

# Source Water Alternative Procedure (SWAP) Pro Forma

## Checklist

| Checklist  | Yes                      | Add comment |
|--|--------------------------|-------------|
| Completed pro forma (this document)  |                          |             |
| 1. Company Information   | <input type="checkbox"/> |             |
| 2. Details of source water intake specifications                           | <input type="checkbox"/> |             |
| 3. Details of initial validation study                                     | <input type="checkbox"/> |             |
| 4. Ongoing monitoring program  | <input type="checkbox"/> |             |
| Additional process and/or supporting information not captured in this form | <input type="checkbox"/> |             |

- This pro forma is for businesses that wish to apply to the NSW Food Authority for approval to open (process) oysters using ultraviolet (UV) treated water sourced from formally classified shellfish harvest areas in the open harvest status.
- Source water from an unclassified area or closed shellfish harvest area is not permitted for the purpose.
- If businesses wish to store water sourced from formally classified shellfish harvest areas in the open status for later use, management practices and relevant updates to their food safety program are to be included with the application form.
- One pro forma is needed for one processing facility.
- If you have a licence permission to process oysters, email the completed pro forma with signed declaration and required documents to [food.sciencesupport@dpird.nsw.gov.au](mailto:food.sciencesupport@dpird.nsw.gov.au)
- If you do not currently hold a licence with permission to process oysters, you must send your licence application and pro forma to [food.licensing@dpird.nsw.gov.au](mailto:food.licensing@dpird.nsw.gov.au)
- For more information on licensing, please refer to the website: [www.foodauthority.nsw.gov.au/ip/licensing](http://www.foodauthority.nsw.gov.au/ip/licensing)
- For businesses that wish to apply for alternative methods outside of those considered in this pro forma, please refer to the NSW Food Authority's Alternative Compliance procedure: [www.foodauthority.nsw.gov.au/industry/audits-and-compliance/compliance/alternative-compliance](http://www.foodauthority.nsw.gov.au/industry/audits-and-compliance/compliance/alternative-compliance)
- Information on the current status of classified shellfish harvest areas can be found at [www.foodauthority.nsw.gov.au/industry/shellfish/status](http://www.foodauthority.nsw.gov.au/industry/shellfish/status)
- For more information, please contact the NSW Food Authority on 1300 552 406.

**A business that wants to use an alternative compliance method must have approval from the NSW Food Authority before using the method to ensure continued compliance with all relevant food legislation.**

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## Declaration

I certify that by signing this SWAP Pro Forma that all information is accurate and that I am authorised to act on behalf of the licensed business.

|           |
|-----------|
| Name      |
| Position  |
| Signature |
| Date      |

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## Information required for the assessment

The following information is required for a technical assessment of your SWAP to confirm that the procedure will produce a safe product. **Incomplete information will slow down the approval process.** Most food laboratories will be able to assist with any analytical testing required to complete this pro forma. All tests are to be carried out at a National Association of Testing Authorities (NATA) accredited laboratory.

### 1. Company information

|   |
|---|
| Licensee name   |
| Licence number  |
| Contact person  |
| Phone   |
| Email   |
| Processing facility<br>location/address<br><i>(N.B. if more than one<br/>facility is being assessed,<br/>please include one pro<br/>forma for each)</i> |

### 2. Source water intake specifications

This procedure applies only to water sourced from formally classified shellfish harvest areas in the open harvest status, which has been appropriately disinfected through UV treatment.

| Enter details |
|---------------|
| Estuary       |
| Harvest area  |

|   |
|---|
| Location of source water intake (lat. and long.)  |
| Diagram of plumbing system  |
| Pump make and model   |
| Pump capacity litre/hr  |
| UV disinfection unit make and model   |
| Number of disinfection units  |
| Lamp type   |
| Lamp life   |
| <p>Total disinfection unit capacity (L/h)</p> <p><i>Ensure that the flow rate through the water intake system is below the rated flow rate for the UV disinfection unit.</i></p>  |
| <p>UV monitoring function</p> <p><i>The clarity of the water can vary depending on the prevailing environmental conditions. Real-time monitoring of UV transmission should be checked regularly when operating. Maintain either a daily manual log or purchase a unit that keeps automated records.</i></p> |

### 3. Initial validation study

As part of the source water verification, microbiological samples collected post disinfection (UV) are to be tested for *E. coli* and must return a result of not detected in 100ml. Each sampling round during the initial validation study should include **three replicates** to provide statistical validity to the study. The samples must be collected from the processing facility (That is, after the UV disinfection step).

It is important to ensure that the validation study includes samples across a range of operating conditions to demonstrate efficacy of the UV treatment (For example, the complete tidal range and following rainfall within the adverse range for the harvest area management plan for the harvest area that you are drawing water from).

Adverse rainfall sampling must align with the harvest area management plan adverse sampling limits specified for the harvest area where the source water is drawn. Current management plans can be provided by the NSW Shellfish Program ([food.nswsp@dpird.nsw.gov.au](mailto:food.nswsp@dpird.nsw.gov.au)).

| Sample collection date | Sample collection time | 24-hour rainfall (mm) | Tide cycle/Condition   | <i>E. coli</i> results (3 x replicates -cfu/100 ml) | Notes |
|------------------------|------------------------|-----------------------|--|---|-------|
|                        |                        |                       | High tide  |   |       |
|                        |                        |                       | Low tide   |   |       |
|                        |                        |                       | Mid ebb tide   |   |       |
|                        |                        |                       | Mid flood tide   |   |       |
|                        |                        |                       | Adverse rainfall 1<br><i>(sample within 24 hours of rainfall, mid ebb – low tide sampling timing preferable)</i> |   |       |
|                        |                        |                       | Adverse rainfall 2<br><i>(sample within 24 hours of rainfall, mid ebb – low tide sampling timing preferable)</i> |   |       |

Laboratory reports relevant to the above results must be provided with the application.

## 4. Ongoing monitoring

Ongoing verification testing is required to confirm that the system continues to produce water that is suitable for rinsing oysters during processing. The samples must be collected from the processing facility (That is, after the UV disinfection step). Monitoring and testing records must be maintained for a minimum of 2 years.

| Source (open harvest areas only)  | Testing frequency | Test           | Standard              |
|---|-------------------|----------------|-----------------------|
| Approved (Direct Harvest) harvest areas   | Monthly           | <i>E. coli</i> | Not detected in 100mL |
| Restricted (Harvest and Depuration) harvest areas                                     | Weekly            | <i>E. coli</i> | Not detected in 100mL |
| Approved or Restricted harvest areas where the status is open for drawing water only) | Weekly            | <i>E. coli</i> | Not detected in 100mL |

Upon notification of a testing failure, the business must cease processing with the alternative source water and contact the NSW Food Authority (on 1300 552 406 or [food.contact@dpird.nsw.gov.au](mailto:food.contact@dpird.nsw.gov.au)) to discuss the process for re-commencing use of the alternative source water.

As a minimum, a set of triplicate samples that meet the standard will be required prior to re-commencement. If a system records multiple failures within a 12-month period, a detailed maintenance check and clean of the system is needed and additional validation rounds may be required.

END OF PRO FORMA

|                        |
|------------------------|
| <b>Office use only</b> |
| Pro forma number:      |
| Assessor:              |
| Approved on:           |