


USDA Agricultural Marketing Service

New Reviewer Training Day 2



Retail Review Procedures

Day 2 – Training Overview

- Cooperative Agreement
- Retail Review Assignments
- Non-Compliance Codes
- 3-Step Retail Review Process

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Cooperative Agreement

- Cooperative Agreement = Contract
- USDA has cooperative agreements with state agencies to gather COOL compliance data
- Established in April 2011
- Amended in February 2014
- Expire in April 2016

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Cooperative Agreement

USDA will:

- Supervise enforcement activities
- Provide regulatory and retail review training
- Reimburse travel expenses for state employees to attend required training
- Specify the locations to conduct retail reviews
- Reimburse the state agency for each retail review completed, contingent upon submission of properly completed documentation
- Reserve the right to make further investigations within the state



Cooperative Agreement

The State Agency will:

- Designate a COOL Program Manager to:
 - Serve as the primary point of contact
 - Maintain and delegate retail review assignments
 - Ensure state reviewers are properly trained
 - Circulate COOL program updates to reviewers
 - Be responsible for the reviewer's activities
- Submit timely reimbursement requests
- Ensure that reviews are promptly submitted to USDA within 14 calendar days.



Retail Review Assignment

- Retail store locations are determined by the USDA-COOL Division
- Retail store assignments are distributed to each State Manager
- In 2015, state reviewers will primarily conduct follow-up reviews (FURs)



Retail Review Assignment History

Year	Initial Retail Reviews	Follow Up Retail Reviews
2009	5,000	0
2010	7,741	622
2011	4,005	1,190
2012	3,836	546
2013	2,061	547
2014	3,028	563
2015	--	2,372
Total	25,671	5,840

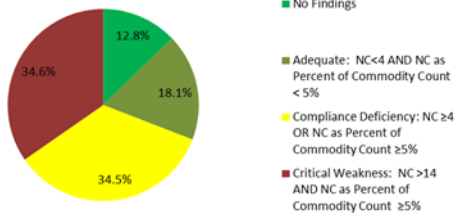


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2014 Retail Review Assignments

Overall 2014 COOL Compliance by Rating



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Non Compliance Code (NC) 1-9



NC Codes

- COOL Reviewers will document non-complying items and their NC code(s) as appropriate.
- Findings of non-compliance are considered unofficial until evaluated by USDA.



NC Codes 1-9

Code	Non-Compliance Findings for Initial Retail Reviews
1	The covered commodity is not identified with the country of origin.
2	The country of origin declaration is not legible and/or is not placed in a conspicuous location.
3	The country of origin declaration is not accurate at the point of sale.
4a	The country of origin is not stated in an acceptable form. The use of "or" and "and/or" and "may contain" is not acceptable.
4b	The country of origin is not stated in an acceptable form. The regional designation or the term, "locally grown" does not provide sufficient origin declaration.
4c	Production steps for meat muscle cuts are not present or not stated in an acceptable form.
5	Abbreviations and variant spellings do not unmistakably indicate the country of origin.
6	The covered commodity is not identified with the method of production.
7	The method of production declaration is not legible or is not placed in a conspicuous location.
8	The method of production declaration is not accurate at the point of sale.
9	The method of production is not stated in an acceptable form.

NC Codes 10-16

Code	Non-Compliance Findings for Initial Retail Reviews
10	Records were not provided within 5 business days.
11	Records do not provide the country of origin information.
12	Records do not provide the method of production information.
13	Records do not provide the Supplier information. (Supplier records are required for all Traceback Items)
14	Records information for country of origin as provided by supplier is not accurately conveyed to point of sale label.
15	Records information for method of production as provided by supplier is not accurately conveyed to point of sale label.
16	Records that identify the chain of custody for the pre-labeled item were not provided within 5 business days.



NC Codes

- Initial reviews are eligible for NC code 1-9 only.
- Follow-up reviews are eligible for NC code 1-16.
- 2015 reviews will include follow-up reviews only.



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NC Code 1 – No Country of Origin

- The retailer did not convey country of origin information to consumers in any manner.

Code	Non-Compliance Findings
1	Covered commodity is not identified with the country of origin.



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NC Code 1 – No Country of Origin

- Some retailers use box to display covered commodities and country of origin. This is acceptable as long as the consumer can easily read and understand the information.
- No country of origin means no origin is visible on the individual package, PLU stickers, store sign, store label, rubber band, etc.



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NC Code 1 –

Grade Standards

- Grade standards do not indicate COOL.
- Grade designations only indicate the product meets the criteria established by the standard.



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NC Code 1 –

Inspection/Organic

- “US Gov’t Inspected” and the USDA Organic Seal do not indicate COOL.
 - Domestic and imported items are inspected by US Government for wholesomeness and may earn USDA Organic seal.



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NC Code 1 – Supplier’s Address

- A supplier’s address does not indicate COOL.
- The packer’s or distributor’s address refers to the company, not the product’s origin.



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NC Code 2 – Not Legible and/or Conspicuous

- Country of origin is present however it is covered, smeared, obstructed, etc.

Code	Non-Compliance Findings
2	The country of origin declaration is not legible and/or is not placed in a conspicuous location.

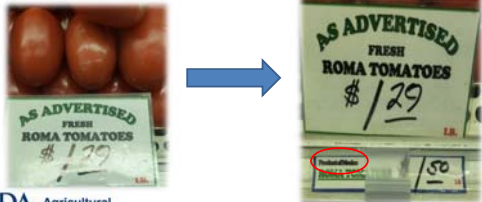


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NC Code 2 - Inconspicuous

- **Example:** Below the retail store advertisement sign is covering country of origin claim.



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NC Code 2 - Inconspicuous

- **Example:** The Organic tape is covering the PLU sticker that contains the country of origin information.



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NC Code 2 – Less than 50%

- In the case where less than 50% of the items in a bulk bin have a country of origin, NC code 2 will apply.



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NC Code 2 – Less than 50%

- **Example:** Below, 1 of the 6 Green Onion bunches has a tag stating “Produce of Mexico.” The other bunches do not have COOL. Therefore, NC2 is recorded for Green Onions. Do not count each individual item; estimates are sufficient.



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NC Code 2 – Additional Examples

- Smeared printing making the country of origin illegible.
- The origin sign is located far away from the item it is referencing or too small to see.



COOL is included in tiny sticker for entire meat display

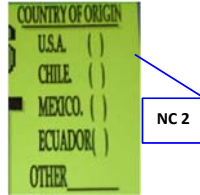


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NC Code 2 – Additional Examples

- NC code 2 applies when checkboxes list the possible country(ies) of origin; however, none of the checkboxes are selected.



