish (*e.g.*, oysters, clams, mussels and certain forms of scallops). Under current rules, food processing plants in Wisconsin that perform fish processing may receive molluscan shellfish from another state and process the shellfish for final sale only within Wisconsin. The proposed rule would establish a program that allows Wisconsin food processing plants, that choose to participate in the program, to process and repack molluscan shellfish for sale in other states and internationally. Thirty-eight other states participate in the Interstate Shellfish Sanitation Conference (ISSC), which is the primary voluntary national organization of state shellfish regulatory officials. Acting under a Memorandum of Understanding with the United States Food and Drug Administration (FDA), the ISSC provides guidance and counsel on matters involving the sanitary control of shellfish. Participating states codify this guidance to regulate the processing of molluscan shellfish in their jurisdictions for interstate commerce and FDA recognizes regulations based on the guidance as suitable for ensuring compliance with the Federal Food, Drug and Cosmetic Act.

## **Rule Content**

This rule does all of the following:

- Defines terms related to activities associated with the receipt, processing, repacking, labeling, storage, and shipping of molluscan shellfish.
- Modifies current rules to include provisions of the National Shellfish Sanitation Program (NSSP) and the guidelines of the ISSC related to receiving, processing, repacking, labeling, storage, and shipping molluscan shellfish for wholesale interstate and intrastate trade.
- Applies existing standards for facilities, sanitation, and personal hygiene in food processing plants to molluscan shellfish shippers, reshippers and reprocessors.
- Sets standards for critical control points, critical limits, record-keeping and traceability,

consistent with NSSP guidelines.

***Analysis and Supporting Documents Used to Determine Effect on Small Business or in Preparation of the Economic Impact Analysis***

This rule will not have a significant fiscal impact on state government and DATCP will absorb any costs with current budget and staff since food processing plants are already regulated by DATCP. This rule will have no fiscal effect on local governments or public utility rate payers. To determine the potential economic impact of the rule, the department posted the rule on the department website and the state of Wisconsin administrative rules website, and contacted appropriate organizations to solicit information and advice from businesses, business sectors, associations, local governmental units, and individuals that may be affected by the proposed rule.

***Effect on Small Business***

This rule will have a positive impact on businesses in Wisconsin. Currently, Wisconsin businesses may receive and process molluscan shellfish from out of state, but may only sell these products within Wisconsin. This rule will allow Wisconsin businesses to expand their markets for shellfish by allowing them to process and sell molluscan shellfish in interstate commerce. In addition, this rule may provide an incentive to large wholesalers that operate in Iowa, Minnesota, and the Dakotas to locate molluscan shellfish processing operations in Wisconsin.

The implementation costs for businesses to participate in this program are expected to be minimal. The provisions of this rule are consistent with general facility and sanitation standards that food processors must already meet. Businesses that choose to participate in the program would not need to extensively modify existing facilities or implement unusually burdensome recordkeeping. Participation in the program is voluntary and only businesses that choose to sell molluscan shellfish in interstate commerce would be required to meet the requirements. There will be no additional licensing fees beyond those already required for a food processing plant license.

This rule will primarily benefit large businesses that provide wholesale food products to retail food establishment, restaurants, and other wholesale food industries nationwide. Small businesses are unlikely to participate in this program, with current regulations allowing them to receive and sell molluscan shellfish in their local market areas. Any business, regardless of size, that sells molluscan shellfish products in interstate commerce must meet NSSP requirements. A small business that chooses to participate in the program is expected to be able to easily meet program requirements. In addition, DATCP would also provide support and guidance to any small business interested in participation to ensure they meet Hazard Analysis Critical Control Points (HACCP) and other regulatory requirements.

***Environmental Impact***

This rule will not have any environmental impact.

***Summary of, and Comparison with, Existing or Proposed Federal Statutes and Regulations***

There are no federal laws related to the transportation and processing of molluscan shellfish. However, FDA administers NSSP, which developed a model ordinance that states may use to develop uniform shellfish regulations. Compliance with the model ordinance is deemed consistent with meeting applicable provisions in the Federal Food, Drug and Cosmetic Act.

### ***Comparison with Rules in Adjacent States***

Illinois and Michigan currently participate in NSSP. Illinois' rules and Michigan's statutes and rules are consistent with this proposed rule. Unlike this proposed rule, Illinois and Michigan require molluscan shellfish processors to pay additional fees to participate in the program. Iowa and Minnesota do not participate. These states may be potential customers for molluscan shellfish sold by Wisconsin businesses.

### ***Summary of Factual Data and Analytical Methodologies***

DATCP staff reviewed information to determine the extent to which other states have adopted NSSP guidelines and contacted staff in Illinois involved with regulating molluscan shellfish to determine the extent to which their rules are consistent with this proposed rule. DATCP obtained additional information about the applicable requirements through communications and training with FDA officials overseeing NSSP.

### ***Standards Incorporated by Reference***

This rule incorporates by reference Section IV Chapter III .01 of the Shellfish Industry Equipment Construction Guide, National Shellfish Sanitation Program, Guide for the Control of Molluscan Shellfish, 2009. Consent will be requested from the Attorney General to incorporate these standards by reference. A copy of this document will be kept on file with the department and the Legislative Reference Bureau. The Shellfish Industry Equipment Construction Guide is also available in electronic format at: <http://www.fda.gov/Food/FoodSafety/Product-SpecificInformation/Seafood/FederalStatePrograms/NationalShellfishSanitationProgram/ucm070560.htm>

### ***Agency Contact Person:***

Questions and comments related to this rule may be directed to:

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1           **SECTION 1.** ATCP 70.05 (1m) (am) is created to read:

2           ATCP 70.05 (1m) (am) If used, finger cots or gloves shall be:

3           1. Made of impermeable materials, except where the use of such material is  
4 inappropriate or incompatible with the work being done.

5           2. Sanitized at least twice daily or more often if necessary.

6           3. Properly stored until used.

7           4. Maintained in a clean, intact, and sanitary condition prior to use.

8           **SECTION 2.** ATCP 70.07 (8) is created to read:

9           ATCP 70.07 (8) ICE. Ice used to cool or maintain the temperature of foods shall be made  
10 from potable water. Ice used to cool or maintain the temperature of ready-to-eat foods shall not  
11 have been previously used for any other purpose. Ice shall be received, handled, and stored in a  
12 manner to prevent contamination or adulteration. Any ice which is not made on site shall be  
13 inspected upon receipt, and rejected if it is delivered in a way that has not adequately protected  
14 the ice from contamination.

15           **SECTION 3.** Subchapter IV of ch. ATCP 70 (title) is amended to read:

16           **Subchapter IV – Fish Processing Plants; Molluscan Shellfish Plants; Supplementary**  
17 **Requirements.**

18           **SECTION 4.** ATCP 70.21 is created to read:

19           **ATCP 70.21 Molluscan shellfish processing. (1) DEFINITIONS.** In this section:

20           (a) “Blower” means a device used for washing shucked shellfish which uses forced air as  
21 a means of agitation.

