

Can offshore HABs hinder the development of offshore mussel aquaculture in the northeast United States?

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1

2 **Abstract**

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4 Shellfish aquaculture is predicted to expand from nearshore locations into US federal waters in
5 response to increased seafood demand and domestic food security concerns. As the industry moves into
6 new areas, risk from offshore harmful algal blooms (HABs) focuses attention on new needs for summary
7 background information about past algal bloom events to guide management decisions and monitoring
8 programs. Indigenous *Alexandrium* and *Pseudo-nitzschia* species both have triggered shellfish harvest
9 closures in offshore areas of New England after toxins were measured in bivalve tissues.

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14 Keywords: offshore shellfish aquaculture; toxic algae; New England (USA); shellfish harvest closures;
15 historical blooms

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21 1. Introduction: Harmful algal blooms in the Northeast region of United States

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23 Coastal waters of the northeast United States are historically known as a hub of fishery activities,
24 with bivalve aquaculture, mostly Eastern oysters (*Crassostrea virginica*), blue mussels (*Mytilus edulis*) and
25 softshell clams (*Mya arenaria*), playing an increasing role in local seafood economies (NOAA, 2015). A
26 challenge in the area has been recurring harmful algal blooms (HABs) that produce toxins that can affect
27 physiology of many animals feeding on phytoplankton, including filter-feeding bivalves (Landsberg, 2002).
28 Although HAB monitoring programs have been established for near-shore areas, monitoring in Atlantic
29 offshore areas has not been conducted so far, and the limited data available have been derived from
30 emergency and isolated research cruises after nearshore toxicity outbreaks. The current, growing interest in
31 moving shellfish farming operations to US federal waters within the Exclusive Economic Zone (or EEZ, 3 to
32 200 nautical miles) is partially motivated by the intention to avoid numerous conflicts of use (and the higher
33 shellfish toxicities) nearer the coast. Establishment of monitoring programs for harmful algae is undoubtedly
34 necessary to support the cultivated fisheries industry in the US EEZ. To date, the lack of standards for this
35 activity has impeded the harvest of shellfish from federal waters (Abbott, 2017). Notably, some toxic blooms
36 can originate offshore and be transported to near-shore areas (McGillicuddy Jr. et al., 2003). Thus, routine,
37 offshore monitoring of toxic algae is essential for the establishment of shellfish aquaculture in federal waters.
38 Indeed, areas used for commercial shellfish farming are required by US Federal law to be routinely sampled
39 (Langlois and Morton, 2018).

40 Two main, toxic microalgal taxa can be found in New England waters. The first is the dinoflagellate
41 *Alexandrium* spp.; however, note that all previous references published about *A. fundyense* and toxic *A.*
42 *tamarensis* on East and West coast of the US currently are referred to *A. catenella* (Litaker et al. 2018).
43 Accordingly, future references to these aforementioned species will be as *A. catenella*. Globally, *Alexandrium*

44 spp. can produce a suite of neurotoxic compounds referred to as saxitoxins that can cause a syndrome
45 known as Paralytic Shellfish Poisoning (PSP) in consumers of contaminated seafood (Hégaret et al., 2009).
46 On the other hand, *Pseudo-nitzschia* spp. are known to produce a neurotoxic amino acid, domoic acid, which
47 can cause a reaction referred to as Amnesic Shellfish Poisoning (ASP) when ingested from contaminated
48 seafood (Hégaret et al., 2009). The aforementioned toxic dinoflagellates can reach concentrations so high
49 as to discolor the waters offshore to reddish brown (McGillicuddy Jr. et al., 2014); whereas, the harmful
50 diatoms can form highly-dense, visible blooms in bays and less-dense, invisible blooms offshore (Trainer et
51 al., 2012). Although blooms of *Alexandrium* spp. are always toxic in the Northeast, not all blooms of *Pseudo-*
52 *nitzschia* spp. develop toxicity, and not all species of this genus are known to be toxigenic (Villac et al., 1993)
53 as domoic acid synthesis in these species depends upon environmental conditions such as temperature,
54 nutrients, salinity, and grazing (Mos, 2001; Fuentes and Wikfors, 2013).

55 Nevertheless, the presence, usually in high concentration, of either of these toxigenic microalgal
56 groups often triggers conservative shellfish-harvest closures pending follow-up toxicity tests, although for
57 *Alexandrium* spp. In the developed world, the presence, even in low concentrations, can be enough to result
58 in conservative harvest closures (Trainer et al., 2012; FDA, 2018; Table 1). Bivalves are more likely to
59 become contaminated to unsafe levels when exposed to high population densities of toxic phytoplankton, but
60 the mere presence of toxigenic algae in the water does not imply above-limit toxic concentrations in harvested
61 organisms.

62 HABs cause notable ecological and economic disruptions through responses such as shellfish
63 harvest closures, marine wildlife mortalities, marine fish kills, long-term consumer fear of consumption of
64 seafood products, and public health risks (Hoagland and Scatasta, 2006). The events also cause hidden,
65 indirect costs when development and investment in aquaculture are restricted based upon perceived risks
66 associated with the blooms (Anderson et al., 2000). The prospective bivalve species for offshore culture in

67 New England is the blue mussel, which has been included in local, experimental farming trials (Langan and
68 Horton, 2003; Karney et al., 2009; Lindell et al., 2012; Buck et al., 2017; Maney et al., 2018) and is already
69 being commercially cultured offshore on the American west coast (Lester et al., 2018). Although market price
70 is lower than for other shellfish species, mussels are the main, imported bivalve shellfish in the U.S. (FAO,
71 2019); thus, offshore farming can lessen dependency upon foreign production considering that market
72 conditions are favorable (Fairbanks, 2016). Offshore-grown mussels have reportedly overall higher quality
73 and can be sold as premium product and green product (see details and references in Mizuta et al., 2019).
74 Additionally, local customers are willing to pay more for a domestic product (Atlantic Corporation, 2019).

75 Considering concerns that the presence of toxic algae offshore could hinder offshore mussel farming
76 off the coast of southern New England, this overview provides a compilation of the most-recent, open-source
77 data of *in situ* sampling and assessment of harvest closures in the region of interest to provide general
78 knowledge about the offshore distribution and characteristics of *Alexandrium catenella* and *Pseudo-nitzschia*
79 spp. blooms. It also discusses the possible effects of the shellfish farms upon the environment, in relation to
80 harmful algal blooms.

