



## IPW POLICY ON CERTIFICATION AND AUDIT

2021

### 1. REGISTRATION FOR IPW: FARM, CELLAR AND BOTTLING FACILITY

Contact the IPW office to join IPW as a member. All IPW members must also be registered with SAWIS. IPW office (021) 889 - 6555. SAWIS office (021) 807 - 5700.

### 2. IPW CERTIFICATION REQUIREMENTS

#### 2.1 New members

a New IPW member is a farm, cellar or bottler who is applying for the first time to join IPW membership by contacting the IPW office or complete the online application form via [www.ipw.co.za](http://www.ipw.co.za). All new members will be registered on the IPW website for the submission of the annual self-evaluation forms.

**IMPORTANT:** All IPW self-evaluation forms must be submitted via the IPW electronic database before 31<sup>st</sup> of May each year.

Once the self-evaluation forms have been received electronically, an independent audit for the farm, cellar or bottler concerned will be scheduled. Farms are audited as part of the cellar where the grapes are delivered. If the independent audit confirms that the farm, cellar or bottler concerned meets the minimum requirements, an audit report as well as an IPW certificate will be sent to the member via email. The audit report and certificate can also be downloaded electronically via the IPW website.

If the audit report shows that the member does not meet the minimum requirements, the necessary corrections must first be made after which a further follow-up audit will be done before an IPW certificate will be issued. It is each member's own responsibility to arrange a follow-up audit.

No new cellar or bottler can receive initial IPW certification until compliance with IPW requirements has been confirmed through an independent audit.

Annual self-evaluation forms must be submitted before 31 May via the IPW website. If the self-evaluation forms show that the minimum requirements are met, an IPW certificate will be issued electronically.

The registered IPW premises will be subject to regular independent audits regarding this policy or on a random sample basis. Should any of these audits show that the necessary requirements are not being met, the member will be given 6 months to implement the necessary corrections, after which a further follow-up audit must be done before IPW certification can resume. If the

necessary corrections are not made within 6 months, IPW certification may be suspended until compliance with the minimum requirements is reaffirmed by an independent audit.

## **2.2 Existing members**

The self-evaluation forms must be submitted via the IPW website before 31 May each year. If the self-evaluation forms show that the minimum requirements are met, an IPW certificate will be issued electronically.

The registered IPW premises will be subject to regular independent audits regarding this policy or on a random sample basis. Should any of these audits show that the necessary requirements are not being met, the member will be given 6 months to implement the necessary corrections, after which a further follow-up audit must be done before IPW certification can resume. If the necessary corrections are not made within 6 months, IPW certification will be suspended until compliance with the minimum requirements has been confirmed by an independent audit. It is each member's own responsibility to arrange a follow-up audit.

## **HANDLING OF SELF-EVALUATION FORMS**

### **3.1 Farm without a cellar. (Primary producer)**

3.1.1 All self-evaluation forms (Annexures 1 including Tables 1, 2a, 2b and 2c) must be completed and submitted to the IPW electronic database before 31 May each year. The IPW controller must ensure that the members' forms are filled in correctly and submitted via the IPW website.

3.1.2 The pass mark of 65% or more must be achieved.

3.1.3 In addition, the following qualification requirements must be met, namely:

- No inadmissible residues may occur on grapes.
- Withholding periods may not be exceeded.
- No unregistered substances may be used, and all label conditions of sprays must be strictly adhered to.
- Comply with all applicable legislation regarding:
  - Plow Permits and Environmental Impact Assessment (IPW Guidelines 2 and 3)
  - Registration of water uses (IPW Guidelines 2, 3 and 9)
  - All aspects regarding handling, storage and disposal of agrochemicals and containers (IPW Guideline 14)

3.1.4 If one of the requirements under 3.1.3 is not met, an acceptable action plan with target dates must be available or submitted with the evaluation form at the cellar in which it is described what steps are taken to address the in the next season to meet prescribed requirements.

### **3.2 Cellar with a farm. (Estate Cellar)**

3.2.1 All self-evaluation forms for the cellar (Annexure 4) as well as (Annexures 1 including Table 1, 2a, 2b and 2c) must be completed for the farm and uploaded via the IPW electronic database before 31 May each year.

3.2.2 Both the farm and the cellar must achieve the pass mark of 65% (farm) and 60% (cellar) or more.

3.2.3 The following qualification requirements must be met, namely:

#### **Farm**

- No inadmissible residues may occur on grapes.
- Withholding periods may not be exceeded.
- No unregistered substances may be used, and all label conditions of sprays must be strictly adhered to.
- Comply with all applicable legislation regarding:
  - Plow Permits and Environmental Impact Assessment (IPW Guidelines 2 and 3)
  - Registration of water uses (IPW Guidelines 2, 3 and 9)
  - All aspects regarding handling, storage, and disposal of agrochemicals (IPW Guideline 14)

#### **Cellar**

- Grapes must be produced according to the IPW guidelines.
- No inadmissible residues may be present in the wine.
- Prescribed record keeping must be maintained and the cellar must have updated written permission / permits / licenses for the management of solid waste and wastewater.

