

**ASEAN-Japan Certification Audit  
Guidelines  
on Cold Chain Logistics Standards**

**ASEAN-Japan Transport Partnership**

**November 2021**

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# **ASEAN-Japan Certification Audit Guidelines on Cold Chain Logistics Standards**

## **Introduction**

The steady economic growth and increasing incomes in ASEAN Member States in recent years have diversified food and food product choices and created a heightened awareness of the need to maintain food safety, leading to increasing demand for transport and storage services on cold chain logistics in conjunction with low temperature management at the distribution phase, primarily for foods such as agricultural and marine products, and frozen foods. On the other hand, since highly reliable cold chain logistics services that ensure quality are not sufficiently widespread in many ASEAN Member States, food quality and safety are often impaired. According to the Food and Agricultural Organization of the United Nations, nearly 90% of food loss and waste occurs at the distribution phase, and WHO reports that there are 150 million foodborne disease cases and 175 thousand related deaths per year in Southeast Asia. Therefore, it is necessary to solve both health and economic issues such as reduced food safety and high food waste rate at the distribution phase.

To improve these situations in ASEAN Member States, "ASEAN-Japan Cold Chain Logistics Project", consisting following four initiatives, 1) Creation of "Guidelines on Cold Chain Logistics", 2) Human resource development related to Cold Chain Logistics Network, 3) Pilot Projects and 4) Promotion of the use of reliable and convenient logistics equipment was endorsed at the 15th ASEAN-Japan Transport Ministers' Meeting held in October 2017 under the framework of ASEAN-Japan Transport Partnership (AJTP). One of the deliverables under this project is the adoption of the "ASEAN-Japan Guidelines on Cold Chain Logistics" by the 16th ASEAN-Japan Transport Ministers' Meeting held in November 2018 following the deliberations by the logistics experts from Japan and ASEAN Member States.

In addition, the mid-term review (MTR) of the ASEAN Transport Strategic Plan 2016-2025 / Kuala Lumpur Transport Strategic Plan (KLTP), which was formulated as a guiding regional policy document for ASEAN transport cooperation, was completed in 2020. One of the outcomes of this MTR is the Revised Schedule of Actions of KLTP. According to this, a new KLTP's Action has been included under the Transport Facilitation area in promoting the implementation of Cold Chain Logistics in the ASEAN region (TF-8.3). In order to achieve this Action, ASEAN Member States are encouraged to develop their national standards for cold chain logistics services aligned with the adopted "ASEAN-Japan Guidelines on Cold Chain Logistics".

Additional to developing and establishing national standards for cold chain logistics services, it is also important to establish an appropriate certification system to promote logistics companies to obtain certification of such standards. Such certification would improve the quality of cold chain logistics in ASEAN. Following confirmation from Japan on the support to promote the implementation of cold chain logistics in the region, the development of the "ASEAN-Japan Certification Audit Guidelines on Cold Chain Logistics Standards" was newly added in 2021 as an activity of the "ASEAN-Japan Cold Chain Logistics Project" under AJTP.

These certification audit guidelines are non-legally binding documents and are intended to serve as guidance to help certification bodies in ASEAN Member States to conduct audits for

logistics companies to comply with the cold chain logistics services standards established by ASEAN Member States. The guidelines are comprised of (i) “Certification Audit Procedures”, which include descriptions of application for audits, work manual audits, on-site audits, and audit registrations that follow, and of a series of procedures leading to subsequent audits; and (ii) a “Certification Audit Guide”, which includes examples of measures to be described in work manuals when conducting work manual audits and detailed examples of key points to be checked at on-site audits. It is expected that these certification audit guidelines could help certification bodies in ASEAN Member States to develop a set of certification criteria, which in turn would contribute to the development of the certification system for cold chain logistics services standards in ASEAN Member States. These guidelines are meant to be voluntary and the individual ASEAN Member States are not obliged to adopt these guidelines in their entirety.

# **Certification Audit Procedures**

This document describes in detail the series of procedures from work manual audits, on-site audits, audit registration, to the subsequent audit, that follow application for audits by an organization wishing to receive certification audit for *standards, which are developed or to be developed in each ASEAN Member State based on the ASEAN Japan Guidelines on Cold Chain Logistics* (hereinafter referred to as “the standards”).

## **1 Certification Audit Procedures Flowchart**

The flow of the certification audit procedures is as shown below.