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83 **Table 1:** Sanitary specifications of the main toxic algae genus in the US NE in relation to shellfish harvest and aquaculture (based upon Shumway,

84 1990; James et al., 2010; Langlois and Morton, 2018).

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Harmful algae	Phytoplankton Group	Toxin	Effect on Shellfish	Human Disease	Symptoms in humans	Closure thresholds for shellfish harvest	
						Sanitary threshold in meat (per 100 g meat)	Concentration in the sea water (cells/L)
<i>Alexandrium</i> spp.	dinoflagellate	Paralytic Shellfish Toxins (STXs)	Shell closure, immunodeficiency; low growth, filtration inhibition; (mass mortalities are rare)	Paralytic Shellfish Poisoning	numbness, muscular paralysis, respiratory difficulty, death	80 µg saxitoxin equivalents	Not officially established*
<i>Pseudo-nitzschia</i> spp.	diatom	Neurotoxin Domoic Acid (DA)	(mass mortalities are rare)	Amnesic Shellfish Poisoning	Abdominal cramp, disruption in the brain, memory loss, death	2 mg DA	Not officially established**

86

* For reference: presence at any concentration in Washington State (Langlois and Morton, 2018)

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** For reference: 5.10⁴ cells.L⁻¹ in Washinton State (Langlois and Morton, 2018); 10⁵ cells.L⁻¹ suggested by Bates et at. (1998)

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91 **2. Materials and methods**

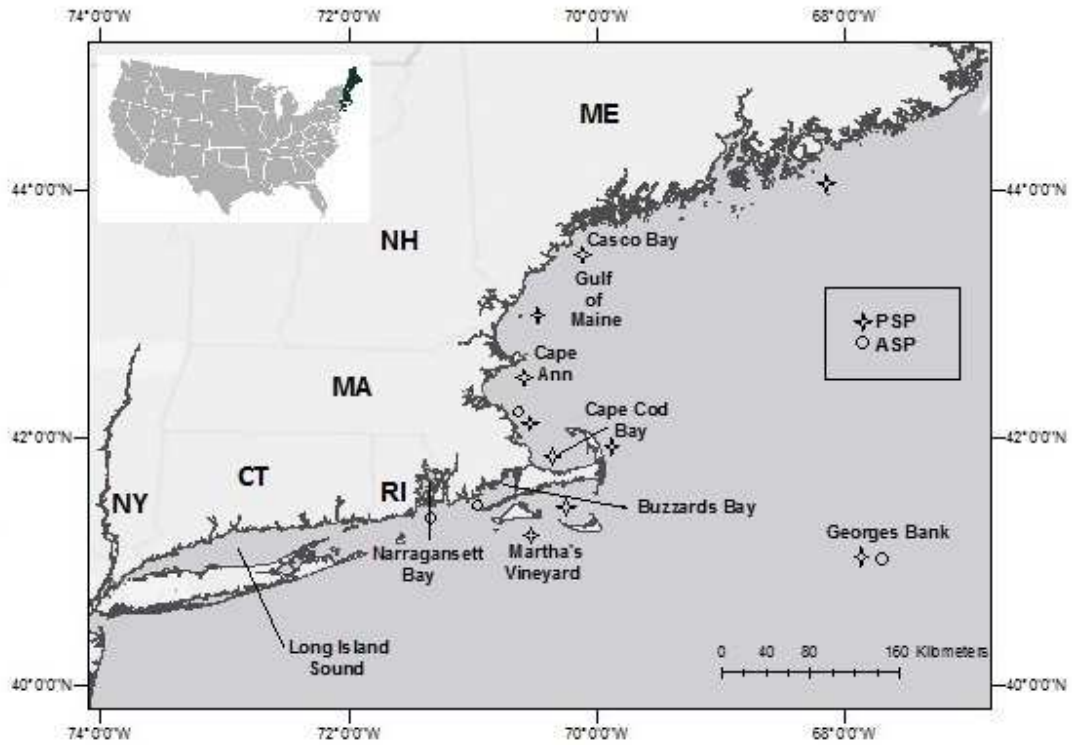
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93 The study area is shown in Figure 1. Available data on phytoplankton population densities off the
94 coasts of Rhode Island, Massachusetts, and New Hampshire were obtained from the Woods Hole
95 Oceanographic Institution (WHOI) cell count inventory database covering the period from 2005 to 2017, which
96 includes years identified by Pershing and co-authors (2015) as representing a remarkable warming trend.
97 Data originated either from deployments of Environmental Sample Processors (ESPs) at different locations
98 along the coast of these states or vessel cruises. ESPs automatically collect water samples from subsurface
99 at 1.5 m depth, and sensors test phytoplankton molecular biology (DNA and biotoxins), providing estimates
100 of concentrations of *Alexandrium* spp. and *Pseudo-nitzschia* spp. ESPs are moored in selected locations on
101 vertical lines providing real-time phytoplankton data. Monitoring cruise surveys were performed at pre-
102 determined stations with multiple vessels. During sampling cruises, at each location 2 L of seawater was
103 sampled at surface (1 m), middle layer (10 m), and increased depth (20 m) on a CTD rosette and processed
104 for cell counts or abundance estimates. There was not a determined frequency at which the HAB sampling
105 cruises were scheduled because most oceanographic samplings were scheduled based upon necessity, as
106 rapid response surveys when there was a warning that a bloom could be occurring. To gain more information
107 and possible relevant details about the blooms, a review of the descriptions of each “bloom season” (available
108 at: <http://www.whoi.edu/website/northeast-ppsp/previous-bloom-seasons>) from WHOI data also was
109 performed and summarized.

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114 **Figure 1:** Study area and locations affected by harmful algal blooms caused by dinoflagellates *A. catenella*
115 (risk of Paralytic Shellfish Poisoning, PSP) and diatoms *Pseudo-nitzschia* spp. (risk of Amnesic Shellfish
116 Poisoning, ASP). The symbols do not indicate absolute location of blooms but rather represent occurrence
117 in the adjacent area.