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NC Code 3 – Not Accurate

- NC 3 is appropriate when contradictory origin labels are visible to the consumer.

Code	Non-Compliance Findings
3	The country of origin declaration is not accurate at point of sale.



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NC Code 3 – Inaccurate

- Examples of NC code 3 include:
 - Product Tag vs. Store Label – tag states USA but store label states Mexico
 - Product Label vs. Store Banner – label states Peru however store banner states Canada
 - Package Label vs. Store Label – pre-labeled package states Product of Australia however store label states born, raised, harvested USA



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NC Code 3 – Inaccurate

Example: The kale has a product tag stating “Product of USA.” The store sign on the shelf states “Product of Mexico.” The product tag and shelf sign contradict; therefore, this is NC code 3.



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NC Code 3 – Inaccurate

Example



= NC 3



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NC Code 1, 2, & 3

NC Code 1: COOL is not listed.



NC Code 2: Checkbox with absent marking.



NC Code 3: Checkbox with unclear marking.



NC 3



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NC Code 4a, 4b, 4c – Unacceptable Form

➤ Appropriate when the country of origin is not stated in an acceptable form.

Code	Non-Compliance Findings
4a	The country of origin is not stated in an acceptable form. The use of "or" and "and/or" and "may contain" is not acceptable.
4b	The country of origin is not stated in an acceptable form. The regional designation or the term, "locally grown" does not provide sufficient origin declaration.
4c	The country of origin is not stated in an acceptable form. Production steps for meat muscle cuts are not present or not stated in an acceptable form.



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NC Code 4a

➤ Disjunctive ("or," "and/or") and ambiguous ("may contain") COOL statements are not acceptable.



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NC Code 4b

➤ Indistinct localities, continent names, compass points, or regions comprised of more than one country are not acceptable in lieu of the country of origin.

GULF SHRIMP

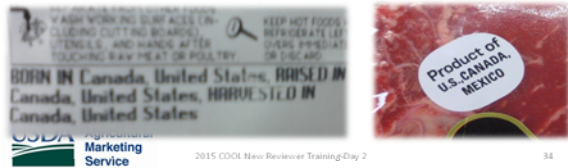


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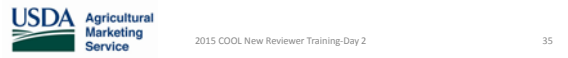
NC Code 4c

- Meat muscle lacking accurate production step information (born, raised, harvested) are cited with NC code 4c.
- *Imported meat do not require production steps.



NC Code 4c

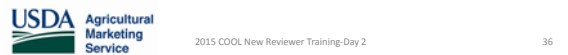
- Some muscle cut meat labels may contain multiple errors (non-distinct region; “or” disjunction; missing production steps).
- In these situations, default to 4c – “Production Steps Are Not Present.”



NC Code 5 – Spelling and Abbreviations

- Improper spelling or abbreviations of the country of origin are not acceptable.

Code	Non-Compliance Findings
5	Abbreviations and variant spellings do not unmistakably indicate the country of origin.



NC Code 5

➤ Example: The images below are examples of unacceptable COOL, and warrant NC code 5:

- Belt Fish sign states "VIET/Wild"
- Lime with sign states "MEX"



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NC Code 6 – Missing MOP

➤ Only Fish and shellfish commodities are required to be labeled with the method of production (MOP).

Code	Non-Compliance Findings
6	Covered commodity is not identified with the method of production.

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NC Code 6 – Missing MOP

- Acceptable MOP include:
 - Wild, Wild-Caught
 - Farm, Farmed, Farm-Raised
- NC code 6 only applies to fish and shellfish
- An NC code 6 may be assigned irrespective of the presence or absence of country of origin.
- The MOP is not required to be near the origin declaration; they may be on opposite sides of the item (common for pre-labeled frozen items).

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NC Code 6 – Missing MOP

Example:

- Basa Filets are missing MOP
- Lake Perch Fillet is missing MOP



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NC Code 7 – MOP Illegible and/or Inconspicuous

➤ MOP is present; however, it is covered, smeared, obstructed, or not indicated on checkbox.

*Applies only to Fish and Shellfish.

Code	Non-Compliance Findings
7	The method of production declaration is not legible and/or is not placed in a conspicuous location.



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NC Code 7 – MOP Illegible and/or Inconspicuous

Example: Both examples show there are checkboxes to indicate the MOP; however, the MOP is not selected.



New Reviewer

NC Code 8 – Inaccurate MOP

➤ Both Farm-Raised and Wild-Caught are declared to the consumer.

*Applies only to Fish and Shellfish.

Code	Non-Compliance Findings
8	The method of production declaration is not accurate at point of sale.



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NC Code 8 – Inaccurate MOP

Example: Store sign below declares both Farm-Raised and Wild as the MOP.



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NC Code 9 – MOP Not in Acceptable Form

➤ MOP is not stated in an acceptable form

➤ MOP is not stated in one of these acceptable forms:

- Wild, Wild-Caught
- Farm, Farmed, Farm-Raised

*Applies only to Fish and Shellfish.

Code	Non-Compliance Findings
9	The method of production is not stated in an acceptable form. (i.e., wild, wild caught, farmed, farm-raised, etc.)



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NC Code 9 – MOP Not Acceptable

Example: Store signs below are examples of unacceptable MOP.



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Multiple NC Codes

- There are instances when multiple NC codes on a single commodity are warranted.
- Multiple codes are NOT to be used for indecision, but rather specific situations when more than 1 Non-compliance is observed.
- Most common: NC1 and NC6 on fish / shellfish items.



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Multiple NC Codes

NC code 3 and NC code 5 apply



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Multiple NC Codes

NC code 2 and NC code 7 apply



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NC Code 10 – No Records within 5 business days

- Records were not provided within 5 business days from the day of the review.
- Day 1 is the day after the review is conducted.

Code	Non-Compliance Findings
10	Records were not provided within 5 business days.



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NC Code 11 – No Country of Origin on Records

- The records provided did not include country of origin.
- The country of origin can be abbreviated on **records only** provided the retailer can accurately decipher it.

Code	Non-Compliance Findings
11	Records do not provide the country of origin information.



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NC Code 12 – No MOP on Records

- The records provided did not include method of production.
- MOP can be abbreviated on **records only** provided the retailer can accurately decipher it.

Code	Non-Compliance Findings
12	Records do not provide the method of production information.



