

2015 WINE SHOW AUDITOR PROCEDURES

AUSTRALIAN SOCIETY
OF VITICULTURE AND
OENOLOGY



1 INTRODUCTION

All national and most regional wine shows have formal audit procedures in their regulations to guarantee the integrity of exhibits and results. The aim of auditing is to discourage any breach of regulations by an exhibitor, whether through carelessness or deceit, and assure other exhibitors, wine trade, press and consumers that high standards are being maintained. However, these procedures vary in the way they operate.

1.1 SELECTION OF AUDITORS

The wine shows should appoint external or internal auditors who meet the following criteria.

- Knowledge of generic wine recording systems.
- Basic understanding of oenology and viticulture.
- Knowledge of relevant Acts.
- Good communication skills, both written and oral.
- Ability to maintain a co-operative, productive, positive attitude.
- Ability to operate largely unsupervised, and exercise a high level of discretion.
- Ability to take a firm approach to auditing.
- Auditors should have no conflict of interest.
- An auditor should not have wine entered in the show they are auditing.
- If an auditor is a consultant, board member, shareholder, etc. of an exhibiting winery, they should not audit those exhibitors.

1.2 SELECTION OF EXHIBITORS TO BE AUDITED

The choice of the exhibitors and entries to be audited will be made by the wine committee in conjunction with the chair of judges. Wine show committees should be aware of potential conflicts of interest if a committee member is also an exhibitor.

If an auditor has a conflict of interest, as an ex-employee or as a consultant to an exhibiting company, this should be declared to the committee of the wine show and the auditor should be prepared to be replaced by another for that audit if the show deems this desirable.

A notice of intention to audit should be made by telephone to a senior winemaker, production manager or other senior manager, outlining the reason for the audit and suggesting a time for the meeting. Auditors may be flexible in the amount of notice they give. The ASVO believes 24 hours' notice is sufficient, although notice has been as short as 1 hour. The call should request confirmation of the exact location of the facility where the relevant wine and associated records are stored and the person who will meet the auditor.

1.3 AUDIT PROCEDURE

Upon arrival, the auditor should meet with the nominated company representative(s). The most senior person on-site, or their delegate, should also be given the opportunity to be present. The opening meeting should involve:

- Introduction of the auditor (consideration should be given to the ASVO issuing I.D. cards or a similar document)
- A brief discussion of the purpose and scope of the audit
 - Stock (records and physical)
 - LIP issues (to check the veracity of a varietal, regional or vintage claim)
 - Tasting of bulk wines the auditor nominates if the exhibit is unfinished. This only applies to regional and Niche shows where unfinished wines may be exhibited.
 - Collecting of samples for comparative tasting off-site
- Arrangements for the auditor to be escorted around the site (preferably by somebody with knowledge of the records relating to the wines in question)
- Health and safety briefing (hard hats, emergency evacuation procedures etc. if necessary)
- Agreement on a tentative time for the closing meeting

1.4 THE AUDIT

- Do not rely on verbal assurances. Examine and evaluate objective evidence and record the details. For example, record relevant cellar note numbers, the identification numbers and sizes of storage vessels, arrange for printed copies of electronic records, a count of packaged or cleanskin stock.
- Use all the available tools - questioning, listening, observing.
- If you discover problems, communicate them to the company representative immediately. They may merely be the result of a misunderstanding that can be resolved quickly.

1.5 CONDUCT

- Learn as much as possible about the company prior to the audit.
- Control the audit. Sometimes overhelpful people can be hiding something and are merely trying to divert the auditor from a particular line of enquiry.
- Clarify any misinterpretation by the exhibitor of regulations.
- Observe good business practice and ethics.
- Obtain and record objective evidence.
- Do not discuss other matters. Focus on the audit only.
- Do not instruct, but offer guidance where appropriate.

1.5.1 Remember

- Pay attention to body language. Defensive postures should encourage you to delve more deeply into the records.
- Do not stay simply until you find something wrong. Do the job and leave as soon as politeness and practicality allow.

1.6 CLOSING MEETING

- Present an overview of results and deliver a draft copy of the audit report.
- Discuss any adverse findings.
- Outline how and when wine samples collected will be tasted.
- Identify a response date for findings.
- Request advice as to the most appropriate person to whom to direct any future communications.
- Thank the personnel for their co-operation.

1.7 ASVO AUDIT SHEET

ASVO AUDIT RECORD	
Wine show: _____	Date of audit: _____
Class number: _____	Entry no or exhibitor's code: _____
Vol. required for class _____	Vol. declared on entry form _____
Exhibitor: _____	Address of winery or store declared on entry form _____
Contact: _____	_____
Desk audit: (Y/N) <input type="checkbox"/>	Physical audit: (Y/N) <input type="checkbox"/>
Pre or post-show audit? <input type="checkbox"/>	Comments (continue o/l if required) _____ _____ _____ _____ _____ _____ _____ _____ _____ _____
LIP records available*: (Y/N) <input type="checkbox"/>	
Quantity verified: (Y/N) <input type="checkbox"/>	
Region verified: (Y/N) <input type="checkbox"/>	
Variety verified: (Y/N) <input type="checkbox"/>	
Vintage verified: (Y/N) <input type="checkbox"/>	
Stock sighted: (Y/N) <input type="checkbox"/>	
Bottled vol: <input type="checkbox"/>	
Samples taken: (Y/N) <input type="checkbox"/>	
Signed: _____	
* This is for the purpose of the ASVO wine show auditing and is not an AGWA endorsement.	