

Module 6

Submitting the Retail Review Workbook (Step 5)

COOL Retail Reviewer Training Course



Lesson Objectives

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

- Understand the information necessary to complete a retail review workbook.
- See what information should be entered into the records portion for a follow-up review and comments that are necessary.
- Understand how to upload the completed retail review workbook and picture files for a follow-up retail review in Cloud Vault.



Preparing the Retail Review Workbook

- Enter all retailer contact information.
- You must obtain a valid email address.

| | | | | | |
|---|--|---------------------------------------|--|-------------|-----------|
| | 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 | | |



Preparing the Retail Review Workbook

- Enter all information for number of items reviewed, non-complying items, the correct noncompliance code(s), and any notes describing the item.

| 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 Retail Reviews

- For initial retail reviews, enter responses to the 5 interview questions:
 - 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?
 - Q2 – Where are records maintained?
 - Q3 – How long are records maintained?
 - Q4 – As the responsible store authority, please briefly explain your knowledge of COOL requirements and your systems to ensure compliance.
 - Q5 – Would you be interested in receiving additional outreach materials and guidance from the Food Disclosure and Labeling Division (FDLD) to assist your staff and consumers?



Follow-up Retail Review Workbook

- For follow-up retail reviews, complete all recordkeeping information for all 6 commodity items. Detailed recordkeeping information is required including the type of record, item description, date of shipment, and immediate previous supplier(s), etc.

| 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 | |



Follow-up Retail Review Workbook

- For follow-up retail reviews, include a brief summary in the comments section that details if the retailer has made any improvements based on the non-compliance findings in the previous year's review.

| | |
|------------------|---|
| 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. |
|------------------|---|



Follow-up Reviews: Pictures

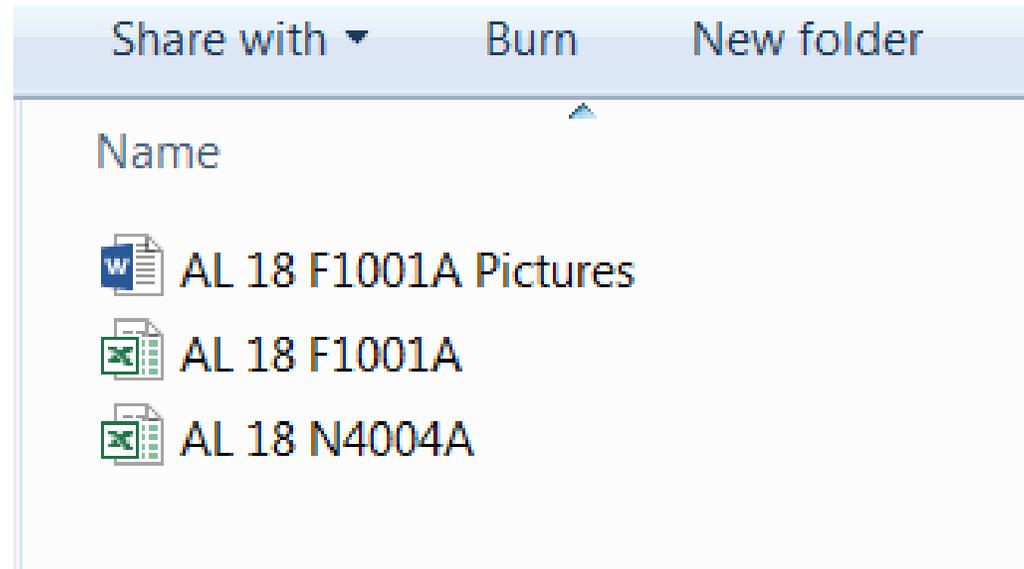
- For follow-up retail reviews, combine all pictures obtained into one word or PDF document (i.e., store front, noncomplying items, and recordkeeping items).
- Do not include more than 4 pictures per page.
- Pictures must be organized in the order they are listed in the workbook.





Preparing the Retail Review Workbook

- Save the retail review excel workbook and picture file using the proper file naming format (e.g., AL 18 N4004A; AL 18 F1001A; AL 18 F1001-Pictures).





Cloud Vault Hyperlinks

- Each State Manager will receive an email that contains 2 hyperlinks.
 - The **first** hyperlink will include the previous year's workbooks. These workbooks must be reviewed prior to conducting the assigned follow-up retail reviews. The reviewer must be familiar with previous year's findings to identify if retailer has corrected those non-compliances and implemented corrective actions.
 - The **second** hyperlink will be used to submit the initial and follow-up workbooks after they are completed for the current fiscal year. Please be aware this folder may include workbooks submitted by other states in your designated region. FDLA reviews every submitted workbook and will remove the workbook when it is ready for FDLA review.



