

Gathering Information During Retail Reviews

Information gathered during COOL retail store reviews is used to perform COOL traceback audits to determine compliance to the law and regulations. If not enough information is gathered on a particular product during the retail review, it becomes very difficult for both the auditor and the company to perform the traceback audit and sometimes the traceback audits cannot be performed at all due to lack of information. Information about the product can be gathered by looking at a master shipping container, a consumer ready label, or from store records, (document used in a business transaction -- e.g., invoice, bill of lading, delivery ticket, packing slip, etc.). Below is a list of information that should be gathered for each of these three scenarios. When performing retail store reviews, please gather as much of this information as you can and include it in your report.

Master Shipping Container

- Company Name (minimum city and state)
- Product Name
- Food Safety Inspection Service (FSIS) Inspection Number (meats only)
- Product Code Number
- Pack Date
- Lot Number
- Serial Number
- Unit per Case

Consumer Ready Label

- Company Name (minimum city and state)
- Product Name
- Food Safety Inspection Service (FSIS) Establishment Number (meats only)
- Pack Date
- Best If Used / Sell By Date
- Product Size (net weight, count – (i.e., shrimp)
- Any type of UPC code (bar code)
- Lot Number/ Batch #
- Product Code

Retail Store Records

- Company Name (minimum city and state)
- Product Name
- Product Code Number
- Product Size (net weight, count – (i.e., shrimp)
- Date of Document
- Document Number
- Date of Delivery

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

Non-Compliance (NC) Codes

<u>Code</u>	<u>Non-Compliance Findings</u>	<u>Code</u>	<u>Non-Compliance Findings</u>
1	Covered commodity is not identified with the country of origin.	8	The method of production declaration is not accurate at point of sale.
2	The country of origin declaration is not legible and/or is not placed in a conspicuous location.	9	The method of production is not stated in an acceptable form. (i.e., wild, wild caught, farmed, farm-raised, etc.)
3	The country of origin declaration is not accurate at point of sale.	10	Records were not provided within 5 business days.
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.	11	Records do not provide the country of origin information.
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.	12	Records do not provide the method of production information.
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.	13	Records do not provide the Supplier information. (Supplier records are required for all Traceback Items)
5	Abbreviations and variant spellings do not unmistakably indicate the country of origin.	14	Records information for country of origin as provided by supplier is not accurately conveyed to point of sale label.
6	Covered commodity is not identified with the method of production.	15	Records information for method of production as provided by supplier is not accurately conveyed to point of sale label.
7	The method of production declaration is not legible and/or is not placed in a conspicuous location.	16	Records that identify the chain of custody for the pre-labeled item were not provided within 5 business days.