1 (b) “Broker” means any person who is not a dealer but who arranges the packaging,  
2 shipping, sale, or distribution of molluscan shellfish without taking ownership or physical  
3 custody of the shellfish.

4 (c) “Certification” or “certify” means the issuance of a numbered certificate to a licensee  
5 dealer for a particular activity or group of activities that indicates approval from the department  
6 to conduct the activity and compliance with this chapter.

7 (d) “Certification number” means the number that conforms to the United States food  
8 and drug administration generated-number in the ICSSL.

9 (e) “Comingle” means the act of combining different lots of food, including shellstock  
10 or shucked shellfish.

11 (f) “Critical limit” means the maximum or minimum value to which a physical,  
12 biological, or chemical parameter must be controlled at a critical control point to prevent,  
13 eliminate or reduce to an acceptable level the occurrence of an identified food safety hazard.

14 (g) “Cull” means to remove dead or unsafe shellstock from a lot of shellstock.

15 (h) “Dealer” means a licensee to whom certification is issued for the activities of  
16 shellstock shipper, shucker-packer, repacker, or reshipper.

17 (i) “Depuration processor” means a person who harvests or receives shellstock from  
18 growing areas designated in an approved or conditionally approved, restricted, or conditionally  
19 restricted classification by the governing authority and submits such shellstock to an approved  
20 depuration process.

21 (j) “Dry storage” means the storage of shellstock out of water.

22 (k) “Growing area” means any site which supports or could support the propagation of  
23 shellstock by natural or artificial means.

1 (L) "Harvest area" means a growing area from which commercial quantities of  
2 shellstock may be removed and may include aquaculture sites and facilities.

3 (m) "Harvester" means a person who takes shellstock by any means from a growing  
4 area.

5 (n) "Heat shock" means the process of subjecting shellstock to any form of heat  
6 treatment to facilitate shucking, including steam, hot water or dry heat, without substantially  
7 altering the physical or organoleptic characteristics of the shellfish.

8 (o) "ICSSL" means the Interstate Certified Shellfish Shippers List, United States food  
9 and drug administration publication of shellfish dealers, domestic and foreign, who have been  
10 certified by a state or foreign authority.

11 (p) "In-shell product" means non-living, processed shellfish with one or both shells  
12 present.

13 (q) "In-shell product packing" means the process of placing in-shell product into  
14 containers for introduction into commerce.

15 (r) "Label" means any written, printed or graphic matter affixed to, or appearing upon,  
16 any package containing shellfish.

17 (s) "Licensee dealer" means a plant licensed in Wisconsin for the activities of shellstock  
18 shipper, shucker-packer, repacker, or reshipper.

19 (t) "Lot of in-shell product" means a single type of container of in-shell product from no  
20 more than one day's harvest from a single defined growing area.

21 (u) "Lot of shellstock" means a single type of bulk shellstock or containers of shellstock  
22 from no more than one day's harvest from a single defined growing area.

1 (v) "Lot of shucked shellfish" means a collection of containers of no more than one  
2 day's shucked shellfish, produced under conditions as nearly uniform as possible and designated  
3 by a common container code or marking.

4 (w) "Molluscan shellfish" means any edible species, whether shucked or in one or 2  
5 shells, of fresh or frozen oysters, clams, mussels, or edible portions of such species, or scallops  
6 except when the product consists entirely of the shucked adductor muscle.

7 (x) "NSSP" means the National Shellfish Sanitation Program.

8 (y) "Person" means any individual, receiver, trustee, guardian, fiduciary, or  
9 representative of any kind, and any partnership, association, corporation or other entity.

10 "Person" includes the federal government, the state and any other public or private entity.

11 (z) "Potable water" means water obtained from a source that meets the requirements of  
12 ch. NR 809.

13 (aa) "Raw shellfish" means shellfish that have not been thermally processed to an internal  
14 temperature of at least 145°F (62.8°C) for at least 15 seconds (or a temperature-time  
15 combination of equivalent lethality), or to an extent that the organoleptic characteristics of the  
16 shellfish are altered.

17 (bb) "Repacker" means any licensee dealer, other than the original certified shucker-  
18 packer, that repackages shucked shellfish into other containers.

19 (cc) "Repack shellstock" means the practice of removing shellstock from containers and  
20 placing it into other containers.

21 (cc) "Reshipper" means a licensee dealer that purchases shucked shellfish or shellstock  
22 from shellstock shippers, shucker-packers, and repackers and sells the product, without  
23 repacking or relabeling, to other dealers, wholesalers, or retailers.

1 (dd) "Restricted use shellstock" means shellstock that is harvested from growing areas  
2 classified by the governing authority as approved under conditions that do not allow the sale of  
3 shellstock for direct marketing for raw consumption and is identified with a tag indicating that  
4 the shellstock is intended for further processing prior to distribution retail or food service.

5 (ee) "Shellstock" means live molluscan shellfish in the shell.

6 (ff) "Shellstock packing" means the process of placing shellstock into containers for  
7 introduction into commerce.

8 (gg) "Shellstock shipper" means a licensee dealer that grows, harvests, buys, repacks and  
9 sells shellstock, or transports shucked shellfish but may not shuck shellfish or repack shucked  
10 shellfish.

11 (hh) "Shucker-packer" means a licensee dealer that shucks and packs shellfish and may  
12 act as a shellstock shipper or reshipper or may repack shellfish originating from other certified  
13 dealers.

14 (ii) "Shucked shellfish" means molluscan shellfish that have one or both shells removed.

15 (jj) "Transaction record" means the form or forms, used to document each purchase or  
16 sale of shellfish at the wholesale level, and including shellfish harvest and sales records, ledgers,  
17 purchase records, invoices and bills of lading.

18 (kk) "Wet storage" means the storage by a licensee dealer of shellstock from growing  
19 areas designated in the approved classification or in the open status of the conditionally approved  
20 classification by the governing authority, in containers or floats in natural bodies of water or in  
21 tanks containing natural or synthetic seawater at any permitted land-based activity or facility.

22 (2) PROHIBITED ACTS. (a) In order to ensure that molluscan shellfish in commerce in  
23 this state is not adulterated or misbranded as defined in ss. 97.02 and 97.03, Stats., it is unlawful

1 to process, store, transport, handle, or sell molluscan shellfish or molluscan shellfish products  
2 unless the molluscan shellfish is received and tagged as coming from a certified dealer and  
3 thereafter protected from contamination and unclean, unhealthy, or insanitary conditions.

4 (b) No licensee may operate as a licensee dealer without providing the department with a  
5 business address at which inspections of facilities, activities, or equipment can be conducted, and  
6 obtaining certification from the department.

7 (c) Only a licensee dealer may handle, receive, store, sort, shuck, repack or otherwise  
8 process molluscan shellfish for interstate commerce.

9 (d) No person may shuck shellfish for interstate commerce without being certified as a  
10 shucker-packer.

11 (e) No person may repack shucked shellfish for interstate commerce without being  
12 certified as a shucker-packer or repacker.