118

119 Currently, there is no official established monitoring program for HABs offshore. Official harvest
120 closures are established in the states' coastal areas, and data of HAB-related coastal closures enable more-
121 inclusive estimates of the dimensions of inshore algal blooms in waters of the Northeast. Coastal harvest
122 closures attributable to HABs were quantified for yearly average days of closure from data obtained directly
123 from the responsible governmental institution in each state: the Department of Environmental Services (DES)

124 for New Hampshire, The Division of Marine Fisheries (DMF) for Massachusetts, and the Department of
125 Environmental Management (DEM) for Rhode Island¹. The total period between harvest closure and re-
126 opening was quantified for “blue mussels” only when species identification was available; in cases wherein
127 shellfish species were not specified, the period was determined for “shellfish.” Data of shellfish harvest
128 closures were calculated as yearly average days of closure (days.year⁻¹; d.y⁻¹) for each state to enable inter-
129 state comparisons. The average days of closure for each state was calculated based upon a sum of closure
130 periods for separate areas within that state, but accounting for concomitant days of closure not to
131 overestimate the number of days. The mean number of days of harvest closure per each state for the studied
132 period (2006-2017) was also calculated and expressed as a “threshold” (Figure 2). A linear regression was
133 applied for the studied period (2006 to 2017) combining harvest closure data from all states to determine
134 possible changes in harvest-closure days in the recent past in the New England region. The calculations for
135 the studied period excluded the year of 2005 because an *Alexandrium catenella* bloom that year was
136 characterized as ‘exceptional’ with regard to high toxicity, spatial extent, and cell count (Anderson et al.,
137 2005). The year of 2005 was declared a “red tide disaster,” federal assistance was requested, resulting in
138 closure of a large spatial area of 40,000 km² of federal waters (Anderson et al., 2005). As the nature of the
139 bloom was very particular in 2005 compared to all the other years in the studied period, quantitative data of
140 that year were not used in regional quantitative trend analysis. For Rhode Island, harvest closure data were
141 available for offshore and inshore areas, which allowed comparison of HAB-related issues between both
142 areas.

¹ To increase the study area, the Department of Environmental Conservation for Long Island sites in New York was also contacted for data about coastal harvest closures attributable to HABs. However, as data were restricted to monitoring within the inner part of Long Island Sound and enclosed Shinnecock Bay, they were of limited use for extrapolation to offshore areas and ultimately were not included in the statistics.

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144 3. Results

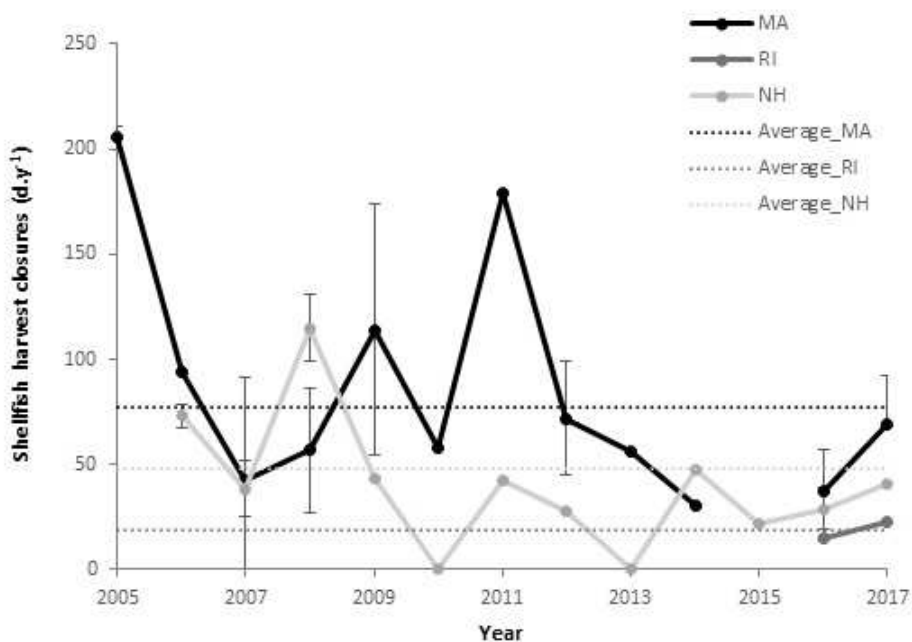
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146 3.1 Characteristics of recent blooms

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148 HABs are seasonal problems in the region, with most events occurring from April to late October
149 (during the warm season), with some yearly fluctuations. Bloom events related to *Alexandrium catenella*, or
150 *Pseudo-nitzschia* spp., or both organisms, occurred every year from 2005 to 2017, with fluctuating intensities
151 and areal coverage (Figure 1; Table 2). The highest counts of cells were in 2005 ($> 60,000$ cells.L⁻¹) for an
152 *Alexandrium catenella* bloom and in 2016 ($> 500,000$ cells.L⁻¹) for *Pseudo-nitzschia australis*. The average
153 coastal harvest closure for the area was 58 ± 24 d.y⁻¹, excluding the atypical year of 2005. In recent years,
154 Massachusetts was the state with the highest incidence and intensity of detected and reported toxic blooms,
155 with both PSP- and ASP-related harvest closures; whereas, PSP has not been reported in Rhode Island to
156 trigger harvest closures, and similarly ASP has not been detected in New Hampshire, according to respective
157 official state reports (DES; DMF; DEM). In each state, the duration of most yearly harvest closures remained
158 at or below the state's historical average days of closure, especially in New Hampshire (Figure 2). In
159 percentages, the days of HAB-related closure in the New England area corresponded to 15% of the year for
160 PSP, and 8% of the year for ASP. Using the values related to closures (d.y⁻¹) in recent years, a declining
161 trend in closure duration was observed between the period of 2006 to 2017, although this trend was not
162 significant (slope of equation = -3.60, $p = 0.08$). Based upon Rhode Island official shellfish harvest closure
163 data, thus considering only ASP, offshore and inshore closures did not differ in duration, with annual average
164 days of closure being 50 and 54 days, respectively.

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168 **Figure 2:** Number of days of shellfish harvest closures per year, especially for blue mussel, in coastal waters
169 of Rhode Island (RI), Massachusetts (MA) and New Hampshire (NH). Dotted lines indicate the historical
170 average number of days of closure for each state during the studied period (the atypical year of 2005 was
171 excluded in the calculation of average for MA).