### Certification Audit Procedures by the Certification Body

<b>Certification Audit Application and Contract</b>	(1) Confirm and Accept Application and Submitted Documents for Certification Audit	After accepting the application and submitted documents of the audited organization, form a contract pertaining to the Certification Audit.
	(2) Form Certification Audit Team	The certification body shall form a team that is able to implement a certification audit appropriate for the standards by appointing an auditor with ISO or national standards auditor qualifications as team leader, and auditors with experience working at a logistics company, or individuals with equivalent knowledge and experience, etc. as team members.
<b>Work Manual Audit</b>	(3) Work Manual Audit	Audit the work manual that corresponds to the items required by the standards.
	(4) Work Manual Audit Results Notifications	Notifications shall be sent to audited organization either in paper or in electronic format, etc.
	(5) Revised Work Manual Audits (if applicable)	If any portions do not conform to the standards, seek submission of revised documents, and send notifications regarding the review results of the revised documents.
<b>On-site Audit</b>	(6) On-site Audit Plan	Prepare and send the on-site audit plans.
	(7) On-site Audit	Audits shall be conducted with record to confirm that contents stipulated in the work manuals of audited organization are being actually implemented in the field, and that efforts are being made to improve quality via the quality improvement cycles.
	(8) Notification of On-site Audit Results	Notifications shall be sent either in paper or in electronic format, etc.
	(9) Recommendations for Correction (if applicable)	If any portions do not conform to the standards, a correction recommendation will be created at the end of the on-site audits and the management representative will be asked to check it.
	(10) Follow-up Audit (if applicable)	Correction recommendations shall be verified via follow-up audits after corrections are made by the audited organizations.
	(11) Follow-up Audit Report	Notices on audit results shall be sent within approximately 14 days of the conclusion of follow-up audits.
<b>Decision and Registration of Certification</b>	(12) Review of Audit Results and Decision on Certification	The audit results shall be deliberated by a committee consisting of those who are not involved in the audit, and the committee shall decide on whether to approve the certification.
	(13) Registration Procedures	If the committee decides to approve the certification, the certification body shall register the audited organization in the register.
	(14) Preparation of Certificate	Certificates will be prepared and issued.
	(15) Disclosure of Information Pertaining to the Registered Organization	Information pertaining to the registered organization will be made public on the website of the certification body.
<b>Audits to Maintain Registration</b>	(16) Intermediate Audits (2nd year or 3rd year), Renewal Audits (5th year), Occasional Audits	After registration, intermediate audits will be implemented on the 2nd or 3rd year, renewal audits will be implemented on the 5th year, and the same audit cycle shall be repeated after renewal of registration. Occasional audits are, in principle, implemented with prior notice at the request or consent of the registrant.

## **2 Certification Audit Application and Contract**

### **2.1 Certification Audit Application and Acceptance**

- (1) When an organization wishing to obtain certification of the standards applies for an audit, the certification body shall prepare the prescribed application forms filled with the required information.

[Required Information (Examples)]

- Type of audit (initial audit, intermediate audit, renewal audit, occasional audit, or transfer of registration)
  - Organization to be audited (organization name, address, and managing department, names and addresses of all offices including relevant department)
  - Organization representative (CEO)
  - Management representative (person in charge as a contact point for the audit work)
  - Scope of registration (only for low temperature storage services by a warehouse company, only for low temperature transport services by a transport company, or covers both)
  - Desired date for audit (date or time period for the on-site audit desired by the audited organization)
  - Information on related documents (title, document number, revision number, revision date, etc. of the work manual to be audited)
  - Billing address for auditing fees
- (2) The certification body shall obtain the following required documents together with the application in paper (hardcopy) or in electronic format from the audited organization.  
[Documents (Examples)]
    - Company Profile
    - Business Overview
    - Work manuals, etc. that cover the requirements of the standards (warehouse work manuals, transport work manuals, training textbooks, etc.)
  - (3) The certification body shall check the contents of the application and documents submitted by the audited organization.

### **2.2 Contract**

- (1) After accepting the application, the certification body shall prepare two copies of the “certification agreement” that will form the contract document, and shall confirm the details of the agreement between the two parties in paper (hardcopy) or in electronic format.
- (2) The certification agreement shall include the following.
  - Scope of registration and expiration date
  - Duties and rights (payment of auditing fees, usage of registration mark)
  - Liabilities
  - Confidentiality
  - Observation by certification body
  - Governing law and jurisdiction



### **2.3 Formation of Certification Audit Team**

When the audits are implemented based on the standards, the certification body shall form a team that is able to implement a certification audit appropriate for the standards by appointing an auditor with ISO or national standards auditor qualifications as team leader, and auditors with experience working at a logistics company, or individuals with equivalent knowledge and experience, etc. as team members.

