

EXAMPLE of how to complete the Pro Forma - see text in red italics

Source Water Alternative Procedure (SWAP) Pro Forma

Checklist *A SWAP pro forma must be completed correctly by accurately describing the source water location, system and processes used and laboratory results.*

Checklist	Yes	Add comment
Completed pro forma (this document)		
1. Company Information	<input checked="" 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"/>	<i>Updated Food Safety Program, Laboratory reports and plumbing diagram provided</i>

- **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
- 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
- For more information on licensing, please refer to the website: 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
- Information on the current status of classified shellfish harvest areas can be found at 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.

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	<i>John Smith</i>
Position	<i>Director</i>
Signature	<i>To be signed - E-Sign or in writing</i>
Date	<i>11 April 2025</i>

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	<i>Fresh Shellfish</i>
Licence number	<i>12345</i>
Contact person	<i>John Smith</i>
Phone	<i>0123 456 789</i>
Email	<i>admin@freshshellfish.com.au</i>
Processing facility location/address	<i>1 Oyster Road, Oyster Town NSW 1234</i>
<i>(N.B. if more than one facility is being assessed, please include one pro 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	<i>Big River</i>
Harvest area	<i>Oyster Lake</i>

Location of source water intake (lat. and long.)	<i>-31.890616, 152.643643</i>
Diagram of plumbing system	<i>To be provided as a separate attachment</i>
Pump make and model	<i>As per the manufacturer's specifications</i>
Pump capacity litre/hr	<i>As per the manufacturer's specifications</i>
UV disinfection unit make and model	<i>As per the manufacturer's specifications</i>
Number of disinfection units	<i>As per the manufacturer's specifications</i>
Lamp type	<i>As per the manufacturer's specifications</i>
Lamp life	<i>As per the manufacturer's specifications</i>
Total disinfection unit capacity (L/h) <i>Ensure that the flow rate through the water intake system is below the rated flow rate for the UV disinfection unit.</i>	<i>As per the manufacturer's specifications</i>
UV monitoring function <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>	<ul style="list-style-type: none"> • <i>For automated records- provide details as per the manufacturer's specifications.</i> • <i>For daily manual log - provide relevant updates in Food Safety Program.</i>

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).

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

Office use only
Pro forma number:
Assessor:
Approved on: