

Module 6

Module 6-Submitting Retail Review Workbook (Step 5)

COOL Retail Reviewer Training Course



Preparing the Retail Review Workbook

- Enter all retailer contact information and noncompliance codes findings.

	Agricultural Marketing Service	Food Disclosure and Labeling Division	1400 Independence Avenue, SW. Room 2614-S, STOP 0216 Washington, DC 20250-0216	Spell Check	Checklist
Country of Origin Labeling (COOL) Follow-up Retail Surveillance Review					
Review Number	WI 17 F7920B	Reviewer's Name	John Smith		
Date Reviewed	4/11/2017	Reviewer's Email	john.smith@state.gov		
Store Name	Gordys ABC Market	Reviewer's Phone Number	(715) 000-0000		
Store ID Number	123	Store Representative	Michael Clark		
Physical Address	987 Downtown Street	Responsible Authority's Name	Ms. Renee	Clark	
City, State ZIP	Eagle River, Wisconsin 54521	Responsible Authority's Position	Store Owner		
Store Phone Number	(715) 000-0001	Responsible Authority's Email	renee.clark@fake.store.com		
Corporate Contact Email	Gordys-ABCStore@fake.store.com	Findings Identified?	Yes		

Number of Items Reviewed	117	Fruits		Not sold in store
Non-Complying Item(s)		NC Codes	Notes	
1	Fuji Apples, sold in bulk	1		
2	Cantaloupes, sold in bulk	2		Less than half of the items have PLU stickers with country of origin. Retailer did not have any other signs with origin information.
3	Bosc Pears, sold in bulk	3		Store sign states USA; however, PLU sticker states Argentina.
4	Fresh Cut Cantaloupe, pre-packaged	5		Packaged stated product of USA MX.
5	Kiwano Bananas	13	14	Bill of lading did not include the supplier city and state. Store sign states USA; however, BOL states Honduras.
6				
7				



Interview Questions Initial Review Workbook

- For Initial Review Workbook, enter responses to interview questions.

Interview Questions to Assess Retailer Compliance with Recordkeeping Requirements
Q1: What types of records used in the normal course of business are received from suppliers that you rely on to create your own labels, such as signs, placards, and scale printers? Invoices, Bill of Lading, Master Containers, and Purchase Orders
Q2: Where are records maintained? Records are maintained at the retail store for 30 days before they are transferred to our corporate office located in Kansas City, MO.
Q3: How long are records maintained? The records are stored by the corporate office in electronic form for 3 years.
Q4 : As the responsible store authority, please briefly explain your knowledge of COOL requirements and your systems to ensure compliance. Generally, our corporate office provides COOL training once a year and they provide the procedures that we have to follow. Our employees reference the procedures any time they have questions.
Q5: Would you be interested in receiving additional outreach materials and guidance from USDA's COOL program to assist your staff and consumers? Yes



Preparing the Retail Review Workbook Follow-up Review Workbook

- For Follow-up Review Workbook, complete all recordkeeping information for all 6 commodity items. Also, include a brief summary in the comments section of the workbook that details if the retailer has made any improvements based on last year's findings.

Recordkeeping		
Item Description (Store Label):	Dong Kong Chicken	Actual Group Reviewed:
Country of Origin (Store Label):	USA	M-Chicken Muscle Cuts
Item Description (Store Record):	Dong Kong Whole Chicken	Were records provided?
Country of Origin (Store Record):	Not provided on records	YES
Record Reviewed	Record Transaction ID / Record Details	
Invoice	Invoice #35222; Invoice Date 4/05/2017; item #756	
Master Container Label	Lot #65425; Sell by 6/1/2017; item #756; Est. 9898	
Supplier Information (Pre-labeled Package):	Master Container: ABC Chicken Harvester, 111 Telegraph Road, Los Angeles, CA 90605	
Retailer's Immediate Previous Supplier Information (Store Record):	Invoice: Gordy's ABC Market Supplier #1, Eagle River, Wisconsin 54521, phone (222) 333-4444	

Comments:	During the opening meeting, I met with Michael Clark the store manager. I explain this was a follow-up review because last year's findings identified critical nonconformances. Mr. Clark stated he recently was hired and was not fully aware of COOL requirements. Last year the store had findings in the fruit and vegetable areas only but now they have findings in all 6 commodity sections.
-----------	---