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175 3.2 PSP

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177 In the northern part of the studied area, *A. catenella* cell counts during blooms were maximal at the
178 surface. For Massachusetts, the years of 2005 and 2011 were the most anomalous, namely when the number
179 of days of algal bloom events far exceeded the yearly average. These extended blooms have not been
180 repeated in more-recent years. In particular, the development of the event in 2017 is worth noting because it
181 complies with previous models wherein blooms initiated offshore and were transferred inshore (McGillicuddy
182 Jr. et al., 2003; Anderson et al., 2014). Sampling stations located at progressive distances offshore followed
183 a distinct concentration pattern. A sampling station located 5.4 nautical miles offshore southeast of Cape Ann
184 with an initial cell count above 2,000 cells.L⁻¹ on June 21 declined in cell count to values of less than 100
185 cells.L⁻¹, while stations closer to shore experienced increases in *A. catenella* population density, both in
186 surface and middle layers (Figure 3).

187

188 3.3 ASP

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190 *Pseudo-nitzschia* spp. events are not as common as PSP events in the northeast US area, but
191 recently have caused shellfish farming areas to close in 3 different years (2006, 2016 and 2017; Table 2).
192 Reports of *Pseudo-nitzschia* spp. blooms in the study area are recent, starting in 2016 in Rhode Island as
193 well as in Massachusetts, but blooms did not expand northward to New Hampshire. Nonetheless, the US
194 east coast has been less susceptible to ASP occurrences than the west coast, where seasonal bloom events
195 have been affecting both shellfish and fish harvest, with a major recent outbreak of *Pseudo-nitzschia australis*
196 in 2015 (McCabe et al., 2016). The 2016 events at different sampling stations in Buzzards Bay in

197 Massachusetts showed that, during the most intense blooms, the cell-density of *Pseudo-nitzschia australis*.
198 was highest at the bottom layer, followed by the middle and surface. This is not surprising as transport of
199 cells of this species to the bottom can be rapid, with concentration of cells usually reflecting patterns of
200 phytoplankton abundance in the surface layers above (Dorch et al., 1997; Sekula-Wood et al., 2009). Domoic
201 acid (DA) can become associated with sediments, which can have a particularly long-lasting effect upon
202 benthic food webs (Dorch et al., 1997; Burns and Ferry, 2007), as animals are able to obtain DA by ingesting
203 live, dying, or dead DA producing *Pseudo-nitzschia* spp. cells (Lefebvre et al., 2002).

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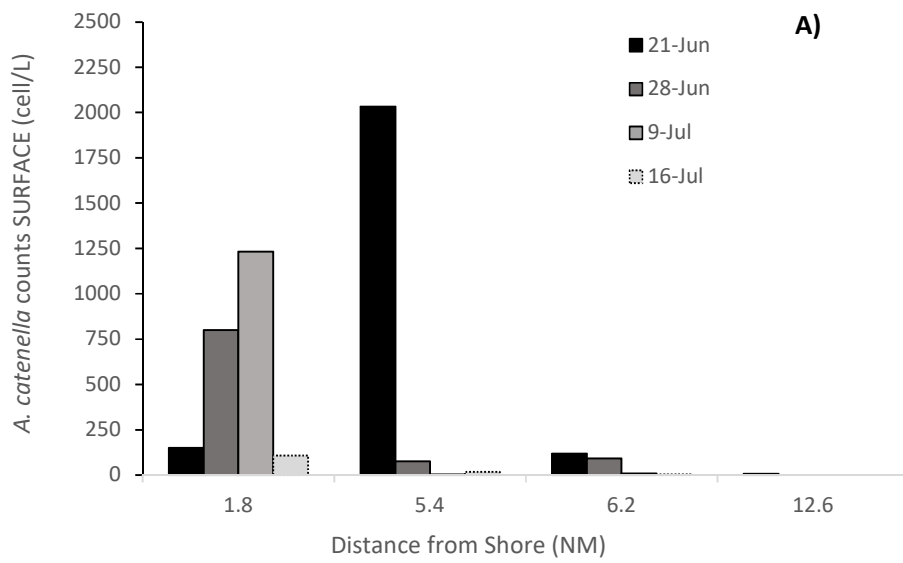
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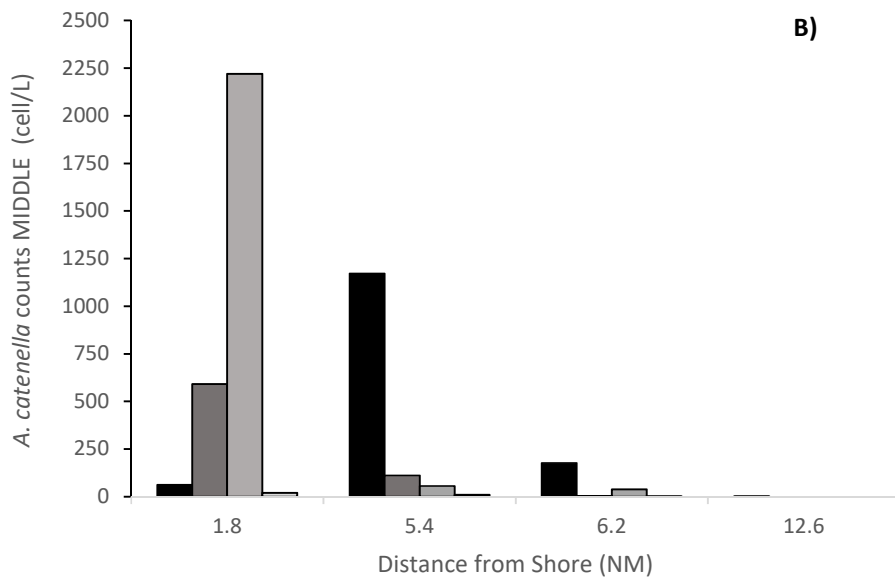
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218 **Figure 3:** Development of the *Alexandrium catenella* bloom in the 2017, (A) at surface and (B) middle layer
 219 (10 m depth) offshore Cape Ann. Horizontal axis shows distance from shore in nautical miles (NM).