13 (f) No person may repack shellstock for interstate commerce without being certified as a  
14 shellstock shipper, shucker-packer, or repacker.

15 (g) No person may ship shellstock in interstate commerce without being certified as a  
16 shellstock shipper, shucker-packer, or repacker.

17 (h) No person may purchase shellstock or shucked shellfish from licensee or certified  
18 dealers and sell the product in interstate commerce, without repacking or relabeling, to other  
19 licensee or certified dealers, wholesalers or retailers without being certified as a reshipper.

20 (i) No licensee dealer may commingle, sort, or repack shellstock or shucked shellfish in  
21 a way that loses the identity of the lot.

1 (j) No licensee dealer may handle, store, process or ship shellstock or shucked shellfish  
2 unless it is accompanied by an existing tag or label, or a tag or label that accurately reproduces  
3 all information on the original tag or label that accompanied the lot or shipment.

4 (k) No licensee dealer certified as a reshipper may conduct wet storage activities.

5 **(3) LICENSEE DEALER CERTIFICATION AND ENFORCEMENT.** (a) A licensee dealer  
6 requesting certification shall be subject to a comprehensive, on-site inspection by a standardized  
7 department representative not more than 120 days before issuance or renewal of certification,  
8 and shall comply with par. (b) or (c). The department shall ensure that each certification meets  
9 all of the following:

10 1. Certification shall expire annually, with the expiration month set by the department.

11 2. Only one certification number shall be issued for each licensee dealer.

12 3. Each certification number shall be unique.

13 (b) Initial certification shall be given only to a licensee dealer once all of the following  
14 requirements have been met:

15 1. The department has approved any HACCP plans developed by the licensee dealer to  
16 meet the requirements of sub. (18).

17 2. The department has determined that the licensee dealer is in substantial compliance  
18 with subch. II and subs. (5) to (16) and (18).

19 3. The department has approved construction, operational, and remodeling plans, if  
20 appropriate, for wet storage operations.

21 (c) Renewal of certification shall be given only to a licensee dealer upon determination  
22 by the department that the licensee dealer is in substantial compliance with subch. II and subs.  
23 (5) to (16) and (18).

1 (d) No licensee dealer may operate as a licensee dealer with a revoked or suspended  
2 certification.

3 (e) Upon certification of a licensee dealer, the department shall notify the United States  
4 food and drug administration for the purpose of having the licensee dealer listed in the ICSSL.

5 (f) Upon suspension or revocation of a licensee dealer's certification, the department  
6 shall notify the United States food and drug administration for the purpose of having the licensee  
7 dealer removed from the ICSSL.

8 (g) The department shall inspect licensee dealers as required by one of the following:

9 1. Within 30 days of the licensee dealer beginning activities if the initial certification was  
10 based on a pre-operational inspection.

11 2. At least monthly for a licensee dealer certified as a depuration processor.

12 3. At least quarterly for a licensee dealer certified as a shucker-packer or repacker.

13 4. At least semiannually for a licensee dealer certified for other activities or operation of  
14 a wet storage operation.

15 5. At least annually for a licensee dealer who has demonstrated a history of satisfactory  
16 compliance for the past 3 years.

17 (h) The department shall provide the licensee dealer with a report describing the findings  
18 of each inspection, including a listing of deficiencies and corresponding citations of this chapter.

19 (i) When an inspection detects a deficiency that is critical for the protection of public  
20 health, the licensee dealer shall correct the deficiency during that inspection, or cease production  
21 affected by the deficiency, or the department shall begin the revocation or suspension of the  
22 licensee dealer's certificate.

1 (j) The department shall notify a licensee dealer, who is certified for wet storage, within  
2 24 hours of any change in growing area classification or status affecting the operation of the wet  
3 storage facility.

4 (4) COMPLIANCE. A licensee dealer shall comply with subch. II and 21 CFR Part 123.

5 (5) TRUCKS ONLY LICENSEE. A licensee dealer, whose facilities consist of trucks only,  
6 shall have either a licensed facility for the storage of shellfish, or arrangements with an  
7 appropriately licensed facility for the storage of shellfish and a permanent business address at  
8 which records are maintained and inspections of those records can be performed.

9 (6) EQUIPMENT AND FACILITIES. (a) Before licensing, the department shall review all  
10 equipment for conformance with the Shellfish Industry Equipment Construction Guide, Section  
11 IV Chapter III .01, of the NSSP (2009). All equipment shall be constructed in a manner, and  
12 with materials, that can be cleaned and sanitized, maintained, or replaced in a way that prevents  
13 contamination of shellfish products.

14 **Note:** A copy of the Shellfish Industry Equipment Construction Guide is on file with the  
15 department and the legislative reference bureau. You may also obtain a copy from  
16 the following website: [http://www.fda.gov/Food/FoodSafety/Product-](http://www.fda.gov/Food/FoodSafety/Product-SpecificInformation/Seafood/FederalStatePrograms/NationalShellfishSanitationProgram/ucm070560.htm)  
17 [SpecificInformation/Seafood/FederalStatePrograms/NationalShellfishSanitationPro](http://www.fda.gov/Food/FoodSafety/Product-SpecificInformation/Seafood/FederalStatePrograms/NationalShellfishSanitationProgram/ucm070560.htm)  
18 [gram/ucm070560.htm](http://www.fda.gov/Food/FoodSafety/Product-SpecificInformation/Seafood/FederalStatePrograms/NationalShellfishSanitationProgram/ucm070560.htm).

19  
20 (b) A licensee dealer who is a certified shucker-packer shall provide shucking blocks  
21 which are solid, of one-piece construction, and easily removed from the shucking bench unless  
22 the block is an integral part of the bench. Shucking benches, contiguous walls, and stands or  
23 stalls and stools for shuckers shall be made of easily cleanable, corrosion-resistant impervious  
24 materials which are free from cracks. Shucking benches shall drain completely and rapidly away  
25 from any shellfish on the benches.

1 (c) When monitoring product temperatures, the licensee dealer shall use a temperature  
2 measuring device accurate to within 2°F (1°C).

3 (d) All equipment used in heat shock processing shall comply with the requirements of  
4 subch. II and this subchapter.

5 (e) All equipment used to handle ice shall be of sanitary design and construction, and  
6 kept clean and stored in a sanitary manner.

7 (f) Shellstock washing storage tanks and related plumbing shall be of sanitary design and  
8 construction, easily accessible for cleaning and inspection, self-draining, and cleaned and  
9 sanitized in the same manner as other food contact surfaces.

10 (g) Facilities for shucking and packing activities shall be separated by use of separate  
11 rooms, partitions, or sufficient spacing. Other food manufacturing activities which could result  
12 in the contamination of shellfish shall be separated by adequate barriers.

13 (h) Air pump intakes shall be located in a protected place. Air filters shall be installed  
14 on all blower air pump intakes. Oil bath type filters are prohibited.

15 (i) All door and window screens shall be not less than 15 mesh per inch.