3.2.4 If one of the requirements under 3.2.3 is not met, an acceptable action plan with target dates must be available or submitted with the evaluation form at the cellar in which it is described what steps are taken to address the following in the next season to meet the prescribed requirements.

### **3.3 Producer Cellar (Co-operative Cellars)**

3.3.1 The evaluation forms (Annexures 1 including Tables 1, 2a, 2b and 2c) for the farms that supply grapes to the cellar must be uploaded via the IPW electronic database before 31 May each year. The cellar checks whether the forms have been filled in correctly, and whether the necessary records are available to substantiate points.

The evaluation form of the cellar (Annexure 4) must be completed annually and submitted before 31 May via the IPW electronic database.

3.3.2 Both the farms that produced grapes and the cellar must achieve the pass mark of 65% (farm) and 60% (cellar).

3.3.3 The following qualification requirements must be met, namely:

#### **Farm**

- No inadmissible residues may occur on grapes.
- Withholding periods may not be exceeded.
- No unregistered substances may be used, and all label conditions of sprays must be strictly adhered to.
- Comply with all applicable legislation regarding:
  - Plow Permits and Environmental Impact Assessment (IPW Guidelines 2 and 3)
  - Registration of water uses (IPW Guidelines 2, 3 and 9)
  - All aspects regarding handling, storage and disposal of agrochemicals (IPW Guideline 14)

#### **Cellar**

- Grapes must be produced according to the IPW guidelines.
- No inadmissible residues may be present in the wine.
- Prescribed record keeping must be maintained and the cellar must have updated written permission / permits / licenses for the management of solid waste and wastewater.

3.3.3 If one of the requirements under 3.3.3 is not met, an acceptable action plan with target dates must be available or submitted with the evaluation form at the cellar in which it is described what steps are taken to address the meet prescribed requirements.

### **3.4 Bottlers**

3.4.1 The self-evaluation form of the bottler (Annexure 4) must be completed and submitted via the IPW website before 31 May each year.

3.4.2 The pass mark of 60% or more must be achieved.

3.4.3 In addition, the following qualification requirements must be met, namely:

- Prescribed record keeping and procedures must be kept up to date.
- Bottlers must have written permission / permits / licenses for solid waste and wastewater management.

3.4.3 If one of the requirements under 3.4 is not met, an acceptable action plan must be available with target dates in which it is described what steps will be taken to comply with the prescribed requirements in the next season.

### **AUDIT LEVELS FOR FARMS**

1. Self-audit: Completion of evaluation forms for the farm (Appendices 1 including Table 1, 2a, 2b and 2c) and submitted electronically via the IPW website before 31 May.
2. Cellar Inspectors: Cellars where the grapes are delivered must check that the forms have been completed correctly and completely and that the necessary records are available to substantiate marks and that the self-evaluation forms have been submitted on the IPW website.
3. Independent audit: Performed by the WSR's accredited auditor as part of the basement audit cycle. At producer cellars, at least 3 farms per cellar, each audit cycle, will be randomly audited with an annual increase in farm audits as possible.
4. Audit on demand: IPW audits can be done by the WSR's accredited auditors at the request of buyers.

### **AUDIT LEVELS FOR CELLARS**

1. Self-audit: Complete the evaluation forms for the cellar (Annexure 4) and submit before 31 May each year via the IPW electronic database.
2. Independent audit: Conducted by WSR's accredited auditor as part of the cellar audit cycle At producer cellars, at least 3 farms per cellar, each audit cycle, will be randomly audited with an annual increase in farm audits as possible.
3. Audit on Demand: Audits can be done by the WSR's accredited auditors at the request of buyers.

### **AUDIT LEVELS FOR BOTTLERS**

1. Self-audit: Complete the evaluation forms for the cellar (Annexure 4) and submit before 31 May each year via the IPW website.
2. External audit: Performed by the WSR's accredited auditors as part of the audit cycle.
3. Audit on demand: Audits can be done by the WSR's accredited auditors at the request of buyers.

## **IPW CONTROLLERS AT FARMS, CELLARS AND BOTTLERS**

Cellars, especially producer cellars, are encouraged to designate IPW controllers to assist in checking the IPW cell evaluation forms as received from the farms.

IPW controllers must have a valid IPW training certificate and his / her task is

- to check that all IPW self-evaluation forms have been completed in full and correctly and
- to verify that all IPW forms have been submitted via the IPW website before 31 May each year
- to verify that all necessary records are available to substantiate points and
- to verify that all the necessary legislation is being complied with or that the necessary action plans with target dates are in place to achieve compliance.

This checking and verification should preferably be done in the presence of the producer. However, the onus is on each producer to ensure that the information on the IPW self-evaluation forms is completed in full and is virtually correct.