220 **Table 2:** Recent *Alexandrium catenella* and *Pseudo-nitzschia* spp. bloom events in the region of Rhode Island (RI), Massachusetts (MA) and New
 221 Hampshire (NH), US NE, both coastal and offshore (Source: WHOI cell count inventory database). The symbol (*) denotes unidentified species.

Yearly Blooms	Harmful algae	Sampling	Blooming date (approx.)	Area	Development area	Finish date (approx.)	Final area	Maximum cell counts (cells/L)
2005	<i>Alexandrium catenella</i>	Cruise	10-15 May	Gulf of Maine Offshore Massachusetts Bay and Cape Ann	Offshore Massachusetts Bay, Cape Cod Bay, Nantucket Bay and Martha's Vineyard.	28-29 June	Offshore waters outside shelf	60,296 (surface, 9 June, Orleans, Cape Cod)
	<i>Pseudo-nitzschia</i> sp.*		26 May	Unknown	Massachusetts Bay	Unknown	Unknown	10,000
2006	<i>Alexandrium catenella</i>	Cruise	26 April	Massachusetts Bay, offshore Cape Ann, Cape Cod Bay	Cape Ann, Cape Cod Bay, Stellwagen, New Hampshire and Nantucket	29 June (still blooming)	Nantucket, Great Round Shoals, Cape Ann	6,410 (surface, 14 June, division New Hampshire and Maine)
2007	<i>Alexandrium catenella</i>	Cruise	21 May	Georges Bank	Georges Bank, South of Nantucket	18 October (still blooming)	Georges Bank, Western Maine offshore	13,000 (surface, 20 May, Southern Flank, George's Bank)
2008	<i>Alexandrium catenella</i>	Cruise	28 April	Gulf of Maine as offshore New Hampshire	Coastal and offshore New Hampshire, Massachusetts, Nantucket Sound, Georges Bank	End of June	Cape Cod Bay, Georges Bank	7,364 (surface, 29 May, East of Cape Ann)
2009	<i>Alexandrium catenella</i>	Cruise	Early May	Gulf of Maine bordering Maine and New Hampshire	East of Cape Ann, offshore	23 July	Offshore New Hampshire and Maine	7,257 (surface, 12 July, East of Cape Ann)
2010	<i>Alexandrium catenella</i>	Cruise	1-10 May 30 June - 8 July	Coastal Cape Cod, offshore Gulf of Maine Offshore New Hampshire (previous bloom in Maine)	Western Gulf of Maine and New Hampshire From Boston to Isle Au Haut (offshore Maine)	End of May End of July	- -	5,383 (surface, 5 July 2010)
2011	<i>Alexandrium catenella</i>	--	Mid-May	Casco Bay (Maine)	Maine, New Hampshire, south to Plymouth, Massachusetts.	-	-	676
2012	<i>Alexandrium catenella</i>	Coastal Water Samplings; ESP	March	Casco Bay (Maine)	New Hampshire, Massachusetts, Isles of Shoals	Beginning May	-	-
2013	<i>Alexandrium catenella</i>	Coastal Water Samplings	April	Nauset Marsh System, North Massachusetts	Nauset Marsh System, North Massachusetts	June	Unknown	100
2014	<i>Alexandrium catenella</i>	ESP	Mid-May	Casco Bay (Maine), Pemaquid Point	New Hampshire, Massachusetts	July	Unknown	2,000
2015	<i>Alexandrium catenella</i>	ESP	May	Offshore Maine	Gulf of Maine, New Hampshire, Massachusetts	July	Gulf of Maine	2,400
	<i>Alexandrium catenella</i>	Coastal Water Samplings; ESP	April	Gulf of Maine	Coastal flats in open ocean in Cape Cod	June	-	200
2016	<i>Pseudo-nitzschia australis</i>	Cruise	7 October	Narragansett Bay, Mount Hope Bay, Nantucket Sound, South Cape Cod	Nantucket Sound, South Cape Cod	31 October	-	-
			6-13 October	Inner Buzzards Bay	Inner Buzzards Bay	Middle November	Inner Buzzards Bay	> 500,000 (surface, 6-10 October)
	<i>Pseudo-nitzschia australis</i>		End of February	Lower Narragansett Bay	Lower Narragansett Bay	End of March	Lower Narragansett Bay	Unknown
2017	<i>Alexandrium catenella</i>	Cruise	21 June	Southeast Cape Ann	Southeast Cape Ann	11 July	Southeast Cape Ann	(middle layer, 9 July)

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223 **4. Plan for federal waters**

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225 Monitoring programs, similar to those in coastal waters, for federal waters are challenging because
226 of distance from shore and areal extent, which could raise safety concerns for seafood produced in offshore
227 areas. Nevertheless, there have been precedents of toxicity in bivalve shellfish harvested in offshore areas
228 that include economically-important, wild harvested species, such as sea scallops (*Placopecten*
229 *magellanicus*), Atlantic surfclams (*Spisula solidissima*) and ocean quahogs (*Artica islandica*). In an attempt
230 to allow capture fisheries of shellfish from infrequently-monitored federal waters, the National Shellfish
231 Sanitation Program approved a protocol for onboard screening and dockside testing of shellfish meats for
232 biotoxins (DeGrasse et al., 2014). The offshore, shallow area of Georges Bank that in the past had been
233 completely closed to harvest of shellfish because of recurrent, toxic algal blooms was partially re-opened
234 following the adoption of the Protocol, which established that harvesting could occur only after 5 samples (1
235 sample consists of 30 whole mussels) from the area tested negative or below the safe threshold level (Table
236 1) for toxins onboard the harvesting vessel, and that two layers of testing (onboard and dockside; the latter
237 consisting of 7 samples) should be performed before product commercialization (DeGrasse et al., 2014). The
238 national approved methods for marine biotoxin testing by the National Shellfish Sanitation Program (NSSP)
239 are divided into categories: “approved for use” and “approved for limited use”, such as mouse assays,
240 Receptor Binding Essay, HPLC-PCOX, and limited use of ELISA (shipboard) and Scotia Rapid Test for PSP;
241 and HPLC and limited use of Reveal 2.0 ASP for ASP (see details of tests and categories in the NSSP Guide
242 for the Control of Molluscan Shellfish - 2017 revision; FDA, 2018).