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NC Code 13 – No Supplier Information on Records

- Multiple records can be provided to show the supplier's information.
- The required supplier information includes name and address (city/state).

Code	Non-Compliance Findings
13	Records do not provide the Supplier information. (Supplier records are required for all Traceback Items)



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NC Code 14 – Record's COO

- Example: Master container states Brazil as the country of origin; however, store sign states product of Peru.

Code	Non-Compliance Findings
14	Records information for country of origin as provided by supplier is not accurately conveyed to point of sale label.



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NC Code 15 – Record’s MOP

➤ Example: Invoice states Farm-Raised as the method of production; however, store sign states Wild-caught.

Code	Non-Compliance Findings
15	Records information for method of production as provided by supplier is not accurately conveyed to point of sale label.



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NC Code 16 – Records for Pre-labeled item

➤ Records identifying the immediate previous source for a pre-labeled item were not provided within 5 business days.

Code	Non-Compliance Findings
16	Records that identify the chain of custody for the pre-labeled item were not provided within 5 business days.



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Activity 5



Identify the COOL Violation

COOL School

Acceptable or NOT?



Acceptable or NOT?



Acceptable or NOT?



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Acceptable or NOT?

*All ██████ Pork, Beef, Lamb, Veal, Chicken and Turkey, both full muscle and fresh ground are Born, Raised and Harvested in the U.S.A.

With the exceptions of:

- **Baby Pork Spareribs – Born, Raised and Harvested in Ireland, London or Denmark
- **Goat Meat - Born, Raised and Harvested in Australia
- **Ducks - Born, Raised and Harvested in Canada



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Activity 6



Thought Provoking Situations and Counting Covered Commodities



Conducting Retail Reviews



3 Step Process

Step 1: Review all guidance documents and prepare the Workbook.

Step 2: Conduct COOL Surveillance Review at the retail establishment.

Step 3: Submit Workbook to USDA COOL Division.



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Step 1: Review and Prepare Workbook

Step 1– Review

Do Your Homework

➤ Review:

- Final Rule, 7 CFR Parts 60 and 65
- Amended Final Rule, effective May 23, 2013
- Meat Muscle Cut Labeling Information Sheet



Step 1– Review

Do Your Homework (continued)

➤ Review :

- COOL Surveillance Review Procedures for Retail Facilities
- NC Codes for Retail Reviews
- COOL Workbook, dated April 10, 2014
- Previous Year’s Workbook



USDA Recommendation

New Reviewers are encouraged to shadow an experienced reviewer at least once.



Step 1 – Download Workbook

- All COOL training materials can be downloaded from the COOL website www.ams.usda.gov/cool



Click here to obtain a copy of the COOL Workbook!



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Step 1 – Workbook Tabs

- Prepare the COOL Workbook
 - The Workbook contains 2 Excel spreadsheets (2 tabs)
 - Information Form
 - Follow-up Review Checklist – Information entered in this tab will automatically populate in the Information Form.



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Step 1 – Workbook

	Agricultural Marketing Service Division	Country of Origin Labeling Division	1400 Independence Avenue, SW. Room 2620-S, STOP 6216 Washington, DC 20250-0216	Spell Check	Checklist
Country of Origin Labeling (COOL) Retail Surveillance Follow up Review Checklist					
Review Number		Reviewer's Name			
Date Reviewed		Reviewer's Email			
Store Name		Reviewer's Phone Number			
Store ID Number		Store Representative			
Physical Address		Responsible Authority's Name			
City, State ZIP		Responsible Authority's Position			
Store Phone Number		Responsible Authority's Email			
Corporate Contact Email		Findings Identified?			



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Step 1 – Prepare Workbook

- The retail store assignment list provides the following:
 - Review Number (i.e., AZ 15 F0245A)
 - Retailer Name, Address, and Phone Number
- Type this information in the top portion of the Workbook.
- Also type your name and contact information.
- Save



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Step 1 – Save Workbook

- Download the Workbook and “Save As” with the file name provided by COOL:
 - State Initials (TX)
 - Fiscal Year (15)
 - Review Number (F9867A)

Example: TX 15 F9867A



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Pre-Assigned Review Number

- Review numbers that start with “N” indicate store location was not reviewed the previous year.
- Review numbers that start with “F” indicate store location was reviewed previously and results warranted another review.




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FY 15 Retail Review Assignment

All Retail Reviews assigned for Fiscal Year 2015 will be Follow-up Reviews!



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Step 1 - Complete

	Agricultural Marketing Service	Country of Origin Labeling Division	1400 Independence Avenue, SW. Room 2620-5, STOP 0216 Washington, DC 20250-0216	Spell Check	Checklist
Country of Origin Labeling (COOL) Retail Surveillance Follow up Review Checklist					
Review Number	UT 15 F2344A	Reviewer's Name	John Doe		
Date Reviewed	8/3/2015	Reviewer's Email	jd@dc.gov		
Store Name	ABC Retailer	Reviewer's Phone Number	(202) 720-8846		
Store ID Number	123	Store Representative			
Physical Address	1 Main Street	Responsible Authority's Name			
City, State ZIP	Salt Lake, Utah 84103	Responsible Authority's Position			
Store Phone Number	(111) 222-3333	Responsible Authority's Email			
Corporate Contact Email		Findings Identified?			



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Step 2:

- Part A:** Opening Meeting
- Part B:** Conduct Review
- Part C:** Recordkeeping
- Part D:** Closing Meeting



Step 2: Part A: Opening Meeting

Part A – Opening Meeting

- Upon arrival at the retail store, the reviewer shall:
 - Introduce themselves as a representative of USDA with an official picture identification.
 - Request a meeting with the store manager, counter manager, or other appropriate official



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Part A – Opening Meeting

- Conduct a short meeting with the responsible authority.
 - Explain the scope and objective of the review.
 - Provide a short summary of what you will be looking for by providing a copy of the **Information Sheet**
 - Also, provide a copy of the **Meat Muscle Cut Labeling Information Sheet.**



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Part A – Opening Meeting

- Advise Responsible Authority:
 - Records for 3 or 5 items will be requested during the retail review.
 - The items selected for records are chosen at random.
 - Records can be maintained at the retail store or in a remote location.
 - If needed retailer has 5 business days to provide records.



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Part A – Opening Meeting

- Advise Responsible Authority:
 - A follow-up review is being conducted because of previous noncompliance's observed. Note: If the retailer failed to respond to the previous findings, inform them they are responsible for responding to the noncompliance letter mailed by USDA.