## **3 Certification Audit**

### **3.1 Basic Concepts of Work Manual Audits and On-site Audits**

Work manual audits and on-site audits in certification audits of the standards are implemented based on the following basic concept.

The standards specify items that logistics companies should implement, but do not stipulate how they should continue to implement these items as logistics companies. In these guidelines, it is recommended that specific measures corresponding to the standards' requirements be incorporated into work manuals so that the certification body can confirm that the audited organization is continuously and reliably implementing the requirements as an organization.

- (1) Basic Concept of Work Manual Audits
  - (i) The audited organization shall prepare work manuals corresponding with the items required by the standards.
  - (ii) The audited organization may use, in addition to relevant manuals, detailed instructions, checklists, and teaching materials, etc. as documents during work manual audits.
  - (iii) In work manual audits, the certification body shall audit whether all applicable standard requirements, including specific measures, are stipulated in relevant manuals, etc. (instructions, checklists, and teaching materials, etc.).
  - (iv) In these guidelines, "examples of measures to be described in work manuals" owned by the audited organization are described as reference examples for the certification body to implement the work manual audits, but the measures to meet the requirements of the standards are not limited thereto.
- (2) Basic Concept of On-site Audits
  - (i) In on-site audits, the certification body shall confirm with the record that contents stipulated in the above work manuals are being actually implemented in the field, and that efforts are being made to improve quality via the quality improvement cycles (plan, do, check and action or PDCA).
  - (ii) In these guidelines, "examples of checkpoints in on-site audits" are provided to help the certification body in their on-site audits at audited organization sites.

### **3.2 Work Manual Audits and On-site Audits**

The certification body shall implement work manual and on-site audits.

- (1) Work manual audits: The certification body examines whether the audited organization describes the items required by the standards in the work manual. Results of work manual audits are reported to the audited organization in paper (hardcopy) or email, etc. If any portions do not conform to the standards, request the audited organization to submit the

revised documents, and send notification regarding the review results of the revised documents in paper (hardcopy) or by email, etc.

- (2) On-site audits: Based on prior meetings with the audited organization, the certification body shall provide an audit plan that includes an on-site audit schedule in paper (hardcopy) or by email, etc. Remote audits are acceptable if the quality of the audit can be ensured.

On-site audits are conducted primarily for the following purposes.

- (i) To confirm the degree to which the audited organization understands the requirements of the standards.
- (ii) To gather information related to compliance with relevant laws and regulations, management methods, work procedures, education and training, and maintenance and management of equipment and facilities in the provision of cold chain logistics services.
- (iii) To evaluate whether the audited organization's cold chain logistics services are appropriately implemented against the requirements of the standards.

Results of on-site audits are reported to the audited organization in paper (hardcopy) or by email, etc. If any portions do not conform to the standards, a correction recommendation will be created at the end of the on-site audits and the management representative will be asked to check it.

The completion deadlines of corrective measures shall be determined in consultation with the management representative according to the measure.

### **3.3 Measures against Nonconformities**

After the audited organization makes corrections with respect to corrective recommendations, the certification body shall confirm the corrections via one of the following methods.

- (1) If corrective measures have to be verified on site, they will be verified via follow-up audits. The reports of follow-up audit results will be created and provided within 14 days of audit completion in paper (hardcopy) or by email, etc.
- (2) When verification is not required on site, the corrective measure plan created by the audited organization shall be confirmed and, when deemed appropriate, the effectiveness of implemented corrective measures shall be confirmed in subsequent audits.

## **4 Decision and Registration of Certification**

### **4.1 Review of Audit Results, Decision of Certification, Issuance of Certificate, and Publication of Registration**

- (1) If the certification audit team determines, as a result of the audit, that the audited organization's cold chain logistics services conform to the requirements of the standards, it shall recommend registration.
- (2) The auditor shall review whether the reports on the results of the work manual audit and the on-site audit created by the certification audit team provide an accurate and clear record of the audits.

- (3) The audit results shall be deliberated by a committee consisting of those who are not involved in the audits, and the committee shall decide on whether to approve the certification.
- (4) If the committee decides to approve the certification, the certification body shall register the audited organization in the register and issue the certificate.  
Registration number, organization name, office name, location, applicable standards, scope of registration, initial registration date, and expiration date shall be included in the certificate.
- (5) In principle, the certificate expiration date shall be five years from the registration date.
- (6) Information on the registered organization (hereinafter referred to as “Registrant”) shall be published on the website of the certification body in the form of a register.