16 **(7) SANITATION.** A licensee dealer shall comply with the sanitation requirements of subch. II  
17 and ensure that all of the following apply:

18 (a) Any operations water from a private source shall be sampled by a person recognized  
19 by the department and tested at a laboratory licensed by the department before use of the water  
20 supply, every 6 months while the water supply is in use, and after the water supply has been  
21 repaired and disinfected.

22 (b) Shellstock washing shall only be done using water from a potable water supply. If  
23 recirculated water is used to wash shellstock, the licensee dealer shall obtain approval for the  
24 construction or remodeling of the system and its operation from the department, treat the water

1 so that it is potable and does not leave any unacceptable residues on the shellstock, and test the  
2 microbiological quality of the water daily.

3 (c) Employees working in both shucking and packing activities shall wash their hands  
4 before beginning shucking or packing. Employees shall comply with handwashing requirements  
5 of this chapter and after each handwashing shall sanitize their hands in a handwashing facility  
6 that meets all of the following requirements:

7 1. Supplies warm water at a temperature of at least 100°F (37.8°C), and shall be directly  
8 plumbed to an approved sewage disposal system.

9 2. Contains at least one handwashing sink available in a room used for shellfish packing.

10 3. Has a posted sign clearly visible to all employees at each handwashing sink that  
11 indicates handwashing is required. Each sign shall be translated in one or more languages  
12 understood by the employees using the sink.

13 (d) No clothing or personal belongings shall be stored in any area where shellfish are  
14 shucked or packed, and in any area which is used for the cleaning or storage of utensils used to  
15 shuck or pack shellfish.

16 (e) All employees shall immediately report to the licensee dealer any symptoms of  
17 disease transmissible through food. This reporting shall be in a manner that allows the licensee  
18 dealer to reduce the risk of shellfish-borne disease transmission, including providing information  
19 such as previous exposure to shellfish-borne disease, date of symptom onset, description of  
20 symptoms, and a diagnosis by a health practitioner. The licensee dealer shall notify the  
21 department within one working day when informed by an employee of hepatitis symptoms or  
22 diagnosis, and shall take immediate action to ensure that the employee is excluded from working

1 in any capacity in which they may contact shellfish, contact food contact surfaces, or transmit the  
2 illness to other employees.

3 (f) The licensee dealer shall ensure that the only toxic substances present in the facility  
4 are those necessary for plant activities. Separate storage shall be provided for pesticides;  
5 detergents, sanitizers, and other related cleaning agents; and strong acids, bases, polishes, and  
6 other chemicals. No toxic substances shall be stored above shellfish or food contact surfaces.

7 (g) Chemicals, including those used for cleaning or sanitizing, and toxic substances shall  
8 be labeled and used in accordance with the manufacturer's label directions.

9 (h) Shell and other non-edible materials shall be promptly and effectively removed from  
10 the shucking bench or table.

11 **(8) SUPERVISION AND TRAINING.** (a) A licensee dealer shall designate an employee to  
12 supervise general plant management and activities.

13 (b) The supervisor shall be trained in proper food handling techniques and principles of  
14 food protection, and be knowledgeable of personal hygiene and sanitary practices.

15 (c) A licensee dealer shall ensure that the supervisor monitors sanitation and employee  
16 hygiene practices for compliance with the requirements of this chapter.

17 (d) A licensee dealer shall ensure that employees are trained in proper food handling,  
18 sanitation, and personal hygiene practices necessary for compliance with the requirements of this  
19 chapter.

20 **(9) RECEIVING.** (a) *Shipment acceptability.* Fresh molluscan shellfish shipments shall be  
21 considered acceptable when all of the following apply:

22 1. Each shipment is properly identified with tags and shipping documents.

1           2. All shellstock in the shipment is alive and cooled to an internal shellstock body  
2 temperature of 50°F (10°C) or less.

3           3. All shucked shellfish in the shipment is cooled to a temperature of 45°F (7.2°C) or  
4 less.

5           4. If the time-temperature indicating device shows that the ambient air temperature has  
6 exceeded 45°F (7.2°C) but the shellstock internal body temperature is 50°F (10°C) or less.

7           5. All other conditions of shipment in this chapter are met.

8           (b) *Shipment rejection.* The department shall notify the shipper, the licensee dealer, and  
9 the state where the shipment originated, of a shipment's rejection, when the department  
10 determines any of the following have occurred: 1. Any molluscan shellfish are not properly  
11 identified with tags or shipping documents.

12           2. Any internal shellstock body temperature exceeds 60°F (15.6°C).

13           3. Any shucked shellfish temperature exceeds 50°F (10°C).

14           4. Any shellfish purchased as frozen has thawed.

15           5. Any other reason that the product is adulterated or unsafe for human consumption.

16           (c) *Receiving molluscan shellfish.* The licensee dealer receiving molluscan shellfish  
17 shall do all of the following:

18           1. Reject or discard any molluscan shellfish shipments which do not originate from a  
19 licensed harvester or dealer listed in the ICSSL, are unwholesome or adulterated, inadequately  
20 protected, or whose source cannot be identified.

21           2. Place molluscan shellfish under temperature control within 2 hours after receipt from  
22 the harvester or when the shipper is also the harvester, when shellstock reaches the shipper's  
23 facility.

1           3. Ensure that once shellstock is placed in storage under temperature control and until  
2 sale to the processor or final consumer, it shall meet all of the following conditions:

3           a. The shellstock shall be iced or placed and stored in a storage area or conveyance with  
4 ambient air temperature maintained at 45°F (7.2°C) or colder.

5           b. The shellstock shall not be permitted to remain without ice, mechanical refrigeration  
6 or other approved methods of refrigeration for more than 2 hours at points-of-transfer such as  
7 loading docks.

8           c. The shellstock shall not be permitted to be placed in wet storage.

9           4. Ensure that frozen shellfish remains frozen.

10          **(10) SHELLSTOCK IDENTIFICATION.** (a) The licensee dealer shall buy shellstock only  
11 from sources listed in the ICSSL.

12          (b) The licensee dealer shall keep the harvester's tag affixed to each container of  
13 shellstock until the container is either shipped, or emptied to wash, grade or pack the shellstock.

14          (c) The identification tags of the licensee dealers shall be durable, waterproof, and  
15 approved by the department prior to use, at least 13.8 square inches in area, and contain all of the  
16 following indelible, legible information in the order specified below:

17           1. The licensee's name, address and certification number as assigned by the department.

18           2. The original shellstock shipper's license or certification number. If the shellstock has  
19 been deperated, the original shellstock shipper's certification number is not required.

20           3. The date of harvest, or date of deperation processing, the original harvest date and  
21 any harvest date from wet storage.

22           4. The wet storage or deperation cycle or lot number, if the shellstock has been wet  
23 stored or deperated. The wet storage lot number shall begin with the letter "w."

1           5. The most precise identification of the harvest location as is practicable including the  
2 capital initials of the state of harvest, and the designation of the growing area by indexing,  
3 administrative or geographic designation.