243 To account for sanitary needs and guarantee food safety of offshore aquaculture products,
244 amendments were proposed to the National Shellfish Sanitation Plan (ISSC, 2017), establishing the same
245 previously mentioned Protocol to be used for landing of products deriving from any offshore farm. The
246 updates recently entered into effect with the publication of the NSSP Guide for the Control of Mollusca
247 Shellfish - 2017 Revision (FDA, 2018). The history of harmful algal occurrences in a specific area determines
248 the necessity of biotoxin sampling for different kinds of toxins, in a way that biotoxin tests should be performed
249 only for known biotoxins occurring in the considered area (FDA, 2018). The State Authority in the landing
250 State is responsible for enforcing the Code for Shellfish Sanitation and is in charge of biotoxin analysis and
251 receipt of onboard test results. The sanitary control and surveys of shellfish grown in federal waters, which
252 is at present limited to blue mussels, lies within the responsibility of the US Food and Drug Administration
253 (FDA), and FDA will classify areas as approved for shellfish harvesting. The authority to declare harvest
254 closures of biotoxin-contaminated areas, however, lies within the National Marine Fisheries Service. As in
255 the capture fisheries, the costs of the tests are expected to be assumed by the farmers.

256 An obstacle to management response to toxic blooms is that the current verification of marine
257 biotoxins is based upon animal tissue analysis for wild-caught seafood and cultured seafood rather than
258 environmental monitoring. In the most recent National Shellfish Sanitation Plan (04. B Page 50), there is a
259 description that water samples 'may be assayed' for the presence of toxin-producing phytoplankton but water
260 samples are referred to as a recommendation, not a requirement (FDA, 2018). The approach makes it difficult
261 to determine if blooms originate in different locations at the same time, or the exact origin of blooms offshore
262 before reaching the coastline, and does not serve the goal of early detection (Price et al., 1991; Horner et al.,
263 1997). Water sampling for phytoplankton could help in the aforementioned issue, but should be
264 complementary to the already established animal tissue analysis because the relationship between toxic
265 phytoplankton and shellfish toxicity is not direct, and there is no trigger for regulatory action based upon cell

266 density in the NSSP (Langlois and Morton, 2018; Table 1) for the toxins studied in the present work. An
267 established, delineated marine farm could provide support for practical environmental monitoring, as
268 discussed below.

269

270 **5. Implications of HABs for offshore shellfish aquaculture**

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272 Because algal blooms in the region of interest usually initiate offshore (McGillicuddy Jr. et al., 2003),
273 planned locations for offshore bivalve farms should avoid the most historically-affected areas and should
274 adopt frequent toxin monitoring to assure safe harvests. Although blooms in New England are diverse in
275 development and spatial coverage (Anderson et al., 2008), the analysis of recent events can provide
276 guidance and identify research gaps related to the risks associated with expansion of bivalve aquaculture in
277 open waters. For example, the 2017 PSP event developed in a typical way for the Gulf of Maine, initiating
278 offshore and later extending to inshore locations, which exemplifies how monitoring for offshore farms can
279 possibly serve as early warning for the existing, coastal aquaculture industry, although toxicity should not be
280 expected to reach inshore areas in every bloom event. The presence and toxicity status of both toxigenic
281 algal genera suggests that EEZ areas off the coast of Massachusetts present a relatively high risk of HAB
282 effects. Considering its coastline extension and corresponding offshore area compared to the other studied
283 states (with coast lines of 192 miles for Massachusetts; 13 miles for New Hampshire and 40 miles for Rhode
284 Island; Beaver, 2006), the probability of Massachusetts being affected by HAB was relatively high within the
285 larger region.

286 The extent to which toxins affect shellfish is species-dependent (Hégaret et al., 2007), in relation to
287 both the phytoplankton and cultured shellfish, even though closures, which are directly based upon toxicity

288 of affected local shellfish, in the northeast region were, in average, less than 60 days in duration. Furthermore,
289 shellfish usually are able to depurate toxins, and blooms very often have sub-lethal effects upon shellfish that
290 degrade performance, such as lower growth, feeding inhibition, and other sublethal effects (Shumway, 1990;
291 Landsberg, 2002, Table 2). Accordingly, for farmers, the risks posed by HABs are often not related to loss of
292 production, but rather economic disruptions caused by delays in harvests.

293 The candidate species for offshore aquaculture, namely the blue mussel *M. edulis*, can use both
294 *Alexandrium* spp. and *Pseudo-nitzschia* spp. as food sources in periods of low food availability (Bricelj et al.,
295 1993) and were shown to accumulate toxins faster than other bivalves, which makes the species a suitable,
296 and commonly-used, sentinel species (Bricelj and Shumway, 1998; Langlois and Morton, 2018). It is known
297 that detoxification in blue mussels can be affected by factors that are also different depending upon the toxin,
298 such as season for saxitoxins (Prakash et al., 1971), and temperature and shellfish size for DA (Novaczek et
299 al., 1992). Nevertheless, mussels also eliminate toxins and recover quickly from the effects of toxicity after
300 ingesting other, non-toxic phytoplankton (Novaczek et al., 1992; Galimany et al., 2008) in comparison to other
301 bivalves such as oysters that accumulate and eliminate toxins at slower rates (Shumway, 1990). For DA,
302 recovery is in a matter of days, as the half-life of that toxin in mussels was estimated to be in average 55
303 hours using a 2-compartment model fit, as the concentration of toxin profiles by time appeared bi-exponential
304 and declined following a log-linear manner as the mussels depurated (see details in Shultz et al., 2008).
305 Mussels are less able to recover if they had recently spawned (Galimany et al., 2008).

306 For other shellfish species, some previous lessons should be considered. Shellfish harvest re-
307 openings following HAB closures showed that recovery from toxins, for both PSP and ASP, usually occurred
308 in the following order for the local shellfish in data we accessed: softshell clams, blue mussels, 'other
309 shellfish', razor clam (*Siliqua costata*), surfclam, moon snails (*Euspira heros*), indicating already scientifically-
310 known differences between species depuration rates. But although both softshell clams and blue mussels

311 are considered fast detoxifiers (Bricelj and Shumway, 1998), usually, blue mussels detoxify at a faster rate
312 than softclams (Prakash et al., 1971), and HAB harvest re-opening data should be considered with caution.
313 Considering STXs, the blue mussel reportedly detoxifies at an average of 10.6% day⁻¹ and lose up to 15% of
314 accumulated toxin per day, but *Mya arenaria* has detoxification rates up to 9.8 %·day⁻¹ (see Table 4 in Bricelj
315 and Shumway, 1998). In the studied region, clams may have had different toxicity levels for reasons such as
316 different exposure to toxins related to different locations because the number of detoxification days required
317 to reach the regulatory level may reflect differences in the peak of toxicity achieved by animals.