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Part A – Retailer Handouts

Mandatory Country of Origin Labeling Information Sheet

Meat Muscle Cut Labeling Information Sheet

USDA Agricultural Marketing Service
 Date of Review: 10/23/14
 Reviewer's Name: Jan Owa
 File Name: 11-12-2014
 COOL Website: www.ams.usda.gov/cool
 COOL, Email: COOLhelp@ams.usda.gov

COOL Retail Surveillance Information Form Summary

The 2002 and 2008 Farm Bill amended the Agricultural Marketing Act of 1946 (AMA) to require designated retailers to notify their customers of the country of origin and methods of production (veal or veal raised in applicable of covered commodities. Covered commodities include muscle cuts of beef (including veal), lamb, chicken, goat, and pork; ground beef; ground lamb; ground chicken; ground pork; and ground veal; wild and farm-raised fish and shellfish; perishable agricultural commodities; macadamia nuts; pecans, pineapples, and pineapples. Covered commodities are exempt from COOL requirements if they are an ingredient in processed food items. Retailers determined to be in violation of the Act must be notified of the violation and provided with a 30-day period during which they may take the necessary steps to comply. If non-compliance of the 30-day period is determined, the retailer may still be subject to the Act, but will not be subject to a fine up to \$1,000 per violation.

USDA Agricultural Marketing Service
 What's NEW with COOL?
 Amended Final Rule

On May 24, 2013 the amended 7 CFR Part 60 and 65 Mandatory COOL Final Rule was published. This final rule changes the labeling provisions for muscle cut covered commodities of Beef, Lamb, Goat, and Chicken to provide consumers with more specific information and amends the definition for "retailer" to include any person subject to be licensed as a retailer under the Perishable Agricultural Commodities Act (PACA).

Country of Origin Notification for Muscle Cuts

Under the new final rule, country of origin designation for muscle cut covered commodities are required to include the production steps (i.e., Born, Raised, and Slaughtered) from which the meat is derived. Muscle cut covered commodities produced or packaged before May 24, 2013 are not required to include production steps. The term "country of origin" refers to the allowance provided in the 2008 COOL Regulation for industry to affix one label to two or more origins of meat if the origins are processed on the same production day. The May 2013 final rule removed the allowance for country of origin.



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Warning!

- Do not confront an angry, belligerent or non-cooperative facility representative!!
- If the facility representative refuses to cooperate with the review, contact your state COOL Manager with the information.



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Store Closed

- If the store is closed upon arrival:
 - Take a picture of the front of the store.
 - Submit the workbook with the File Name, Date Reviewed, Store Information, and Reviewer's Information.
 - Select "Store Closed" in the "Finding Identified?" field.
 - In the Comments section, describe store was closed upon arrival.
 - Submit workbook.



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Store Closed

		Country of Origin Labeling Division 1400 Independence Avenue, SW. Room 2620-S, STOP 8216 Washington, DC 20250-0216	Spell Check Checklist February 12, 2014
Country of Origin Labeling (COOL) Retail Surveillance Follow up Review Checklist			
Review Number	AL 14 F3941A	Reviewer's Name	John Doe
Date Reviewed	8/6/2015	Reviewer's Email	John.Doe@ill.com
Store Name	Greer's Food Store	Reviewer's Phone Number	(555) 444-3333
Store ID Number	123	Store Representative	
Physical Address	1 Main Street	Responsible Authority's Name	
City, State ZIP	Coffeeville, Alabama 36524	Responsible Authority's Position	
Store Phone Number	(111) 222-3333	Responsible Authority's Email	
Corporate Contact Email		Findings Identified?	Store Closed



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Retailer Changed Ownership

- If the store changed ownership or name:
 - Take a picture of the front of the store.
 - Ask Responsible Authority the details of the store name change (i.e., When did ownership change?).
 - In the Comments section, record the details provided by the responsible authority.
 - Proceed to conduct the review.



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Part A – Verify Retailer Information

- Ask responsible authority to verify the store name, address, and phone information are correct.
- Request:
 - Store Representative Name
 - Responsible Authority Name
 - Corporate Contact E-mail (if any)
 - Responsible Authority's Store E-mail Address (if any)



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Part A – Answer Questions

- Answer any questions pertaining to the review or the COOL regulation.
- Inform the store representative that they are welcome to accompany you during the review.
- Ask store representative who you should request records from (i.e., meat manager)
- Confirm the time and place for the closing meeting.



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Step 2: Part B: Conduct Review

Part B - Conduct Review

- Review all covered commodity categories
 - Produce Department (fresh and frozen fruits and vegetables; ginseng)
 - Baking Aisle (nuts: raw peanuts, pecans, macadamia nuts)
 - Meat Department (fresh and frozen beef, veal, pork, lamb, goat, chicken)
 - Seafood Department (fresh and frozen fish and shellfish)



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Part B – Conduct Review

- Review all covered commodities in all locations
 - Full-service counters
 - Frozen items display cases
 - Self-service areas, sale counters and promotional displays



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Part B – Recording Findings

➤ Record any findings observed. The more information the better!

- Gala Apples, sold in bulk
- Oranges, 5 lb bags
- Frozen Dole Strawberries, 1.5 lb best by 8/2010
- Previously Frozen Whole Salmon in Fresh Cooler



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Part B – Recording Findings

- Describe the item in the non-complying items(s) column of the workbook.
- Record the applicable NC code(s). Remember, there may be more than one NC code per item.



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Part B – Take a Picture

- When conducting Follow-up Reviews a picture of every non-compliance must be taken.
- Pictures will be submitted with workbook once Follow-up Review is completed.



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Part B – Notes Section

- Further clarification is required for all NC codes except 1 and 6.
- Example:
 - NC code 3: Store label states USA; however, PLU sticker states Peru.
 - NC code 4b: Packaged stated grown in Big Valley Farm.
 - NC code 4c: Fresh meat display sign stated “Product of USA.” No production steps.



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Part B – Checklist

- Enter all non-compliance information into the Workbook on the Checklist tab in the appropriate commodity sections.
- Be sure to be descriptive as you are our “eyes and ears”.



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Part B – Checklist

- If no commodities were present in a given section, apply an X in the “Not sold in store” field.

Number of Items Reviewed		Nuts & Ginseng		Not sold in store
Non-Complying Item(s)		NC Codes	Notes	
1				
2				
3				
4				
5				
6				
7				



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Part B – Checklist

- Enter Number of Items Reviewed. This is the total number of commodities reviewed for the section.
 - Example: Retail store sold Gala apples, Fiji apples, Granny Smith apples, and Red Delicious apples in the fruit section. A total of 4 items reviewed will be recorded in the fruits section.

