

**Domestic Origin Verification (DOV)
 AUDIT REPORT**

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|--|--|-------------------------------------|--|------------------------------------|----------|
| Name of Audited Facility: | | Applicant: | | Date of Audit: | |
| Address: (Street, City, Zip) | | | Billing Address: | | DOV ID#: |
| Key Contact for Audit: | | Telephone of Key Contact for Audit: | | Components or Products: | |
| Type of Audit | <input type="checkbox"/> Pre-validation Assessment | <input type="checkbox"/> Validation | <input type="checkbox"/> Verification | <input type="checkbox"/> Follow-up | |
| Audit Scope | <input type="checkbox"/> All Elements | | <input type="checkbox"/> Specific Elements, Please list: | | |
| Lead Auditor's Name: | | Lead Auditor's Signature: | | Date Sent to Applicant: | |
| Names of Attendees at Closing Meeting: | | | | | |

Please prepare a Corrective Action Response for each Finding and submit it to: DOVS.fv@usda.gov

*DOV Coordinator
 USDA, AMS F&V
 409 North Street
 Seneca, KS 66538
 Fax: (785) 336-0238*

Corrective Action Response (CAR) Due Date:

| CAR Number | Program Criteria Number | *NC, MNC, or OI | Findings |
|------------|-------------------------|-----------------|----------|
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- **NC is a Minor Non-conformance.** It does not compromise the integrity of the program or product. A NC that is not corrected or addressed in a timely manner may be upgraded to a Major Non-conformance.
- **MNC is a Major Non-conformance.** It compromises the integrity of the program or product to the extent that program approval should be denied, revoked, or delayed until effective corrective action can be completed.
- **OI is an observation or Opportunity for Improvement.** It is not a Non-conformance but has the potential to become a Non-conformance if not corrected or addressed.

Domestic Origin Verification (DOV)
AUDIT REPORT DETAILS

| Program approval may be denied or delayed (Pre-validation Assessment and Validation audit) or may be revoked (Verification and Follow-up Audits) if any criteria is answered "No." | | | |
|---|---|---------------------|------------------------|
| Program Criteria Number | Program Criteria | Yes, No, N/A | Auditor's Notes |
| 1.0 | General Requirements | | |
| 1.0 | Is the applicant's DOV process established, documented, implemented, and maintained? | | |
| 1.0 | Is there a designated person(s) who has defined authority for ensuring that the domestic origin verification system is established, implemented, and maintained? | | |
| 1.0 | Is the applicant's DOV program and procedures organized in a method to provide easy access for reference and auditing? | | |
| 2.0 | Requirements for Receiving or Purchasing Components or Products | | |
| 2.0.a | If applicable, does the applicant have a verifiable written procedure it follows addressing receiving or purchasing domestic origin components or products from growers? | | |
| 2.0.a.1 | Is the domestic origin requirement communicated to the growers by some means? | | |
| 2.0.a.2 | Is there a list of growers with evidence they are domestic growers? | | |
| 2.0.b | If applicable, does the applicant have a verifiable written procedure it follows addressing receiving or purchasing domestic origin components or products from suppliers? | | |
| 2.0.b.1 | Is the domestic origin requirement communicated to the suppliers by some means? | | |
| 2.0.b.2 | Is there a list of suppliers? | | |
| 3.0 | Identification and Verification Method | | |
| 3.1 | Identification | | |
| 3.1 | Does the applicant have a verifiable written procedure it follows for explaining the end item identification (code or positive lot identification) for each component or product listed on its DOV Application for Service? | | |

| Program Criteria Number | Program Criteria | Yes, No, N/A | Auditor's Notes |
|--------------------------------|---|---------------------|------------------------|
| 3.2 | Verification Method | | |
| 3.2 | Does the applicant have a verifiable written procedure for the method used to document that the end item component or product is of domestic origin? | | |
| 3.2 | If so, when an end item code is requested for trace-back, does the applicant use the documents included in the procedure described in 3.2 and do the documents verify domestic origin? | | |
| 3.2.a | If applicable, does the verifiable written procedure include how the applicant ensures the components not obtained directly from growers maintain their domestic origin integrity through the intermediary facilities or stages of receipt? | | |
| 3.2.b | If applicable, does the verifiable written procedure include how the applicant ensures the components or products maintain domestic origin integrity prior to receipt by the applicant when received from suppliers? | | |
| 4.0 | Monitoring the Domestic Origin Verification Process | | |
| 4.1 | Verification Activity | | |
| 4.1 | At least once a year, has the applicant verified the method described in Section 3.2 for each product and does it have that verification on file? Also, if a non-conformance was found by the applicant, was it corrected and documented? | | |
| 4.2 | Segregating and Preventing the Use of Components or Products Not Intended for Customers Requiring Domestic | | |
| 4.2.a | If applicable, does the applicant have a verifiable written procedure it follows addressing the process for preventing the use of non-domestic components or products, similar to that delivered to the USDA, that are not intended for USDA? | | |
| 4.2.a.1 | Does the procedure include positive identification from receipt, through processing, packaging, storage and shipment to show a clear distinction between the domestic components or products intended for USDA and the non-domestic that are not intended for USDA? | | |
| 4.2.a.2 | Does the procedure include release authority? | | |
| 4.2.a.3 | If necessary, does the procedure include physical separation? | | |

| Program Criteria Number | Program Criteria | Yes, No, N/A | Auditor's Notes |
|-------------------------|---|--------------|-----------------|
| 4.2.b | If applicable, does the applicant have a verifiable written procedure it follows addressing the process for preventing the use of components or products that are "not established" as domestic and are not intended for USDA. | | |
| 4.2.b.1 | Does the procedure include positive identification from receipt, through processing, packaging, storage and shipment to show a clear distinction between the domestic components or products intended for USDA and the components "not established" as domestic? | | |
| 4.2.b.2 | Does the procedure include release authority? | | |
| 4.2.b.3 | If necessary, does the procedure include physical separation? | | |
| 4.3 | Controlling Non-conforming Components or Products | | |
| 4.3 | Does the applicant have a verifiable written procedure it follows to control non-conforming components or products? | | |
| 4.3 | Does it include notification of the DOV Coordinator when a non-conformance is found and it results in a necessary change in its DOV procedures, a change in its domestic origin status, or a change in the components or products noted in the Application for Service? | | |
| 5.0 | Corrective Action | | |
| 5.0 | Does the applicant maintain corrective action records? | | |