318 Sea scallops are divided into two categories for harvest bans, namely “sea scallops whole” and “sea
319 scallops adductor muscle”. Bans are readily applied and lengthy for the commercialization of whole scallops.
320 In the case of PSP toxins, scallops can biotransform biotoxin into more toxic products that accumulate in the
321 viscera, especially in the digestive gland (Shimizu and Yoshioka, 1981) and take months to years to detoxify
322 (Bricelj and Shumway, 1998). However, commercialization of adductor muscles, which is the commonly
323 consumed product in US, usually is not suspended by bans because muscles do not accumulate toxins as
324 do other tissues (Shumway and Cembella, 1993). With this advantage, and because an ear hanging
325 technique brought from Japan in which vertical ropes are used to hang scallops is being tested in New
326 Hampshire and Maine for sea scallops, the sea scallop is the second possible target species, after blue
327 mussels, for offshore aquaculture in the region (FFAR, 2018).

328 As in coastal areas, toxic algal blooms could temporarily impose offshore commercial farm harvest
329 closures. One would expect that offshore blooms may be of shorter duration because of water advection and
330 currents in open ocean environments compared to enclosed, coastal bays where water residence time is
331 longer and can influence the occurrence of blooms (Anderson, 1997). This assumption, however was not
332 confirmed based upon Rhode Island inshore and offshore data. Thus, offshore farms may have no advantage
333 with regard to HAB closure duration compared to inshore environments, but on the positive side, closures

334 also do not appear to last longer, at least in Rhode Island. Nevertheless, knowledge of offshore bloom
335 characteristics and culture management are expected to help in management of disruptions from toxic algal
336 blooms. This fact highlights the need for knowledge of historical blooms and reinforces the importance of the
337 present work. Recently, HAB events seem to be increasing in number globally (Edwards et al., 2006; Gobbler
338 et al., 2017), with even local reports documenting increases in enclosed, local bays (Crespo et al., 2011). For
339 the two genera studied in the present work and region of interest, however, this trend was not observed. This
340 indicates differences can occur locally, as previously acknowledged by Bricelj and Shumway (1998);
341 therefore, world-wide trends cannot always be applied locally, and trends may not be occurring worldwide.
342 Additionally, as bivalve offshore aquaculture systems are submerged to different depths, the temperature to
343 which shellfish are exposed can be managed to a certain extent according to vertical temperature profiles to
344 facilitate depuration and avoid reproduction (Mizuta and Wikfors, 2019), thus possibly enabling quicker
345 recovery of harvestable stocks.

346 On the US northeast coast, harmful algal blooms were first detected in 1975 in the Gulf of Maine,
347 where the bloom was caused by *Alexandrium catenella*. Subsequently, the southward expansion of *A.*
348 *catenella* established blooms in Massachusetts (Franks and Anderson, 1992) and toxicity in offshore shellfish
349 as whole animals, such as sea scallops, Atlantic surfclams, ocean quahogs and Northern horse mussels
350 (*Modiolus modiolus*) was first reported in 1988 (White et al., 1993). *Pseudo-nitzschia* event records in the
351 east coast are more recent, following the blooms of *P. seriata* in Canadian waters that date from 2002
352 (Trainer et al., 2012) but only more recently causing closures in the USA (Bates et al., 2018).

353 Nevertheless, regional harmful algal outbreaks in the east coast of US remain less disruptive
354 compared to the US west coast where blooms, especially of *Pseudo-nitzschia*, are frequent and intense
355 (McCabe et al., 2016), and several species of *Alexandrium* and *Pseudo-nitzschia* have been causing
356 economic losses in the fisheries industry since as early as 1793 (Horner et al., 1997; Trainer, 2002; Table 3).

357 In spite of HAB disruptions, the US west coast has an active shellfish aquaculture production industry and is
358 the national leader in offshore shellfish farming development, hosting the first commercial offshore blue
359 mussel farm in the US (Lester et al., 2018). In contrast, on the east coast there have been longstanding
360 concerns among stakeholders about feasibility of offshore shellfish farming because of possible harmful algal
361 bloom disruptions.

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376 **Table 3:** Species of toxic *Alexandrium* and *Pseudo-nitzschia* reportedly found in the West and Northeast
 377 coast of United States (Hargraves et al., 1993; Anderson et al., 1994; Villareal et al., 1994; Horner et al.,
 378 1997; Trainer, 2002; Gribble et al., 2005; Trainer et al., 2012; Fuentes and Wikfors, 2013; Borkman et al.,
 379 2014; Fernandes et al., 2014; Bates et al., 2018).

380

Genus	Species	
	West Coast	Northeast Coast (New England area)
<i>Alexandrium</i>	<i>A. catenella</i> ; <i>A. hiranoi</i> ; <i>A. ostenfeldii</i>	<i>A. catenella</i> ; <i>A. ostenfeldii</i>
<i>Pseudo-nitzschia</i>	<i>P. australis</i> ; <i>P. delicatissima</i> ; <i>P. fraudulenta</i> ; <i>P. multiseriis</i> ; <i>P. pseudodelicatissima</i> ; <i>P. pungens</i>	<i>P. australis</i> ; <i>P. delicatissima</i> ; <i>P. fraudulenta</i> ; <i>P. granii</i> ; <i>P. multiseriis</i> ; <i>P. pseudodelicatissima</i> ; <i>P. pungens</i> ; <i>P. seriata</i> ; <i>P. subpacific</i> a; <i>P. turgidula</i>

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383 **6. Implications of suspension-feeding shellfish farming for HAB dynamics**