4           6. When the shellstock has been transported across state lines and placed in wet storage  
5 in a licensee dealer's operation, the statement "This product is a product of (name of state) and  
6 was wet stored at (facility certification number) from (date) to (date) ."

7           7. The type and quantity of shellstock.

8           8. In bold capitalized type on each tag, the statement **"THIS TAG IS REQUIRED TO**  
9 **BE ATTACHED UNTIL CONTAINER IS EMPTY OR IS RETAGGED AND**  
10 **THEREAFTER KEPT ON FILE FOR NINETY DAYS."**

11           9. All shellstock intended for raw consumption shall include a consumer advisory with  
12 the statement "Retailers, inform your customers of the following: Consuming raw or  
13 undercooked meats, poultry, seafood, shellfish or eggs may increase your risk of foodborne  
14 illness, especially if you have certain medical conditions" or an equivalent statement

15           10. The statement "Keep Refrigerated" or an equivalent statement.

16           (d) When both the licensee dealer and harvester tags appear on the container, the  
17 licensee dealer's tag is not required to duplicate the information on the harvester's tag.

18           (e) If the shellstock is removed from the original container, the tag on the new container  
19 shall meet the requirements in par. (c). If the shellstock is received bearing a restricted use tag,  
20 all restricted use language shall be transferred to the new shipping tag.

21           (f) When shellstock intended for retail sale is packed in containers of not more than 5  
22 pounds, and shipped in a master container which includes a tag in compliance with this chapter,  
23 the individual containers are not required to be tagged, but may be labeled in some other manner

1 with indelible, legible information which is adequate for tracing the shellfish back to the lot of  
2 shellstock from which it originated.

3 (11) TAGGING OF SHELLSTOCK LOTS DURING INTERMEDIATE PROCESSING. (a) When the  
4 shellstock is removed from the original container, the licensee dealer shall do all of the  
5 following:

6 1. Keep the harvester tag for 90 days.

7 2. Keep a record of the growing area and date of harvest for shellstock.

8 3. Maintain the lot identity of all shellstock during any intermediate stage of processing.

9 (b) A licensee dealer receiving bulk tagged lots of shellstock shall have an intermediate  
10 processing plan approved by the department to ensure that each lot of shellstock is kept separate  
11 and identified in a way which prevents commingling or misidentification.

12 (c) In order for a licensee dealer to tag a lot container of shellstock, instead of meeting  
13 the requirement in sub. (10) (c), for a harvester or licensee tag on each individual container, the  
14 licensee dealer shall have an intermediate processing plan approved by the department which  
15 establishes the procedures the licensee dealer shall use to tag the lot during the washing, packing  
16 or staging of molluscan shellfish.

17 (d) Unless the licensee dealer is included in a commingling plan approved by the  
18 department, the licensee dealer's intermediate processing plan for tagging a lot of shellstock  
19 during the intermediate stage of processing shall ensure that each lot of shellstock is separated  
20 and identified in a way which prevents commingling or misidentification. The identification  
21 shall be provided by a harvester's or licensee dealer's tag which meets the requirements of this  
22 chapter, or a tag for each lot of shellstock that contains all of the following:

1           1. The statement “All shellstock containers in this lot have the same harvest date and  
2 area.”

3           2. The harvest date and growing area.

4           3. The original dealer certification number.

5           4. The number of individual containers in each lot of shellstock unit after washing,  
6 packing or staging has been completed.

7           (e) When a licensee dealer has an intermediate processing plan approved by the  
8 department, the licensee dealer shall tag each lot of shellstock in accordance with the  
9 intermediate processing plan while the lot of shellstock is being processed in the licensee  
10 dealer’s facility.

11           (f) All restricted use shellstock shall include a tag containing all information required in  
12 this chapter and specific language indicating the intended use of the shellstock.

13           (g) If shellstock is sold in bulk, the licensee dealer shall provide a transaction record  
14 prior to shipment. This transaction record shall contain the name of the consignee and all  
15 information specified in sub. (10) (c).

16           **(12) BULK TAGGING SHELLSTOCK LOTS FOR SALES BETWEEN LICENSEE DEALERS.** (a)  
17 When a single lot of shellstock is sold, multiple containers may be placed on a wrapped pallet, in  
18 a tote, in a net bailer, or another container, and the unit tagged with a single tag in accordance  
19 with sub. (10) (c).

20           (b) This bulk tagging provision shall not apply to sales to re-shippers.

21           (c) The shipment shall be accompanied by a transaction record stating the name of the  
22 consignee who shall be a certified dealer.

1 (d) The unit tag shall include the statement "All shellstock containers in this lot have the  
2 same harvest date and area of harvest," the number of individual containers in the unit, and the  
3 requirements specified in sub. (10) (c).

4 (13) PROCESSING. (a) *Shellstock processing*. When processing shellstock, a licensee  
5 dealer shall do all of the following:

6 1. For shellstock refrigerated prior to shucking, chill the shucked meats to an internal  
7 temperature of 45° F (7.2°C) or less, within 4 hours of removal from refrigeration.

8 2. Ensure that shellstock for shucking is reasonably free of sediment and is not placed in  
9 containers with standing water for the purposes of washing shellstock or loosening sediment.

10 3. Cull to remove any dead or damaged shellstock.

11 4. Wash, blow, and rinse all shellfish meats in accordance with 21 CFR Part 161.130.

12 5. Thoroughly drain, clean as necessary, and pack shucked shellfish meats promptly after  
13 delivery to the packing room.

14 6. Not commingle shellstock lots during shucking unless all shellfish is from licensee  
15 dealers included in a commingling plan approved by the department.

16 7. Not allow the use of dip buckets for hand or knife rinsing, or sanitizing.

17 8. A licensee dealer that uses heat shock to prepare shellstock for shucking shall do all of  
18 the following:

19 a. Use only a scheduled heat shock process approved by the department. The scheduled  
20 process may be developed by the department or qualified persons with adequate facilities  
21 conducting the appropriate studies of critical factors including the type and size of shellfish, time  
22 and temperature of exposure, type of process, size of tank, tunnel or retort; water-to-shellfish  
23 ratios in tanks, and temperature and pressure monitoring devices.

- 1           b. Post the schedule for the heat shock process in a conspicuous location.
- 2           c. Make sure all responsible persons are familiar with the requirements.
- 3           d. Cool all hot shellstock immediately after the heat shock process by either dipping in
- 4 an ice bath or using flowing potable water.
- 5           e. If a heat shock water tank is used, and the water is maintained at or above a
- 6 temperature of 140°F (60°C), completely drain and flush the tank at the end of each day's
- 7 operation so that all mud and debris in the dip tank are removed. If the temperatures are
- 8 maintained below 140°F (60°C),, completely drain and flush the tank at not less than 3 hour
- 9 intervals.

10           (b) *Shucked shellfish processing.* When processing shucked shellfish, a licensee dealer  
11 shall do all of the following:

12           1. If heat shock is used, once heat shocked shellstock is shucked, cool the shucked  
13 shellfish meats to 45°F (7.2°C) or less, within 2 hours after the heat shock process.

