



IPW POLICY ON CERTIFICATION AND AUDIT

2023

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. 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 31st 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 will be sent to the member via email plus 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 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 at own cost.

No new cellar or bottler can receive initial IPW certification until compliance with IPW minimum 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. Each member needs to submit an annual self-evaluation forms.

The registered IPW premises will be subject to regular independent audits as stipulated in this policy or on a random spot check basis. Should any of these audits, at any given time, show that the necessary IPW minimum requirements are not being met, the member will be given 4 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 4

months, IPW certification will be suspended until compliance with the requirements is reaffirmed by an independent audit at own cost.

2.2 Existing members

The self-evaluation forms must be submitted via the IPW website before 31st of 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 as stipulated in this policy or on a random spot check basis. Should any of these audits show that the necessary requirements are not met, the member will be given 4 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 4 months, IPW certification will be suspended until compliance with the requirements has been confirmed by an independent audit. It is each member's own responsibility to arrange a follow-up audit at own cost.

HANDLING OF SELF-EVALUATION FORMS

3.1 Farm without a cellar. (Primary producer)

3.1.1 All self-evaluation forms (Annexures 1 including Tables 1A, 2a, 2b and 2c) must be completed and submitted to the IPW electronic database before 31st of May each year. Table 1A must be completed for all farms. Table 1B is completed only if there are natural, i.e. non-cultivated areas in the farm that require conservation. The IPW controller at each winery must ensure that the members' forms are completed correctly and submitted via the IPW website. All self-evaluation forms must be submitted in 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:

- All farms claiming IPW compliance must be registered with IPW.
- Grapes must be produced according to the IPW guidelines.
- No inadmissible residues may occur on grapes.
- No unregistered substances may be used, and all label conditions of sprays must be strictly adhered to.
- Withholding periods of plant protection products must be strictly monitored and may not be exceeded.
- Compliance with all applicable legislation regarding:
 - Plow Permits and Environmental Impact Assessments (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 are 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 requirements in the next season to meet prescribed criteria.

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 31st of May each year. Table 1B is completed only if there are natural, i.e. non-cultivated areas in the farm that require conservation.

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

3.2.3 The following qualification requirements must be met, namely:

Farm

- All farms claiming IPW compliance must be registered with IPW.
- Grapes must be produced according to the IPW guidelines.
- No inadmissible residues may occur on grapes.
- No unregistered substances may be used, and all label conditions of sprays must be strictly adhered to.
- Withholding periods of plant protection products must be strictly monitored and may not be exceeded.
- Compliance with all applicable legislation regarding:
 - Plow Permits and Environmental Impact Assessments (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)

Cellar

- Grapes must be produced according to the IPW guidelines.
- Only legal additives may be used as indicated in the “Liquor Products Act, 1989 (Act 60 of 1989). Refer to Table 6 of the regulations.
- No inadmissible residues may be present in the wine.
- Certificates to confirm that all relevant products are be GMO free must be available.
- Prescribed record keeping must be maintained and the cellar must have updated written permission / permits / licenses for the management of solid waste and wastewater from the Department of Water and Sanitation (D.W.S.)
- Wine must be produced and bottled at IPW certified facilities.

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 31st of 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 31st of May via the IPW website.

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

3.3.3 The following qualification requirements must be met, namely:

Farm

- All farms claiming IPW compliance must be registered with IPW.
- Grapes must be produced according to the IPW guidelines.
- No inadmissible residues may occur on grapes.
- No unregistered substances may be used, and all label conditions of sprays must be strictly adhered to.
- Withholding periods of plant protection products must be strictly monitored and may not be exceeded.
- Compliance with all applicable legislation regarding:
 - Plow Permits and Environmental Impact Assessments (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)

Cellar

- Grapes must be produced according to the IPW guidelines.
- Only legal additives may be used as indicated in the “Liquor Products Act, 1989 (Act 60 of 1989). Refer to Table 6 of the regulations.
- No inadmissible residues may be present in the wine.
- Certificates to confirm that all relevant products are be GMO free must be available.
- Prescribed record keeping must be maintained and the cellar must have updated written permission / permits / licenses for the management of solid waste and wastewater from the Department of Water and Sanitation (D.W.S.)
- Wine must be produced and bottled at IPW certified facilities.

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 Each bottling facility must complete Appendix 4 fully on an annual basis, using the IPW Manual for Wineries and Bottling facilities. The self-evaluation form of the bottler (Annexure 4) must be submitted via the IPW website before 31st of May each year.

3.4.2 The pass mark of 65% 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. Refer to IPW guideline 14.
- 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 CELLARS AND BOTTLERS

AUDIT LEVELS FOR FARMS

1. Self-evaluation: Completion of evaluation forms for the farm (Appendices 1 including Table 1, 2a, 2b and 2c) and submitted electronically via the IPW website before 31st of 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 Wine Certification Authority's accredited auditor as part of the basement audit cycle.
4. Audit on demand: IPW audits can be conducted by the Wine Certification Authority'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.
3. Audit on Demand: IPW audits can be conducted by the Wine Certification Authority'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: IPW audits can be conducted by the Wine Certification Authority'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 self-evaluation forms as received from the farms.

IPW controllers must have a valid, up to date, 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 31st of 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 accurate.

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

ANNUAL IPW AUDIT VISITES BY the Wine Certification Authority's accredited auditors

The Wine Certification Authority 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 cellar are randomly selected for the audit.

The purpose of the mandatory independent IPW audits is to ensure continual improvement and 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 including and this policy.

The Wine Certification Authority contracts an independent audit body to audit wine cellars, bottlers and farms, spread across all the wine-growing regions of South Africa, at the Authority's 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 Wine Certification Authority's 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 4 months. During the 4 month probation, 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 Authority'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 4 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 130 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 are tasked with performing this function.

If no pesticide residues are found on the grapes or if pesticide residues, below the maximum permissible levels, are found an email communication 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 email. 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 embargo 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.

IPW Technical Committee

The IPW manager is the Chairman of the IPW Technical Committee. This Committee consists of experts of the wine industry's different industry organisations as well as representatives of the Agricultural Research Council (ARC). The IPW Technical Committee is responsible for the technical correctness and continual improvement of the IPW guidelines and oversees the revision of the IPW guidelines every two years.

The IPW Committee stay informed on all industry related matters and makes recommendations to the Wine Certification Authority on policy matters regarding the IPW Scheme and to the Manager of IPW on administering the Scheme.

The Committee makes use of the latest researched information and technology available, for all aspects of vine and wine production, to allow the wine industry to produce quality fruit and wine in an environmentally responsible manner.