Internal Verification (Internal Audit) Guide

for the Integrated Wine Standards Management Plan (WSMP) Model

Internal verification (internal auditing) is about performing your own checks to ensure:

- your WSMP is up to date and covers all your activities, that you have identified and controlled any relevant food safety risks so that your wine is fit for its intended purpose,
- that you and your staff know, understand and are correctly applying the procedures in your WSMP and you are keeping all the required records.

This guide is intended to help you with this process. Working through the guide and answering the questions will help give you confidence that you have all the required systems, processes and control in place and are keeping all the required records. This will help ensure you are ready for your next external verification (audit).

Key:



(burgundy grape icon)
Additional rules you must follow if you make New Zealand grape wine



(light blue icon)
Additional rules you must follow if you export

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How you know your WSMP is up to date?

- Are your business details and scope correct?
- Has anything changed since your last verification that could pose a hazard to wine?
- Have you altered your facilities, layout or added new equipment etc.?
  - How you know any changes to buildings, fittings or equipment do not contribute hazards to your wine?
- Have you added (or removed) any products or processes?
  - Are there any additional risks your WSMP needs to manage?
- Have you started sharing your premises with anyone else?
  - How do you manage any risks these might contribute to your wine?
- Are there any new activities not covered by your WSMP occurring on your premises?
  - How do you manage any risk this may pose to your wine?
- Have you started using any new contractors or processors?
  - How you know they have the appropriate registered plan?
- Have you taken on any new staff/have any roles changed?
  - How do you know your staff trained for the roles they perform?

Cleaning & maintaining (purple cards)



Using suitable water

- Are you using any new sources of water?
- How do you know any self-supplied water you use is suitable?
  - Have there been any adverse events that may have affected the quality of self-supplied water since your last verification?
  - Where are the records of any tests?
- How do you maintain water equipment and facilities?



Maintaining equipment and facilities

- How do you check your winery, equipment and services are in good working order so they do not become a source of hazards?
- Where are the records of any maintenance and servicing done to prevent the introduction of hazards to wine?
- How are your maintenance compounds and chemicals stored, labelled and used?



Checking for pests

- How do you manage pests that might introduce hazards to wine?



Cleaning and sanitising

- Have you checked that your winery is free of potential sources of hazard?
- How do you clean (and if appropriate sanitise) your winemaking areas and equipment?
- How do you and your staff know when your equipment needs to be cleaned and if appropriate sanitised?
- How do you and/or your staff use and store cleaning chemicals safely?
- How is waste and rubbish managed?



Managing personal hygiene and health

- What personal hygiene measures do you use to prevent hazards to wine?
- How you know your staff and service providers are washing their hands when appropriate?
- Has your handwashing facility been stocked and cleaned recently?
- How do you manage:
  - cuts, sores and boils, and
  - staff or service providers sick with a contagious illness who may contribute hazard to wine?
- How do you prevent clothing from contributing hazards to wine?



Sourcing, receiving and tracing commodities and winemaking inputs

- How do you know your commodities and winemaking inputs are suitable for use in wine?
- What records do you keep relating to receipt of commodities or winemaking inputs? Where are they?
- How does your tracing system work? Where are your records?
- Conduct a tracing test using either commodities or winemaking inputs you have received or a batch of wine you have produced.
- For grape wine this tracing test needs to be from packaged wine back to the vineyard the grapes came from.





Sourcing and tracing New Zealand grape wine



- As well as the information above you need to have records showing:
  - where any grapes came from,
  - the volume of grapes and winemaking inputs received,
  - all winemaking inputs and commodities used and when they were added,
  - all wine used for blends, transfers and top-ups,
  - evidence of label claims relating to vintage, region of origin or grape variety or varieties (if applicable).



Knowing what is in your wine

- How do you know:
  - what commodities, winemaking inputs, food additives or processing aids are permitted in your wine?
  - which food additives and processing aids are safe to use in your wine, and how much you can use?
  - if you are exporting how you know the wine meets any applicable overseas market access requirement (OMAR) for the intended market?
  - if there are any allergens in the commodities, winemaking inputs, food additives or processing aids you use?



Preventing contamination and accidental mixing of wine

- How do you make sure hazards are not introduced into wine during winemaking and storage?
- How do you:
  - prevent the contamination or accidental mixing of wine?
  - identify and where appropriate separate different wines?
  - prevent non-food chemicals contaminating wine?



Documenting your winemaking process

- How do you document all the steps in your process for each type of wine you make?
- What type and amount of all commodities and winemaking inputs you use in each batch of wine?
- What, if any, adjustments, additions or changes were made to your wine if it was offsite and the WSMP these were made under?
- How do you ensure wine remains fit for its intended purpose during transport and storage?
- If you make wine for anyone else, what information do you give them so they can bottle, label and (if applicable) export the wine?



Keeping foreign matter out of wine

- How do you keep foreign matter out of wine? (What procedure/s do you have to prevent/manage any glass breakages during bottling (if applicable)?)



Packaging and labelling

- How do you know that any packaging in contact with wine is suitable for use?
- What information is on your wine labels and/or specification sheets?
  - How you know what to put on them?
- How do you know your grape wine label statements you make about grape variety, vintage or area of origin are correct and true (if applicable)?
- How you know your label complies with any requirements specified in any applicable OMAR?
- How do you calculate the shelf-life of your wine (if applicable)?



Transporting

- How do you transport wine, commodities, or winemaking inputs?
- How do you make sure that wine, goods, or winemaking inputs are kept free from hazard during transport?

Exporting (light blue cards)



Exporting wine

- What pathway do you use to export wine?

- Where are the records of your export markets and the markets of any clients you make wine for?

- How do you know if any OMARs apply?
  - How do you know that you are using the most recent OMARs (if required)?
  - How you are meeting the requirement in any relevant OMARs if they are different from the New Zealand requirements?

- Have you had any critical non-compliances (CNC) or export non-compliances (ENC) since your last verification? (If so, where are the records?)
  - What did you record under the "***Taking action when something goes wrong*** [red] card"?
  - How did you inform MPI of any issues with export shipments?

- If you are using **Pathway A** for exporting wine, how do you ensure that;
  - Samples collected are representative of a homogeneous batch of wine?
  - Samples of wine batches for export are clearly labelled and stored for the required period?
  - Each batch of wine for export is free from obvious fault? (Where are the records?)
  - The wine batch information, declarations and available volume to export entered into MPI Trade Certification is accurate?
  - No other adjustments besides from the permitted sulphur dioxide adjustment, have been made?

Troubleshooting (red cards)



Taking action when something goes wrong

- Have there been any non-compliances or problems since the last verification/audit?
  - Where are the records of any problem affecting the fitness for intended purpose of wine and the action you took?
  - What have you done to prevent the problem happening again?
  - How did you fix the export related problems (if any)?



Recalling wine

- What is your recall procedure?

- Where are the records of your simulated (or any actual) recall conducted since your last verification?
  - Can you show the completed Food Recall Risk Assessment form and a copy of the recall notice (if any)?