Number of Items Reviewed		Fruits		Not sold in store
4		Non-Complying Item(s)	NC Codes	Notes
1	Gala Apples		1	
2				
3				
4				



100

Part B – Checklist

- Capitalize 1st letter of item's name.
- Select correct NC code(s).
- Provide notes describing the NC(s).

Number of Items Reviewed		Vegetables		Not sold in store
50		Non-Complying Item(s)	NC Codes	Notes
1	Jalapeno Peppers		3	Store sign states Mexico, however, PLU sticker states USA.
2				
3				
4				
5				
6				
7				



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Part B – Checklist

- Use proper spelling, grammar, and punctuation.
- Include as much information as possible (brand name, pack size, etc.) so the retailer knows which items to address.
- If you need additional space use the Additional Item page.

Additional Items			
	Non-Complying Item(s)	NC Codes	Notes
1			
2			
3			
4			
5			

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Part B – Numerous Items

- There are instances when so many items are found to be non-compliant, it is not necessary to list each one.
- Record in appropriate commodity section.
- Group items with different NC codes separately.

Number of Items Reviewed	100	Fruits	Not sold in store
Non-Complying Item(s)	NC Codes	Notes	
1 12 Fresh Fruit sold in bulk	1		
2 14 Fresh Fruit sold in bulk	5	Various countries of origin were abbreviated.	
3			
4			
5			

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Step 2: Part C: Recordkeeping

Part C – Requesting Records

Regulatory Requirements (7 CFR §65.500):

- Retailers are required to maintain records used in the normal course of business that verify a country of origin claim.
- Records may be maintained in any location and in any format.
- Records are used to identify the covered commodity, the retailer's immediate previous supplier and the country of origin (and method of production in the case of fish and shellfish).
- Records are required to be maintained for a period of one year from the date the origin declaration is made at retail.



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Part C – Requesting Records

- Follow-Up Review assignment distributed to the state managers will indicate the commodity categories assigned for records review.
- The number of recordkeeping items assigned depends on the store's past compliance:
 - 5 recordkeeping items are assigned for stores earning "Critical Weakness" rating.
 - 3 recordkeeping items are assigned for stores earning "Compliance Deficient" rating.



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Part C – Requesting Records

A	Fresh Fruits
B	Frozen Fruits
C	Peanuts
D	Pecans
E	Macadamia Nuts
F	Ginseng
G	Fresh Vegetables
H	Frozen Vegetables
I	Fresh Fish
J	Frozen Fish
K	Fresh Shellfish
L	Frozen Shellfish
M	Beef Muscle Cuts
N	Ground Beef
O	Veal Muscle Cuts or Ground Veal
P	Pork Muscle Cuts
Q	Ground Pork
R	Chicken Muscle Cuts
S	Ground Chicken
T	Goat Muscle Cuts or Ground Goat
U	Lamb/Mutton Muscle Cuts or Ground Lamb

- Select an item for records review using the categories assigned.
 - Example: If category P (Pork Muscle Cut) is assigned, you could choose a package of pork chops.



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Part C – Requesting Records

A	Fresh Fruits
B	Frozen Fruits
C	Peanuts
D	Pecans
E	Macadamia Nuts
F	Ginseng
G	Fresh Vegetables
H	Frozen Vegetables
I	Fresh Fish
J	Frozen Fish
K	Fresh Shellfish
L	Frozen Shellfish
M	Beef Muscle Cuts
N	Ground Beef
O	Veal Muscle Cuts or Ground Veal
P	Pork Muscle Cuts
Q	Ground Pork
R	Chicken Muscle Cuts
S	Ground Chicken
T	Goat Muscle Cuts or Ground Goat
U	Lamb/Mutton Muscle Cuts or Ground Lamb

- If no items are sold within the assigned category, then:
 - Go to the next category within the same color group.
 - Example: If category P was assigned but the store doesn't sell any pork muscle cuts, then stay within the pink group and choose a Ground Pork item (Q).



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Part C – Requesting Records

A	Fresh Fruits
B	Frozen Fruits
C	Peanuts
D	Pecans
E	Macadamia Nuts
F	Ginseng
G	Fresh Vegetables
H	Frozen Vegetables
I	Fresh Fish
J	Frozen Fish
K	Fresh Shellfish
L	Frozen Shellfish
M	Beef Muscle Cuts
N	Ground Beef
O	Veal Muscle Cuts or Ground Veal
P	Pork Muscle Cuts
Q	Ground Pork
R	Chicken Muscle Cuts
S	Ground Chicken
T	Goat Muscle Cuts or Ground Goat
U	Lamb/Walton Muscle Cuts or Ground Lamb

- If no items are sold within the color category, then:
 - Go to the top of the entire chart and select an item in the first unassigned color section.
 - Example: If category P and Q were not sold in store, then go to the top. If fruits weren't already assigned, select a Fresh Fruit (A).



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Part C – Requesting Records

- Do not cite retailers for what you casually saw in the freezer while walking by a master container.
- A covered commodity must always be chosen as a record item unless no items within that color group or any other groups are sold at retail.



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Part C: Definition: Pre-Labeled

- A covered commodity that has the commodity's country of origin and method of production (fish and shellfish) and the name and place of business (city and state) of the manufacturer, packer, or distributor...
 - On the covered commodity itself,
 - On the package in which it is sold to the consumer, or
 - On the master shipping container.



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Part C: Pre-labeled Item – Requesting Records

- For Pre-labeled items, retailers must provide:
 - A record that verifies the retailer’s immediate previous supplier (name, city and state).
- The record is not required to have the country of origin or method of production because that is printed on the pre-labeled item.



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Part C: Non Pre-Labeled Item – Requesting Records

- For items that are NOT Pre-labeled, retailer must provide:
 - A record that verifies the country of origin, method of production (if applicable) AND retailer’s immediate previous supplier (name, city and state).
- Various records may be provided to verify country of origin, method of production and immediate previous supplier.



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Part C – Actual Group Reviewed

- Select Actual Group Reviewed by using the drop down field.

Recordkeeping			
Group Assigned	Actual Group Reviewed	G-Grocery	
Item Description (Store Label)	Item Desc	Fruit	
Country of Origin (Store Label)	Country of Origin (Store Record)	USA	
Record Reviewed	Other	Record Transaction ID / Record Details	
IPS Supplier Name		Records	
IPS Supplier Address		Date Due	
Additional Supplier Information			



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Part C – Item Description

- Enter Item Description and Country of Origin located on store label.
- Enter Item Description and Country of Origin located on record provided.