Organize Picture File Follow-up Review Workbook

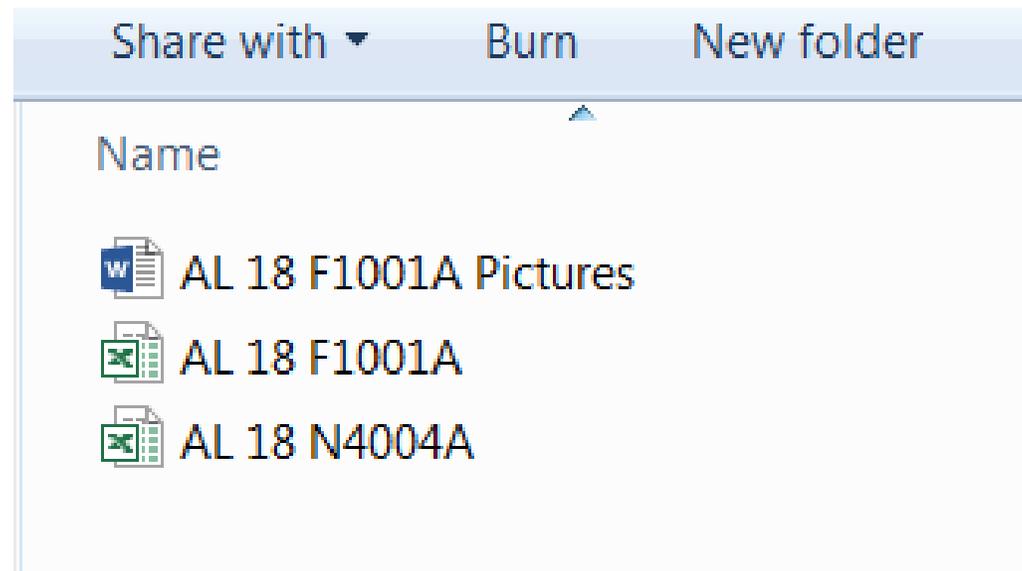
- For Follow-up Review Workbook, combine all pictures obtained during Follow-up reviews into one Word or PDF document (i.e., store front, noncomplying items, and recordkeeping items).
- Do not include more than 4 pictures per page.
- Pictures must be organized in the order they are listed in the workbook.





Preparing the Retail Review Workbook

- Save Excel workbook and picture file using the proper File Name (e.g., AL 18 N4004A; AL 18 F1001A; AL 18 F1001-Pictures).





Cloud Vault Hyperlinks

- State Manager will receive an email that contains 2 hyperlinks.
 - First hyperlink will include the previous year's workbooks. These workbooks must be reviewed prior to conducting the fiscal year follow-up review. Reviewer must be familiar with previous year's findings to identify if retailer has improved or worsen.
 - Second hyperlink will be used to submit the initial and follow-up workbook completed for the current fiscal year. Please be aware this folder may include workbooks submitted by other states in your designated region. The workbooks submitted will be removed by the FDL Division on a daily basis.



Access Cloud Vault

To access folder:

- Click on the “View it!” hyperlink, OR
- Right click > Copy Hyperlink > Paste in IE, Google Chrome, Safari, or Firefox.

Example:

South East (Vickie Felder) Region - [View it!](#)



Cloud Vault Hyperlink Caution

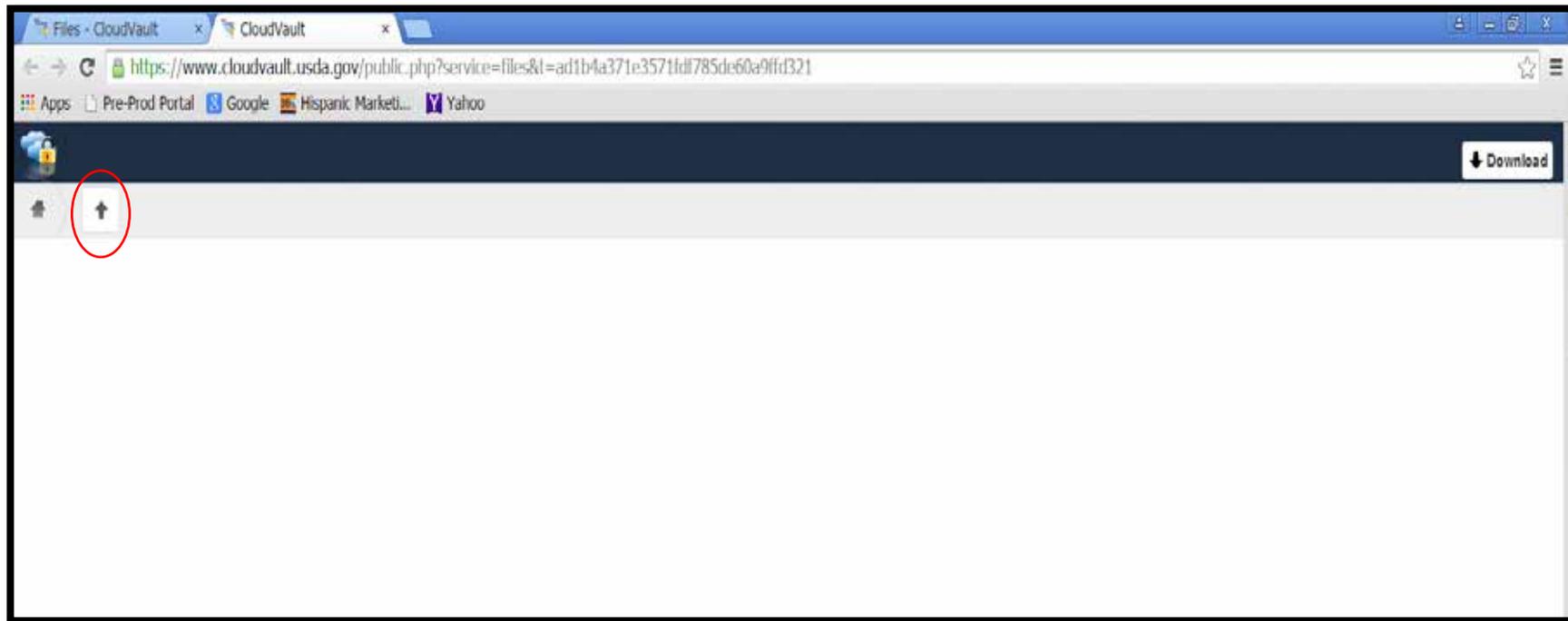
Caution:

When using Cloud Vault you may have limited access using Internet Explorer (IE); however, you can use Google Chrome, Safari, or Firefox.



Upload Workbook and Pictures

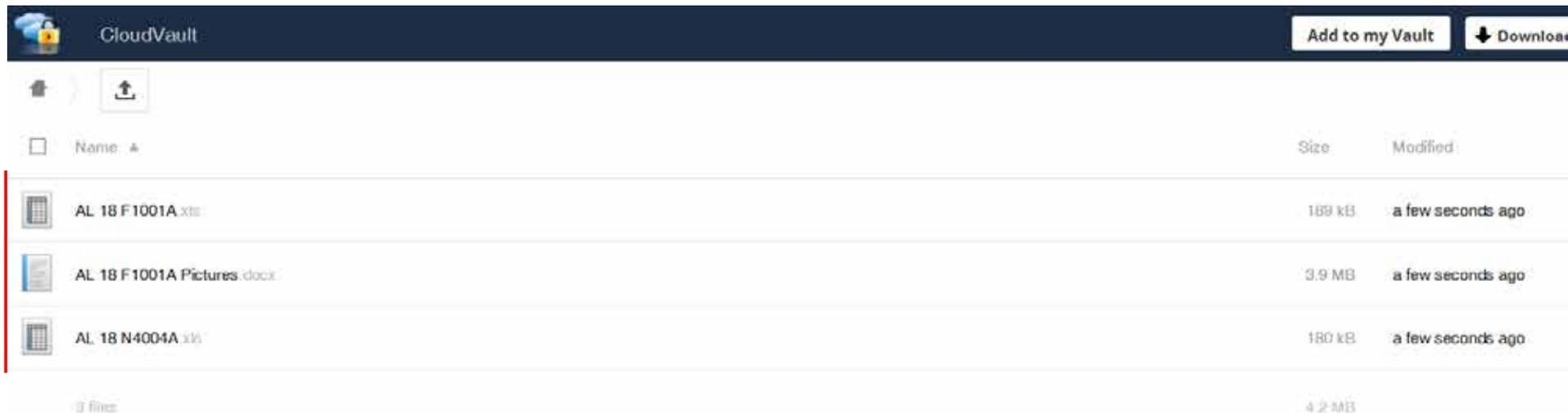
- Click on arrow (↑)





Upload Workbook and Pictures (cont.)

- Select workbook and picture file from your computer. **Note:** You can also drag and drop!
- Workbook will appear on Cloud Vault. You can open files by clicking on the file name.





Cloud Vault

Do not attempt to remove, modify, or open a retail review workbook submitted by anyone other than yourself.



Way to Go!

Once workbook and pictures (when applicable) are submitted in Cloud Vault, USDA will remove them from Cloud Vault and begin evaluating the information received.

Don't Forget: Reviewer must submit Excel Workbook containing all findings to USDA within 14 calendar days from the date the review was conducted at retail.

Recommendation: Maintain your retail review notes for a period of time just in case you need to reference the data collected.





Thank you for completing
Module 6!