14           2. Wash, blow, and rinse all specified shucked shellfish meats in accordance with 21  
15 CFR Part 161.130.

16           3. Thoroughly drain, clean as necessary, and pack shucked shellfish meats promptly after  
17 delivery to the packing room.

18           4. Completely empty shucking buckets at the packing room so no overage is returned to  
19 the shucker.

20           5. Store shucked and packed shellfish in covered containers in the storage area at an  
21 ambient air temperature of 45° F (7.2°C) or less.

22           6. Store packaged shellfish, if they are to be frozen, at an ambient air temperature of 0°F  
23 (-18°C) or less, so that they freeze solid within twelve hours following the start of freezing.

1           (c) *Re-packing shucked shellfish.* When repacking shucked shellfish, a licensee dealer  
2 shall do all of the following:

3           1. Maintain repacked fresh or thawed shucked shellfish, including any portion of frozen  
4 shellfish for repacking at an internal temperature of 45°F (7.2°C) or less.

5           2. Store repacked, shucked shellfish in covered containers at an ambient air temperature  
6 of 45°F (7.2° C) or less.

7           (d) *Wet storage of shellstock.* A licensee dealer conducting wet storage of shellstock  
8 shall do all of the following:

9           1. Follow a plan approved by the department. The plan shall include procedures for  
10 ensuring water quality, washing and culling of shellstock before wet storage begins, and  
11 segregation of shellstock species and lots of shellstock.

12           2. Use only shellstock harvested from areas classified by the governing authority as  
13 approved or conditionally approved in the open status.

14           3. Comply with requirements in subs. (9) and (10).

15           4. Store depurated shellstock only within the facility in which the shellstock was  
16 depurated.

17           5. Store and handle shellstock before wet storage to protect against conditions which  
18 adversely affect shellstock survival.

19           6. Maintain shellstock in a sanitary condition.

20           7. Harvest, process, package and label shellstock from wet storage in compliance with  
21 requirements of this chapter.

1           8. Keep complete and accurate records to enable a lot of shellstock to be traced back to  
2 the original harvest location and wet storage location, and include the dates the shellstock was  
3 held in wet storage. The records shall be maintained for at least one year.

4           9. Not commingle lots of shellstock unless in accordance with a commingling plan  
5 approved by the department. If 2 or more lots of shellstock are in wet storage at the same time,  
6 the identity of each lot of shellstock shall be maintained.

7           **(14) LABELING SHUCKED SHELLFISH.** (a) The licensee dealer shall maintain lot integrity  
8 when shucked shellfish are stored using in-plant reusable containers.

9           (b) If the licensee dealer uses returnable containers to transport shucked shellfish to other  
10 licensee dealers in Wisconsin or certified dealers in other states for the purpose of further  
11 processing or packing, the returnable containers are exempt from the labeling requirements in  
12 this subsection. When returnable containers are used, the shipment shall be accompanied by a  
13 transaction record containing the original shucker-packer's name and license or certification  
14 number, the shucking date, and the quantity of shellfish per container and the total number of  
15 containers.

16           (c) If the licensee dealer uses master shipping cartons, the master cartons are exempt  
17 from the labeling requirements in this subsection when the individual containers within the  
18 carton are properly labeled.

19           (d) The licensee dealer shall label each individual package containing fresh or frozen  
20 shucked shellfish meat in a legible and indelible form and in accordance with applicable  
21 requirements for declaration of quantity and drained weight specified in 21 CFR Parts 161.30  
22 and 161.130.

1 (e) Each package containing less than 64 fluid ounces of fresh or frozen shellfish shall  
2 have the certification number on the label, and a “sell by date” which provides a reasonable  
3 subsequent shelf-life or the words “best if used by” followed by a date when the product would  
4 be expected to reach the end of its shelf-life. The date shall consist of the abbreviation for the  
5 month and number of the day of the month. For frozen shellfish, the year shall be added to the  
6 date.

7 (f) Each package containing more than 64 fluid ounces of fresh or frozen shellfish shall  
8 have the certification number on the label, and the “date shucked.”

9 1. The date shucked for fresh shellfish shall consist of the number of the day of the year  
10 or the month and the number of the day of the month.

11 2. The date shucked for frozen shellfish shall include the number of the day of the year  
12 or the month and the number of the day of the month, and the year.

13 3. The date shucked shall appear on the lid and sidewall, or bottom of disposable  
14 containers.

15 (g) If the licensee dealer thaws and repacks frozen shellfish, the licensee dealer shall  
16 label the shellfish container as previously frozen.

17 (h) If the licensee dealer freezes fresh shucked shellfish, the licensee dealer shall label all  
18 frozen shellfish as frozen in type of equal prominence immediately adjacent to the type of  
19 shellfish and the year shall be included in the date on the label.

20 (i) The licensee dealer shall include on each package of fresh or frozen shucked shellfish  
21 a consumer advisory with the statement “Consuming raw or undercooked meats, poultry,  
22 seafood, shellfish, or eggs may increase your risk of foodborne illness, especially if you have  
23 certain medical conditions.”

1 (j) The licensee dealer shall provide all label information in a legible and indelible form  
2 and in accordance with applicable requirements for declaration of quantity and drained weight  
3 specified in 21 CFR Parts 161.30 and 161.130.

4 (k) If the licensee dealer elects to repack molluscan shellfish, the licensee dealer shall  
5 pack and label all shellfish in accordance with this subsection, except that the original date of  
6 shucking shall be used in establishing the sell by date.

7 **(15) LABELING OF IN-SHELL PRODUCT** (a) Licensee dealers, packing any container  
8 holding in-shell product, shall label the container with tags that are legible and indelible and  
9 indicate all of the following:

10 1. The licensee dealer's name, address, and certification number assigned by the  
11 department.

12 2. The original shellstock shipper's certification number. If the shellfish has been  
13 deperated, the original shellstock shipper's certification number is not required.

14 3. The deperation cycle number or lot number, if the shellfish has been deperated.

15 4. The most precise identification of the harvest location as is practicable, including the  
16 capital initials of the state of harvest, and that state authority's designation of the growing area  
17 by indexing, administrative or geographic designation.

18 5. When in-shell product has been transported across state lines and placed in wet  
19 storage in a licensee dealer's operation, the statement "This product is a product of (name of  
20 state) and was wet stored at (facility certification number) from (date) to (date) ."

21 6. A "sell by date" which provides a reasonable subsequent shelf-life or the words "best  
22 if used by" followed by a date when the product would be expected to reach the end of its shelf-

1 life. The date shall consist of the abbreviation for the month and number of the day of the  
2 month. For frozen shellfish, the year shall be added to the date.

3 7. The type and quantity of in-shell product.

4 8. In bold capitalized type on each tag, the statement **“THIS TAG IS REQUIRED TO**  
5 **BE ATTACHED UNTIL CONTAINER IS EMPTY OR IS RETAGGED AND**  
6 **THEREAFTER KEPT ON FILE FOR 90 DAYS.”**

7 9. The statement “Keep Refrigerated” or an equivalent statement.