Recordkeeping		
Group Assigned	Actual Group Reviewed	C-Peanuts
Item Description (Store Label)	Item Description (Store Record)	
Raw Spanish Peanuts	Raw Spanish Peanuts in bulk fresh	
Country of Origin (Store Label)	Country of Origin (Store Record)	
USA	Georgia, USA	
Record Reviewed	Other	Record Transaction ID / Record Details
USDA Supplier Name		Records
USDA Supplier Address		
Additional Supplier Information		Date Due:

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Part C – Records Reviewed

- Select Record Reviewed by using the drop down field.
- Workbook will allow you to enter information for up to 3 records.

Recordkeeping		
Group Assigned	Actual Group Reviewed	C-Peanuts
Item Description (Store Label)	Item Description (Store Record)	
Raw Spanish Peanuts	Raw Spanish Peanuts in bulk fresh	
Country of Origin (Store Label)	Country of Origin (Store Record)	
USA	Georgia, USA	
Record Reviewed	Other	Record Transaction ID / Record Details
Master Container Label	Best buy date 1-1-2016, Lot #1234, Packed by P-Nut Company Atlanta, Georgia	
Invoice	Invoice # 987, Invoice Date: 8/1/2015	
USDA Supplier Name		Records
USDA Supplier Address		
Additional Supplier Information		Date Due:

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Part C – Record Transaction ID

- For the Record Transaction ID enter all pertinent tracking information such as invoice number, UPC, PLU, establishment number, lot number, batch number, product number, package size, PO number, etc.
- Describe dates taken from records: order date, delivery date, invoice date, packed date, best if used by date, etc.



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Part C – Immediate Previous Supplier (IPS)

- For the Retailer's IPS Supplier field enter the information for the supplier that directly delivered commodity to the retailer.
- In the Additional Supplier Information field, enter supplier information listed on the pre-labeled item, fax numbers, phone numbers, and websites.



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Part C – Records Provided or Pending

- Select Provided for the Records field if records were provided while conducting the retail review.
- Select Pending for the Records field if the retailer will require 5 business days to provide records and enter Date Due field.
 - Day 1 begins the day after the review is conducted. Example: if review is conducted on a Monday, records will be due next Monday.



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Complete all recordkeeping sections as thoroughly as possible! More on that in future slides.



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Part C - Tips

- Information obtained for a recordkeeping item will be used to conduct a Supplier Traceback Audit to verify accuracy of COOL.
- Obtain information from records that identify the commodity and transaction specifically such as UPC, PLU, Lot #, Est. #, production code, and sell by date.



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Part C – Invoice Sample

Supplier's Name and Address

Invoice Number

Delivery Date

Invoice Date

Country of Origin



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Part C – Master Container

Box Serial #: 2762060

Pack Date: 4/06/15

Establishment #: 244C

09615CNC0117 01

Net Weight lbs. 15.4

Use by: 4/27/15

*If you are not sure what a number is, just write it down.

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Part C – Consumer Package



- Product Code: A12080P
- UPC: 051933 21140 7
- Distributed by: Save-A-Lot Foods Store, LTD, Earth City, MO 63015
- Product of Guatemala
- Best by: may be listed
- Product size: may be listed

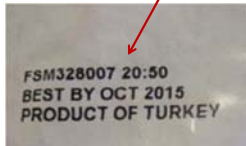


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Part C – Consumer Package



Product Description:
 Red Tart Cherries pitted
 Net Wt. 20 oz.



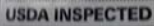
Product Code:
 FSM328007 20:50
 Best by Oct 2015
 Product of Turkey



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Part C – Consumer Package



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Step 1 – Complete Recordkeeping Section

Recordkeeping			
Group Assigned		Actual Group Reviewed	C-Peanuts
Item Description (Store Label)		Item Description (Store Record)	
Raw Spanish Peanuts		Raw Spanish Peanuts in bulk fresh	
Country of Origin (Store Label)		Country of Origin (Store Record)	
USA		Georgia, USA	
Record Reviewed	Other	Record Transaction ID / Record Details	
Master Container Label		Best buy date 1/1/2016; Lot #1234; Packed by P-Nut Company Atlanta, Georgia	
Invoice		Invoice # 987; Invoice Date: 8/1/2015	
Bill of Lading		BOL # 777; BOL Date: 8/1/2015; Item # 555; Lot #1234	
IPS Supplier Name	ABC Supermarket Distribution Center #777	Records	
IPS Supplier Address	2nd Main Street, Miami, FL 33033; Fax: (888) 999-1111	Provided	
Additional Supplier Information	Pre-labeled Package Supplier: P-Nut Company Atlanta, GA 78552	Date Due:	



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Step 1 – Complete Recordkeeping Section

Recordkeeping			
Group Assigned		Actual Group Reviewed	B-Frozen Fruits
Item Description (Store Label)		Item Description (Store Record)	
Tart Cherries		Best Choice Tart Cherries pitted 20oz	
Country of Origin (Store Label)		Country of Origin (Store Record)	
Turkey		Turkey	
Record Reviewed	Other	Record Transaction ID / Record Details	
Pre-labeled Package-Consumer Ready		UPC # 70045 58569; Best by Date: Oct 2015; Batch Code #FSM328007 20.50; 20oz	
Invoice		Invoice # 7019034428 Invoice Date: 1/30/15; Best Choice; Item #112860; Lot # 123	
IPS Supplier Name	Super Shipper Distribution Center #456	Records	
IPS Supplier Address	Los Angeles, CA 78554	Provided	
Additional Supplier Information	Fax: (333) 999-1111	Date Due:	



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Step 1 – Complete Recordkeeping Section

Recordkeeping			
Group Assigned		Actual Group Reviewed	M-Beef Muscle Cuts
Item Description (Store Label)		Item Description (Store Record)	
Rump Roast		Bottom Round Roast (Rump Roast)	
Country of Origin (Store Label)		Country of Origin (Store Record)	
Raised, Harvested USA, Born Mexico		Raised, Harvested USA, Born Mexico	
Record Reviewed	Other	Record Transaction ID / Record Details	
Master Container Label		Case Ready Tray; UPC 2011061008; PLU #6144; Est. #244C; Item #20110; Product Code 1-6913-WIP-24-01; Sale by date 11/24/15; Net Wt. 2.41lbs	
Invoice		Invoice 7019034428; Invoice Date 11/25/15; Item #20110; Lot #13 2828	
IPS Supplier Name	Big Arm Distribution Center #123	Records	
IPS Supplier Address	Alexandria, Virginia 88968	Provided	
Additional Supplier Information	www.bigarmdistribution.com	Date Due:	