Access Cloud Vault

To access the folder:

- Click on the “View it!” hyperlink next to your region’s name, or
- Right click > Copy Hyperlink > Paste into Internet Explorer, Google Chrome, Safari, or Firefox.

Example:

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



Preferred Browser for Cloud Vault

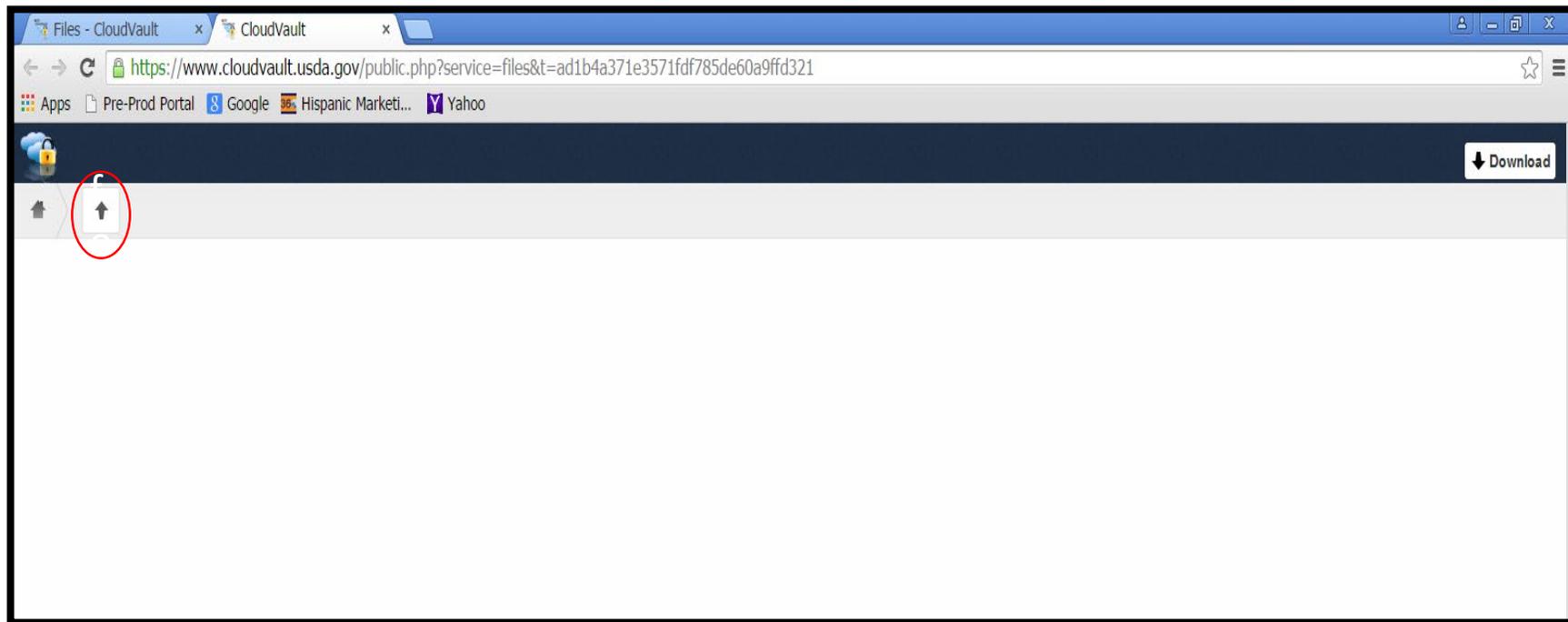
Caution:

- When using Cloud Vault you may have limited access using Internet Explorer.
- You can use Google Chrome, Safari, or Firefox.



Upload Workbook and Pictures

- In your region file folder, click on up arrow (↑).





Upload Workbook and Pictures (cont.)

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

The screenshot shows the CloudVault interface. At the top, there is a dark blue header with the CloudVault logo, a home icon, and two buttons: "Add to my Vault" and "Download". Below the header, there is a navigation bar with a home icon and an upload icon. The main content area displays a list of files with columns for Name, Size, and Modified. A red box highlights the following files:

| Name | Size | Modified |
|----------------------------|--------|-------------------|
| AL 18 F1001A.xls | 189 kB | a few seconds ago |
| AL 18 F1001A Pictures.docx | 3.9 MB | a few seconds ago |
| AL 18 N4004A.xls | 180 kB | a few seconds ago |

At the bottom of the list, it says "3 files" and "4.2 MB".



Cloud Vault

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



Retail Review Submission Complete

- **Don't Forget:** Each reviewer must submit the completed retail review workbook (and any pictures) to FDLA **within 14 calendar days** from the date the review was conducted.
- Maintain your retail review notes for a period of 1-year. This is useful if FDLA has follow-up questions about the review.





Thank you for completing
Module 6!