The WSR's accredited auditors will perform the audits at producer cellars in collaboration with the IPW controllers.

## **ANNUAL IPW AUDIT VISITES BY WSR AUDITORS**

The Wine and Spirit Board funds compulsory audits such that the wineries, bottlers and farms are audited within a planned period of at least every three (3) years. Wine cellars, bottlers and farms must pass an independent audit at least once every three (3) years to ensure continuous IPW certification. Farms of producer cellars (Cooperative cellars) are randomly selected for the audit.

The purpose of the mandatory independent IPW audits is to ensure that the integrity of the IPW Scheme is respected and that the evaluation forms; relevant documentation and practices are correctly completed and implemented, as prescribed by the IPW guidelines as well as this policy.

The Wine and Spirit Board contracts an independent audit body to audit wine cellars, bottlers and farms spread across all the wine-growing regions, at the Boards expense. The independent audit company, Enviroscientific, is currently contracted to coordinate and conduct the IPW audits.

## **ACCEPTANCE AND CANCELLATION OF CONFIRMED AUDIT APPOINTMENTS**

To make the mandatory audits viable, careful planning is required and therefore such audits of wineries, bottlers and farms can only take place on set dates in different regions. To avail the WSR sponsored audits, members must be audited in those time slots.

Wine cellars, bottlers and farms are requested to confirm an audit appointment within two (2) weeks of the audit body contacting them.

Where a compulsory audit is refused or where an already confirmed IPW audit appointment is canceled, the producer concerned is placed on a probationary period of 6 months. During the 6-month probation period, it is the IPW member's own responsibility to confirm an appropriate date

for a follow-up audit with the IPW office to avoid IPW suspension. **The cost of the follow-up audit will be the wine cellar, bottler, or farm's own responsibility.**

### **IPW AUDIT ON REQUEST**

Any farm, cellar or buyer may request that a farm, cellar, or bottler may be audited by one of the WSR's accredited auditors outside the normal random sampling audit cycle. The cost of these audits is borne by the farm, cellar, or buyer themselves.

### **IPW PROBATION PERIOD AND RE-AUDIT**

If the IPW audit shows that the member does not meet the minimum requirements, the member is given 6 months to implement the necessary corrections, after which a further follow-up audit must be done before IPW certification can be continued. **The farm, cellar or bottler is responsible for the cost of the re-audit.**

### **IPW AUDIT POLICY REGARDING RENTED VINEYARDS**

Grapes from vineyards leased from a landowner only qualify for IPW if the annual self-evaluation and external audits cover all the guidelines and are assessed for the farm as a whole and not just for the leased vineyard.

Where a landowner leases vineyards to another person / persons, a written agreement should be drawn up that clearly indicates who is responsible for the implementation and supporting documentation / record keeping for each of the IPW guidelines for self-evaluation and audit purposes.

Certain aspects regarding environmental management and conservation of natural habitats and endangered ecosystems, for example registration of water resources, household waste management and the control of alien invasive plants remain the responsibility of the landowner.

The landowner must then make all the necessary documentation and evidence available to the tenant / s of the vineyard or the tenant / s and the landowner must do the annual self-evaluation and audits together.

## **ADDITIONAL AUDITS WHICH ARE ALSO FUNDED BY THE WSR**

### **Grape analyses (Annually)**

During each season, at least 120 grape samples are drawn from cellars on a total random basis and analysed by a SANS accredited laboratory using multi-residue analysis for pesticide residues. The inspectors of SAWIS were tasked with performing this function.

If no pesticide residues are found on the grapes, a letter is sent to the producer or cellar whose grapes have been analysed, indicating the result.

2. If pesticide residues, below the maximum permissible levels, are found on the grapes, a letter is sent to the producer whose grapes have been analyzed indicating the result; and

3. If pesticide residues are found above the maximum permissible levels on the grapes, the producer whose grapes were analyzed as well as the cellar from which the grapes were delivered will be notified orally immediately after which this will be confirmed by letter. The wine made from these grapes needs to be further analyzed to determine if it is still suitable for further use.

a) If the wine analysis shows that the wine contains residues below the permissible levels, the wine will be deemed suitable for use and the wine may still be certified.

b) If the wine analysis shows that the wine contains residues above the maximum permissible levels, the wine will be placed on bidding and the wine cannot be certified.

### **Residue analyses on wine**

The National Department of Agriculture's Directorate for Food Safety and Quality Control annually analyses more than 1200 bottled wines destined for export. These analyses include multi-residue testing for pesticide residues.

1. If no pesticide residues are found in the wine, the wine will be considered suitable and can be certified.

2. If pesticide residues are found below the maximum permissible levels in the wine, the wine will be considered suitable and can be certified.

3. If pesticide residues are found above the maximum permissible levels, the wine will be placed on embargo and the wine cannot be certified.