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 **Step 1 – Complete Recordkeeping Section**

Recordkeeping			
Group Assigned	Actual Group Reviewed		J-Frozen Fish
Item Description (Store Label)	Item Description (Store Record)		
Catfish Fillets	Filets Catfish IQF		
Country of Origin (Store Label)	Country of Origin (Store Record)		
USA	US		
Method of Production (Store Label)	Method of Production (Store Record)		
Farmed Raised	Farmed Raised		
Record Reviewed	Other	Record Transaction ID / Record Details	
Pre-labeled Package-Consumer Ready		Lot # 630123, Best by date: 5/18/2015, 16 oz, UPC # 4863	
Invoice		Invoice# 0458280; Invoice Date 05/18/2014; Item #8788	
IPS Supplier Name	XYZ Wholesale Grocers	Records	
IPS Supplier Address	63331 Old Military Rd Pearl River, LA, 70452	Provided	
Additional Supplier Information	Packed by: Seafood Connection St. Joseph, Missouri 64505	Date Due:	


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**Step 2:
Part D: Closing Meeting**

Non-compliances Corrected During the Review

- All non-compliances observed by the Reviewer **must** be reported to USDA even if they are corrected right away.
- Reviewer may include a note in the “Additional Comments and Information”
 - Example: “All fruit items with NC code 1 findings were corrected prior to leaving store”

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Part D – Closing Meeting

- Provide Responsible Authority a copy of the completed Checklist;
- Discuss the results of the review and any findings identified;
- Verify name of Responsible Authority, email address, mailing address and phone number;



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Part D – Closing Meeting

- Inform the Responsible Authority **Findings are not official until reviewed by USDA;**
- If store received 4 or more noncompliance codes they will receive official notification from USDA requiring a response with corrective actions and preventative measures



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Part D – Closing Meeting

- Provide the Responsible Authority:
 - Your contact information in case they have questions, and
 - Records Request Form in case any records were pending to be submitted.



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✔ Step 2 - Complete

- Thank the Responsible Authority for their time and attention.



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Step 3: Submit Workbook and Pictures

Step 3 – Post Review

- Enter all noncompliances into the workbook checklist as well as the recordkeeping information.
- Enter Yes or No in the “Findings Identified?” field.
- Click “Spell Check” and make any necessary corrections.



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Step 3 – Comments Section

- This section will not print. It will only be viewed in excel file.
- Area to explain an issue or note pertinent information that COOL Specialists may need.
- Note if a whole group of covered commodities are not available.



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Step 3– Comments Section

- If conducting a follow-up review, record whether or not previous findings were corrected.
- Make notation if store information has changed.



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Step 3: Saving Pictures

- Pictures **must** be combined and saved in PDF or Word format.
- The picture file must be saved with the appropriate file name. For example: NY 15 F3941A Pictures



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Step 3: Saving Pictures

➤ Do not include more than 4 pictures per page.



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USDA Recommendation

Once Workbook and Pictures are complete, State Managers are encouraged to evaluate workbooks prior to submitting to USDA



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Step 3 – Submit Workbook and Pictures

Important: 2015 Follow-up Reviews and pictures will be submitted using Cloud Vault.

Note: Cloud Vault is a new service that is replacing AgnisX.



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Step 3: Cloud Vault

- State Managers will receive two (2) emails directly from the Cloud Vault on behalf of COOLAudit@ams.usda.gov.
- Both emails will contain a hyperlink to access 2 separate folders in Cloud Vault.



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Step 3: First Cloud Vault Email

- First email will include a hyperlink that contains **previous year's reviews**.
- Email #1 subject is "COOLAudit@ams.usda.gov shared »2014 Reviews - New York« with you". Your state name will appear instead of NY.



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Step 3: Second Cloud Vault Email

- Second email will include a hyperlink to **upload 2015 Follow-up Reviews**.
- Email #2 subject is "COOLAudit@ams.usda.gov shared »2015 NE Region - Submitted Follow-ups« with you". Your Region will appear instead of NE.



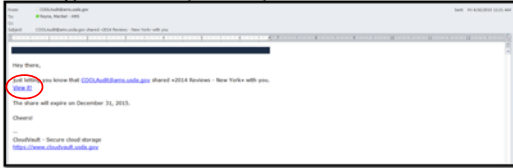
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Step 3: Access Cloud Vault

➤ To access folder:

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



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Step 3: Access Cloud Vault

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

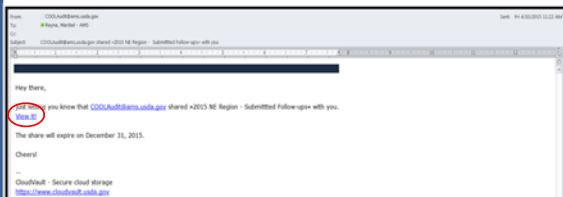


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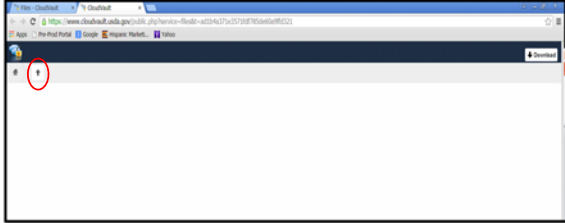
Step 3: Upload Workbook and Pictures

1. Click on “View it” hyperlink directly from the email. Make sure to use the email link named **2015 Region – Submitted Follow-ups**.



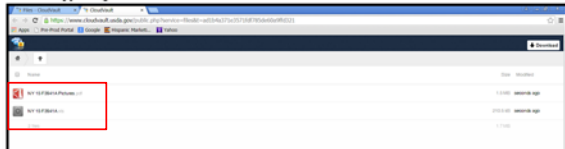
Step 3: Upload Workbook and Pictures

2. Click on arrow (↑)



Step 3: Upload Workbook and Pictures


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



Step 3: Upload Workbook and Pictures

You have successfully submitted the 2015 Follow up Review and pictures using Cloud Vault!