8 (b) The container for all in-shell products intended for raw consumption shall bear a  
9 consumer advisory with the statement: “Consuming raw or undercooked meats, poultry, seafood,  
10 shellfish or eggs may increase your risk of foodborne illness, especially if you have certain  
11 medical conditions.”

12 (c) If the in-shell product is removed from the original container, the tag on the new  
13 container shall meet the requirements of par. (a).

14 (d) When in-shell product intended for retail sale is packed in containers of 5 pounds or  
15 less, and shipped in a master container which includes a tag complying with par. (a), then  
16 labeling of the individual containers is not required to comply with par. (a), but may be labeled  
17 in some other manner with indelible, legible information which is adequate to trace the in-shell  
18 shellfish back to the lot which it was derived. The consumer advisory required in part (b) shall  
19 be included on each individual retail package.

20 **(16) SHELLFISH STORAGE AND HANDLING.** . When storing and handling shellfish, the licensee  
21 dealer shall do all of the following:

22 (a) Assure that shellstock is reasonably free of sediment and culled.

1 (b) Assure that shucking buckets are completely empty at the packing room so that no  
2 overage is returned to the shucker.

3 (c) Inspect incoming shipments, and reject dead or inadequately protected shellstock.

4 (d) Assure that no usable containers or container covers bearing a certification number  
5 different from the one issued for those premises are present unless documentation exists to verify  
6 the legitimate source of the containers or container covers, and the containers contain shellfish  
7 from that source.

8 (e) Maintain shellfish received frozen in the frozen condition during storage.

9 (f) Assure that no shellstock is commingled during shucking unless all shellfish is from  
10 licensee dealers in Wisconsin or certified dealers outside Wisconsin included in a commingling  
11 plan approved by the department.

12 **(17) TRANSPORTATION.** (a) *Transportation of shellstock* Trucks or other vehicles used to  
13 transport shellstock shall meet all of the following requirements:

14 1. All trucks used to transport shellstock shall be properly constructed, operated, and  
15 maintained by the harvester, or person who transports shellstock from the harvester to the  
16 original licensee dealer to prevent contamination, deterioration, and decomposition of shellstock.

17 2. Storage bins on trucks or other vehicles used in the transport of shellstock for direct  
18 marketing shall be kept clean with potable water; and provided with effective drainage.

19 3. Shellstock shall be transported in refrigerated trucks when the shellstock has been  
20 previously refrigerated or when ambient air temperature and time of travel are such that  
21 unacceptable bacterial growth or deterioration may occur.

22 4. A pre-chilling truck or other refrigerated vehicle is required when ambient air  
23 temperatures are such that unacceptable bacterial growth or deterioration may occur.

1           5. When any mechanical refrigeration unit is used, the unit shall be equipped with  
2 automatic controls, and capable of maintaining the ambient air temperature in the storage area at  
3 a temperature of 45°F (7.2°C) or less.

4           6. No animals shall be allowed in any part of any truck or other vehicle where shellstock  
5 is stored.

6           7. Transportation agents or common carriers used by a shipper are not required to be  
7 certified.

8           (b) *Transportation storage containers.* Transportation storage containers shall meet all  
9 of the following requirements:

10           1. Containers used to transport shellstock shall be clean, constructed of food-contact  
11 grade material and free of any substance or organisms that may cause the shellstock to become  
12 adulterated.

13           2. Any container to be used more than one time to store and transport shellstock shall be  
14 constructed to allow easy cleaning, maintained to prevent product contamination, and cleaned  
15 with potable water and a detergent, other cleaning chemical or sanitizer acceptable for food  
16 contact surfaces and used according to the manufacturer's specifications.

17           (c) *Shipment protection from cross contamination.* Molluscan shellfish shipments shall  
18 be protected from cross contamination and meet all of the following requirements:

19           1. Except for bulk shipments, when the entire shipment consists of molluscan shellfish  
20 products, shellstock shall be shipped on pallets. If the conveyance does not have a channeled  
21 floor, pallets shall be used for all shellfish.

22           2. When the conveyance has mixed shipments, the molluscan shellfish shall be shipped  
23 only when molluscan shellfish products are protected from contamination by the other cargo, all

1 cargo is placed on pallets, and no other cargo is placed on or above the molluscan shellfish  
2 unless all cargo is packed in sealed, crush resistant, leak-proof and waterproof containers.

3 (d) *Shipping times.* When shipping molluscan shellfish or shellstock, the shipper must  
4 ensure all of the following conditions are met:

5 1. When the expected shipping time for any molluscan shellfish or shellstock is 4 hours  
6 or less, the shipper shall use ice or mechanical refrigeration to maintain the required temperature  
7 of the molluscan shellfish or shellstock. Mechanical refrigeration units shall be equipped with  
8 automatic controls and capable of maintaining the ambient air in the storage area at temperatures  
9 of 45°F (7.2°C) or less. The shipper is not required to provide thermal recorders during  
10 shipment. Lack of ice or other acceptable types of refrigeration shall be considered an  
11 unsatisfactory shipping condition.

12 2. When the expected shipping time is greater than 4 hours, the shipper shall ship all  
13 shellfish in mechanically refrigerated conveyances which are equipped with automatic controls  
14 and capable of maintaining the ambient air in the storage area at a temperature of 45° F (7.2°C)  
15 or less, or in containers, the internal ambient air temperature of 45°F (7.2°C) or less.

16 a. Unless the shipper has a HACCP plan approved by the department with an alternate  
17 means of monitoring time-temperature, the shipper shall ensure that a suitable time-temperature  
18 recording device accompanies each shipment of shellfish.

19 b. The shipper shall note the date and time shown on the temperature-indicating device.

20 c. Each shipment receiver shall record the date and time shown on the temperature-  
21 indicating device when the shipment is received, and the doors of the conveyance or the  
22 containers are opened.

1 d. The final shipment receiver shall keep the time-temperature recording chart or other  
2 record of time- temperature in a file and shall make it available to the department upon request.

3 e. An inoperative temperature-indicating device shall be considered a failure to provide  
4 the required recording device.

5 (18) **HACCP PLAN.** (a) Prior to licensing and certification as a licensee dealer, each  
6 applicant shall develop any necessary HACCP plans to comply with subch. II and 21 CFR Part  
7 123, addressing food safety hazards in its operations. HACCP plans shall be approved by the  
8 department as part of the license application process. The HACCP plan for shellfish processing  
9 shall include all of the following:

10 1. For a shellstock shipper, the critical control point of shellstock shipping.

11 2. For a shucker-packer, repacker, or reshipper, the critical control points of receiving,  
12 shellstock or in-shell product storage, processing, and shucked meat storage, and shipping, as  
13 appropriate.

14 3. A HACCP plan which includes the receiving critical control point shall include  
15 critical limits for the receiving critical control point that ensure all of the following:

16 a. Shellstock is obtained from a licensed harvester who has harvested the shellstock from  
17 an approved area or a conditionally approved area in the open status as indicated by the tag, and  
18 identified the shellstock with a tag on each container or transaction record on each bulk  
19 shipment.

20 b. Shellstock, if obtained from a dealer other than the original harvester, is shipped  
21 adequately iced, or in a conveyance at or below 45°F (7.2°C) ambient air temperature, or with  
22 an internal temperature of 50°F (10°C) or less, or in a conveyance capable of lowering the

1 temperature of the shellstock and maintaining it at 50°F (10°C) or less, and is identified with a  
2 tag on each container or transaction record with each bulk shipment.

3 c. In-shell product is obtained from a dealer who has shipped the in-shell product  
4 adequately iced, or in a conveyance with an ambient air temperature at or below 45° F (7.2°C),  
5 or with an internal temperature of 45° F (7.2°C) or less, and the in-shell product is identified  
6 with a tag on each container.

7 4. A HACCP plan which includes the shellstock or in-shell product storage critical  
8 control point shall include critical limits for the shellstock or in-shell product storage critical  
9 control point that ensure any of the following:

10 a. Shellstock, once placed under temperature control and until sale to the processor or  
11 final consumer, shall be iced or placed and stored in a storage area or conveyance with ambient  
12 air temperature maintained at 45° F (7.2°C) or less, and not permitted to remain without ice,  
13 mechanical refrigeration or other methods of refrigeration approved by the department for more  
14 than 2 hours at points-of-transfer such as loading docks.

15 b. In-shell products shall be iced or placed and stored in a storage area or conveyance  
16 with ambient air temperature maintained at 45°F (7.2°C) or less.

17 5. A HACCP plan which includes the processing critical control point shall include  
18 critical limits for the processing critical control point that ensure any of the following.

19 a. Shucked molluscan shellfish from shellstock that has not been refrigerated before  
20 shucking shall be chilled to an internal temperature of 45°F (7.2°C) or less, within 3 hours of  
21 shucking.

1           b. Shucked molluscan shellfish from shellstock that has been refrigerated before shucking  
2 shall be chilled to an internal temperature of 45°F (7.2°C) or less, within 4 hours of removal  
3 from refrigeration.

4           c. Shucked molluscan shellfish from heat shocked shellstock shall be chilled to an  
5 internal temperature of 45°F (7.2°C) or less, within 2 hours after the heat shock process.

6           d. Heat shocked shellstock that are cooled and held under refrigeration for later shucking  
7 shall be chilled to an internal temperature of 45°F (7.2°C) or less, within 2 hours after the heat  
8 shock process.

9           e. In-shell product is processed such that the internal temperature of the shellfish meat  
10 shall not exceed 45°F (7.2°C) for more than 2 hours during processing.

11          f. Shucked shellfish that are received and repacked shall not exceed an internal  
12 temperature of 45°F (7.2°C) for more than 2 hours.

13          6. A HACCP plan which includes the shucked meat storage critical control point shall  
14 include critical limits for the shucked meat storage critical control point that ensure shucked and  
15 packed shellfish are stored in covered containers at an ambient air temperature of 45°F (7.2°C)  
16 or less, or covered with ice.

17          7. A HACCP plan which includes the shellstock shipping critical control point shall  
18 include critical limits for the shellstock shipping critical control point that ensure the shellstock  
19 containers are labeled and tagged in compliance with the requirements in sub. (10).

20          8. If a licensee dealer will be using heat shock, the licensee dealer shall include heat  
21 shock as a critical control point in the HAACP plan and ensure that heat shock does not change  
22 the physical and organoleptic properties of the species, kill the shellfish prior to shucking, or  
23 increase microbial deterioration of the shucked shellfish.

1           **(19) SHIPPING DOCUMENTS AND TRANSACTION RECORDS.** (a) *Shipping documents.* Each

2 licensee dealer shall maintain shipping documents that meet the following requirements:

3           1. Each shellfish shipment shall be accompanied by a shipping document which contains  
4 the name, address, and certification number of the shipping licensee dealer, the name and address  
5 of the receiving facility, and the kind and quantity of the shellfish product.

6           3. The licensee dealer shall maintain in a file, a copy of the completed shipping  
7 document and make the shipping document available to the department upon request.

8           4. If the shipment is subdivided to different facilities, each receiving facility shall  
9 maintain records sufficient to trace the portion received back to the original shipment.

10          5. Shellstock that is shipped bearing a restricted use tag shall only be shipped to a  
11 licensed shucker-packer and shall include specific language detailing the intended use of the  
12 shellstock.

13          (b) *Transaction records.* Each licensee dealer shall maintain transaction records that  
14 meet the following requirements:

15          1. Each licensee dealer shall have a business address at which transaction records are  
16 maintained.

17          2. Each licensee dealer shall maintain complete, accurate, and legible records of the  
18 required information.

19          3. Transaction records shall be sufficient to do all of the following:

20           a. Document that the shellfish are from an authorized source.

21           b. Permit a container of shucked shellfish to be traced back to the specific incoming lot of  
22 shucked shellfish or shellstock from which it was taken.

1 c. Permit a lot, or commingled lots, of shucked shellfish or a lot of shellstock to be traced  
2 back to the growing area, date of harvest, date and location of wet storage, if applicable, and if  
3 possible, the harvester or group of harvesters.

4 4. Purchases and sales shall be recorded in a permanently bound ledger book or using  
5 other recording methods acceptable to and approved by the department.

6 5. The transaction records shall be retained for at least one year in the case of fresh  
7 shellfish, and for at least 2 years or the shelf-life of frozen shellfish, whichever is longer.

8 6. If computer records are maintained, the records shall be made available for inspection  
9 by the department.

10 **(20) ILLNESS OUTBREAKS ASSOCIATED WITH SHELLFISH.**

11 (a) At any time shellfish are potentially implicated in an illness outbreak involving at  
12 least 2 persons not from the same household (or at least one person in the case of paralytic  
13 shellfish poisoning), the department shall determine whether an epidemiological association  
14 exists between the illness and the shellfish consumption by reviewing each consumer's food  
15 intake history and the shellfish handling practices of the consumer and retailer.

16 (b) When the department has determined an epidemiological association exists between  
17 an illness outbreak and shellfish consumption, the department shall conduct an investigation of  
18 the outbreak within 24 hours to determine whether the illness is related to the shellfish growing  
19 area or to post-harvest contamination or mishandling.

20 (c) Upon completion of the investigation, the department shall notify receiving states and  
21 the United States food and drug administration of the findings, and take appropriate steps in  
22 cooperation with the licensee dealer to recall the affected product and, if necessary, inform  
23 consumers about the outbreak and associated product.

1           **SECTION 5. EFFECTIVE DATE AND INITIAL APPLICABILITY.** This rule take effect on the  
2 first day of the month following publication in the Wisconsin administrative register, as provided  
3 in s. 227.22 (2) (intro), Stats.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

WISCONSIN DEPARTMENT OF AGRICULTURE,  
TRADE AND CONSUMER PROTECTION

By: \_\_\_\_\_  
Ben Brancel  
Secretary