

Module 2

Preparing for the Retail Review (Step 1)

COOL Retail Reviewer Training Course



Lesson Objectives

At the end of the lesson, you will be able to:

- Identify the differences between an initial and follow-up review.
- Identify resources to assist you with the retail review.
- Prepare for the retail review.



Available Resources

- All training materials will be posted to the Resource page located in ProProfs. You will be able to download the following:
 - Modules 1-7 Power Point Presentations and Lesson Plans.
 - Initial and Follow-up Retail Surveillance Review Procedures.
 - Initial and Follow-up Retail Surveillance Review Workbook.
 - Records Request Form.
 - NC Code and Records Gathering Card.



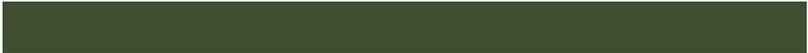
Retail Review Assignment

- Reviewer will receive the list of retail stores from their designated COOL State Manager. The retail review assignment will include the following:
 - Retail Review File Name;
 - Previous Year's File Name (follow-up reviews only);
 - Six (6) recordkeeping assignment letters (follow-up reviews only);
 - Store Name;
 - Store Physical Address; and,
 - Store Phone Number (if available).



Retail Review Workbook

- Initial and follow-up retail review workbooks are available under the forms section of the COOL website:
- <https://www.ams.usda.gov/rules-regulations/cool/forms>



[COOL Forms](https://www.ams.usda.gov/rules-regulations/cool/forms)



Verify Retailer is Open for Business

- Prior to traveling to the retail store location, the **reviewer must call the store to verify it is open for business.**
- This process ensures FDLF funds are appropriately used for conducting retail reviews.
- If you call and find the store is closed, do **not** visit the store. Instead, contact your State Manager and FDLF Agricultural Marketing Specialist to let them know. FDLF will assign a replacement review.
*****FDLF will not reimburse States for retail reviews when the retail store is closed and the reviewer did not call the retailer prior to traveling to the location.*****



Retail Review File Name

- The retail review file name will help let you know if the review is an initial or follow-up review.
- The file name includes 5 characteristics. File name CA 18 N2633A:
 - **CA** – Describes the state abbreviations where the retailer is located.
 - **18** – Describes the fiscal year of the review.
 - **N** – Identifies the type of review that must be conducted for that retailer. “N” signifies an initial retail surveillance review. “F” signifies a follow-up retail surveillance review.
 - **2633** – This is a unique identifier assigned by FDLA.
 - **A** – Describes the series of reviews assigned to the States.

Retail Review Workbook



Workbook Overview

- Both the initial and follow-up workbook (Excel) contain two tabs:
 - **Information Form** – includes summary of regulatory requirements and possible findings.
 - **Checklist** – includes findings (and recordkeeping for follow-up reviews).



Workbook Overview – Checklist Tab

- Initial review checklist



- Follow-up review checklist



- **Information entered in the checklist tab will automatically populate into the information form.**

Initial and Follow-up Retail Review Checklist



Initial Retail Review Workbook

The initial retail review checklist contains:

- 6 commodity category sections where you will list non-compliance findings.
- 5 interview questions to evaluate retailer compliance with recordkeeping requirements.

USDA Agricultural Marketing Service		Food Disclosure and Labeling Division		1400 Independence Avenue, SW. Room 2614-S, STOP 0216 Washington, DC 20250-0216		Checklist
Country of Origin Labeling (COOL) Initial Retail Surveillance Review						
Review Number	DC 17 N2345A	Reviewer's Name	Frank Smith			
Date Reviewed	4/11/2017	Reviewer's Email	frank.smith@state.gov			
Store Name	Bob's Supermarket	Reviewer's Phone Number	(202) 567-0987			
Store ID Number	1234	Store Representative	David Jones			
Physical Address	123 Main Street	Responsible Authority's Name	Mr. Bob	Jones		
City, State ZIP	Washington, D.C. 20005	Responsible Authority's Position	Store Manager			
Store Phone Number	(202) 324-4030	Responsible Authority's Email	bobjones3@bobsupermarket.com			
Corporate Contact Email	bigbobsupermarket@many.com	Findings Identified?	Yes			

This review is conducted in accordance with the requirements contained in the Mandatory Country of Origin Labeling Final Rule

Title 7



Follow-up Retail Review Workbook

The follow-up retail review checklist contains:

- 6 commodity category sections where you will list non-compliance findings.
- 6 recordkeeping sections where you will list complete record information. This allows FDLD to conduct a supplier traceback audit that will verify the accuracy of the label.

Retail Review Preparation



Retail Review Preparation

- When preparing to conduct a retail surveillance review, Reviewer must:
 - Call the store, verify it is open for business.
 - Identify the type of workbook needed (initial or follow-up retail review).
- Follow-up retail reviews:
 - Obtain a copy of the previous year's workbook and non-compliance findings.
 - Verify if all previous non-compliance findings have been corrected during the review.



Retail Review Preparation

- When preparing to conduct a retail surveillance review, Reviewer must:
 - Enter the retailer information and file name on the checklist tab in the Retail Review Assignment section.
 - Save and print a copy of the retail review workbook.
 - Travel to the retail store location and conduct the review.



Prior to Travel

It is important to verify that you have:

- One copy of the information form; and,
- Two copies of the checklist (one will be provided to the store at the conclusion of the review).



Thank you for completing
Module 2!