✔ Step 3 - Complete



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Activity 7


Country of Origin Labeling (COOL) Retail Surveillance Follow up Review Checklist	
Review Number	UT 15 F2344A
Date Reviewed	8/9/2015
Store Name	ABC Retailer
Store ID Number	123
Physical Address	1 Main Street
City, State ZIP	Salt Lake, Utah 84103
Store Phone Number	(111) 222-3333
Corporate Contact Email	
Reviewer's Name	John Doe
Reviewer's Email	john@jdoe.com
Reviewer's Phone Number	(202) 720-8846
Store Representative	
Responsible Authority's Name	
Responsible Authority's Position	
Responsible Authority's Email	
Findings Identified?	

What is wrong with this workbook?

Recap: 3-Step Procedure


Step 1 – From the Office

Guidance, Procedures, and Previous Year's Review Documents	Prepare Workbook
--	------------------



Step 2 – At the Retail Store

Gather Labeling Compliance Info	Recordkeeping Assessment
---------------------------------	--------------------------



Step 3 – From the Office

Complete Workbook	Submit Workbook & Pictures via Cloud Vault
-------------------	--

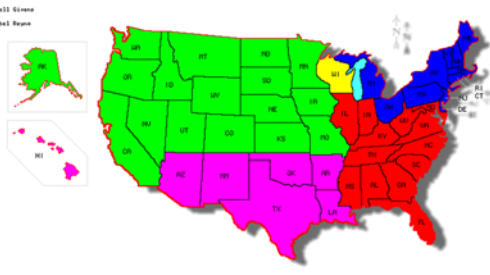
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COOL Captain Contacts

- Vickie Felder
- Christy Wipperfurth
- Sean Kenworthy
- Cordell Givens
- Maribel Reyna



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COOL Specialist	Region	Phone Number	Email Address
Leslie Shavers	Acting Director	(202) 720-4486	Leslie.Shavers@ams.usda.gov
Ken Becker	Team Lead	(202) 690-4118	Kenneth.Becker@ams.usda.gov
Maribel Reyna	Pink	(202) 253-8870	Maribel.Reyna@ams.usda.gov
Vickie Felder	Green	(202) 260-8341	Vickie.Felder@ams.usda.gov
Cordell Givens	Red	(202) 260-8391	Cordell.Givens@ams.usda.gov
Sean Kenworthy	Blue	(202) 205-9355	Sean.Kenworthy@ams.usda.gov
Christy Wipperfurth	Yellow	(202) 258-8509	Christy.Wipperfurth@ams.usda.gov
Carol Payne	Invoicing	(202) 720-3528	Carol.Payne@ams.usda.gov
Tiffanie Smith	Admin. Assistant	(202) 720-4486	Tiffanie.Smith@ams.usda.gov

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Reimbursement for COOL Training and Retail Reviews



Training Reimbursements

➤ Expenses related to traveling to COOL event:

- Airfare and Baggage Expenses
- Hotel (GSA Govt. room rate + tax)
- Parking
- Ground Transportation
- [Mileage](#)
- Meals and Incidental Expenses, per U.S. General Services Administration ([GSA](#))
 - Rate = 75% on travel days and 100% on non-travel days.

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Retail Review Reimbursements

➤ Completed Retail Reviews

- Initial Retail Reviews not to exceed \$600 each.
- Follow-Up Retail Reviews not to exceed \$800 each.

*All reviews must be submitted in accordance with the retail surveillance procedures. Reviews that are not conducted will not be paid by COOL.

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When to Request Reimbursement

- Training Reimbursement must be submitted within 2 weeks after the training event.
- Retail Reviews must be submitted on the 1st of every month.

July 2015						
SUN	MON	TUE	WED	THU	FRI	SAT
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	



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Required Documentation for Training Reimbursement

1. State Invoice in your agency's letterhead must include:
 - ✓ State name and invoice number
 - ✓ Cooperative agreement number
 - ✓ Place and training date, number of trainees, and amount requesting for reimbursement
2. Signed [SF-270 form](#)
3. Receipts that prove travel expenses, except meals, for each person trained.



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Required Documentation for Retail Review Reimbursement

1. State Invoice in your agency's letterhead must include:
 - ✓ State name and invoice number
 - ✓ Cooperative agreement number
 - ✓ Total number of reviews and amount requested for reimbursement
2. Signed [SF-270 form](#)
3. List of Retail Reviews for which you're requesting reimbursement.



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Non-Reimbursable

- COOL will NOT reimburse :
 - Cost of oil change
 - Tire replacement or rotation
 - Parking violation or towing fees
 - Sight-seeing taxi or parking receipts
 - Per diem above the GSA daily approved amount.



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Sample Invoice

ABC DEPARTMENT OF AGRICULTURE
FOOD AND CONSUMER DIVISION
111 COOL MARI ST
POPULAR, USA 22222-0000
(333)333-3333

March 19, 2015
Mr. Julie Henderson, COOL Division Director
1400 Independence Avenue, S.W.
Room 3420-S, STOP 0214
Washington, DC 20250-0214

Dear Mr. Henderson:

In compliance with Cooperative Agreement Number 12-25-A-5555, the ABC Department of Agriculture is requesting reimbursement for the following:

- Travel expenses for attending COOL training in San Antonio, TX on May 3-4, 2015 in the amount of \$3,000.

Enclosed is the required SF-270 form, receipts, and map quest averages for the travel reimbursement. Please contact me if you have any questions regarding ABC's reimbursement.

Sincerely,

John Doe
State Manager
John.Doe@ABCDEFGH.IJKL
(555) 555-5555

Enclosures



REQUEST FOR ADVANCE OR REIMBURSEMENT

AGENCY: ABC DEPARTMENT OF AGRICULTURE

CONTRACT NUMBER: 12-25-A-5555

TOTAL: 14,400.00

Sample SF-270 (Page 1)

CERTIFICATION	
<small>I certify that I am the owner of the production described on this form and that I am the beneficiary of the program. I understand that the program benefits are subject to the terms and conditions of the program and that I agree to the terms and conditions of the program.</small>	May 21, 2012 <small>AMS Form SF-270</small>
<small>Name of Producer (Print Name)</small> John Doe, State Manager	<small>AMS Form SF-270</small>

Sample SF-270 (Page 2)

Must be signed!

Please print on plain white paper, 8 1/2 x 11, 16 lbs. The SF-270 is a self-administered, voluntary certification program. It is not a government program. It is not a government program. It is not a government program. It is not a government program.

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Submit Reimbursement Request

Email: coolaudit@ams.usda.gov

or

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Reimbursement Questions?

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 - Carol.Payne@ams.usda.gov
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 - Maribel.Reyna@ams.usda.gov

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