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385 An important prospect is that offshore aquaculture facilities can support coastal aquaculture by
386 serving as early bloom detectors, because of potentially strategic locations, a feature called upon to be
387 explored in a previous publication (Langlois and Morton, 2018). Early warnings allow harvesting prior to
388 intoxication and better planning following a bloom-initiation report (Shumway, 1990). In a recent document
389 of the Interstate Shellfish Sanitation Conference, there is a strong call for implementation of an early-warning
390 system for marine biotoxin management (ISSC, 2017). For instance, at various sites on the Newfoundland
391 coast in Canada (north of US New England area), the PSP toxicity *from A. catenella* in blue mussels
392 correlated positively with abundance of cysts in sediments (Schwinghamer et al., 1994). Within species
393 reported as being within the *A. tamarense* complex (Litaker et al. 2018), *A. tamarense* resting cysts were
394 shown to be even more toxic than vegetative cells (Oshima et al., 1992), and locally-germinated vegetative
395 cells of *A. catenella* can be transported to coastal waters during favorable downwelling events (McGillicuddy
396 Jr. et al., 2003). Consequently, blooms in inshore waters can result from offshore initiation and potentially
397 lead to coastal shellfish toxicity. Inshore cysts can also germinate but contributed to less than 15% of the
398 total germination flux (McGillicuddy Jr. et al., 2003). Although the processes governing offshore-inshore
399 interactions, including bloom dynamics and especially the role of cysts (Anderson, 1997), need to be further
400 explored, the offshore *Alexandrium* bloom initiation hypothesis was previously highlighted by Martin and
401 Richard (1996). Those authors suggested that, in the offshore Bay of Fundy, spatially large *A. catenella* cyst
402 beds resulted in high numbers of vegetative cells offshore, and advected offshore populations were
403 considered responsible for most subsequent coastal blooms and shellfish toxicity.

404 As described by Langlois and Morton (2018), the responsibility of monitoring and sampling would be
405 primarily borne by the shellfish industry, and agreed-upon responsibilities would be part of the regulatory
406 biotoxin contingency plan. At this stage, offshore shellfish aquaculture in the US targets blue mussels that,
407 as mentioned, accumulate and depurate toxins quickly, aside from being extremely resilient. As (most)

408 blooms originate offshore, the establishment of offshore blue mussel farms, where frequent, biweekly
409 regulatory monitoring is already implemented (Maney et al., 2019), would allow for easy local, open ocean
410 HAB monitoring and early detection within the farming site. Setting stations within the farm would allow for
411 both water sample collection and farmed mussel samples from the longline at different depths (for details of
412 offshore farming design refer to Buck, 2007; Buck et al., 2017) of offshore mussel farms. Water samples for
413 phytoplankton analysis would allow for species identification and algal taxonomy. The offshore mussel farm
414 itself would constitute a sentinel station, as the arrangement permits ready access to frequent sample
415 collection and early detection of biotoxins with a recognized sentinel bivalve species, eliminating the need for
416 more laborious, routine samples of, for example, other benthic species harvested offshore (Langlois and
417 Morton, 2018). The frequency of monitoring can be adjusted as the offshore aquaculture activity and
418 monitoring needs develop, considering that frequency interval is not prescribed in the NSSP, as it should
419 take into account the unpredictability of toxin events and variability of phytoplankton populations in terms of
420 species and abundance in the area (Langlois and Morton, 2018).

421 Taking into account the available, local hydrological knowledge, coastal areas “downstream” or
422 where downwelling could occur (Anderson, et al., 2008; McGillicuddy Jr. et al., 2014), could be warned in
423 advance of the possibility of a bloom reaching the coast. The ability to understand and predict HABs in coastal
424 areas will depend upon coastal-offshore interaction, even though processes are complex (McGillicuddy Jr.
425 et al., 2003). Coastal farms in New England produce mainly the Eastern oyster, which is currently a more
426 valuable product than the blue mussel; thus, the economic service an offshore farm can provide is extended
427 beyond the revenue of mussel commercialization.

428 A possible negative side effect of offshore shellfish culture in connection with HABs is that shellfish
429 could be vectors if transported from offshore phycotoxin-contaminated areas to areas where a toxic bloom is
430 not concurrently occurring (Scarratt et al., 1993; Hégaret et al., 2008), as shellfish begin to self-depurate and

431 can seed a future bloom (Shumway et al., 1990). In the case of PSP, some studies show the *Alexandrium*
432 *catenella* cells remain viable and resume normal growth following egestion in feces (Bricelj et al., 1993), but
433 more recent studies (Hégaret et al., 2008) showed that within 24 hours of depuration in clean water after
434 exposure to toxicity, the feces produced by mussels did not contain viable *Alexandrium catenella* cells.
435 Although the potential transport of PSP is not fully understood, control of movement of shellfish can prevent
436 possible transfer of toxic phytoplankton with shellfish.

437 Data for offshore areas should be interpreted as preliminary because, in the case of *Pseudo-*
438 *nitzschia*, the high concentration of potentially-harmful algal taxa does not always mean that cells are
439 toxigenic, as that requires additional investigation and data that were not available. Nor can the algal cell
440 density directly translate to levels of toxicity in the exposed shellfish, a fact that is true for both harmful algae
441 discussed in this study. Available data remain very scarce and sporadic, thus generalization is provisional.

442

443 **7. Conclusions**

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445 This summary of recent harmful algal blooms in the Northeast area is intended to help in planning
446 for future research and fisheries management of a nascent offshore mussel-farming industry. Regionally, the
447 frequency and intensities of blooms did not show increasing tendencies based upon shellfish harvest closures
448 in recent years. Offshore farming may experience closures with similar length as active, coastal farming
449 areas, with particular higher frequency in Massachusetts than in the other areas. Blue mussels are already
450 the primary sentinel species for shellfish harvest closures, and because they can recover quickly from toxicity,
451 mussel farming offshore is advantageous, both as an alternative farming location and as a service to
452 traditional, coastal farming areas. Although offshore aquaculture locations will most probably overlap the

453 areas where blooms start, it should not discourage offshore shellfish aquaculture development. Evidently,
454 the development of offshore aquaculture will require extension of phytoplankton and shellfish toxicity
455 monitoring programs with higher sampling frequency and strong aquaculture regulations of HABs, as offshore
456 environmental monitoring results will be essential to ascertain the safety of products, including possible
457 benefits of early warning to coastal areas, and thus reliability and sustainability of the overall northeast US
458 shellfish aquaculture industry.

459

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461

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473 **9. References**

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