#### **4.2 Usage of Registration Mark**

The certification body shall provide the audited organization with the criteria for use of the registration mark established by the certification body at the time of registration.

### **5 Audits to Maintain Registration**

#### **5.1 General**

- (1) The Certification body shall implement intermediate and renewal audits in order to maintain the registration at the request of the registrant and to continue the registration after the expiration date.
- (2) The intermediate audit shall be implemented in the second or third year after the registration date, and the renewal audit shall be implemented before the registration expiration date.
- (3) The certification body shall repeat the same audit cycle after the renewal of registration.

#### **5.2 Intermediate Audit**

- (1) In the intermediate audit, the certification body shall implement an on-site audit at least once in the second or third year to confirm that the requirements of the applicable standards are continuously being maintained.
- (2) In the intermediate audit, the on-site audit shall include the following items.
  - Management status of cold chain logistics services appropriate to the requirements of the standards.
  - Confirmation of records, etc. proving that the quality of the cold chain logistics services is being maintained.
  - Review of measures taken with respect to nonconformities and matters of concern identified in the previous audit.

#### **5.3 Renewal Audit**

- (1) In the renewal audit, the certification body shall implement a renewal audit every five years to assess the continued performance of all requirements applicable to cold chain logistics services, and must complete it before the registration expiration date.
- (2) In the renewal audit, the work manual audit and the on-site audit include the following items. In addition, the operational status of the cold chain logistics services over the past

five years will be taken into consideration, and the results of previous interim audits will be reviewed.

- Management status of cold chain logistics services appropriate to the requirements of the standards.
  - Confirmation of records, etc. proving that the quality of the services is being maintained.
  - Review of measures taken with respect to nonconformities identified in the previous audit.
- (3) If the renewal audit is completed before the registration expiration date, the certification body shall issue a new certificate based on the expiration date of the existing certificate.
  - (4) If the renewal audit identifies any nonconformities, the registrant shall take corrective measures. The certification body shall promptly verify corrective measures for the nonconformities identified above before the registration expiration date.
  - (5) If the renewal audit is not completed before the registration expiration date, the certification body shall temporarily suspend the registration. However, if the renewal of the registration is completed within six months after the suspension, the registration will be reinstated and a new certificate will be issued.

#### **5.4 Occasional Audit**

- (1) In the occasional audit, the certification body shall, in principle, implement it at the request of, or with the consent of, the registrant, with prior notice.
- (2) Occasional audits shall be implemented in any of the following cases.
  - When there are changes in the operating procedure of cold chain logistics services in accordance with the requirements of the standards
  - When there are changes in the scope of registration
  - When receiving serious whistleblower information, etc. related to the cold chain logistics services provided by the registrant
- (3) If there are changes to the registrant that affect its ability to provide cold chain logistics services, the certification body shall implement work manual and on-site audits to determine whether the changes conform to the requirements of the applicable standards, and shall report the results of the audits to the registrant.

### **6 Transfer of Registration**

When there is an application for transfer of registration from an organization that has been registered under the standards by another certification body, the certification body shall check the following items and if it finds that the organization conforms, it shall transfer the registration and issue a certificate.

- (1) Reason for requesting transfer of registration
- (2) Possess a valid certificate
- (3) Initial, or latest, renewal audit report, latest intermediate audit report, and related documents

## **7 Deletion, Suspension, and Scope Expansion/Reduction of Registration**

If the certification body recognizes that registered cold chain logistics services fall under any of the specified items, it shall delete or suspend the registration, or expand or reduce the scope of the registration, and notify the registrant of such actions.

- (1) Deletion of Registration: If any of the following applies to the registrant, the certification body shall delete the registration and notify the registrant.
  - When registrant requested deletion of the registration
  - When registrant failed to undergo stipulated annual audit or renewal audit
  - When there were nonconformities in audits and they were deemed appropriate to delete the registration
  - When there were deliberate misrepresentations by the registrant at the audits
  - When there were serious legal violations
  - When the subject business activities have been suspended for a long period of time
  - When the registrant failed to pay the audit fee.
- (2) Suspension of registration effect: If any of the following applies to the registrant, the certification body shall suspend the effects of the registration and notify the registrant.
  - When any of the items in (1) above apply and the certification body has allowed a deferment of registration deletion
  - Registrant requests suspension
- (3) Expansion of scope of registration: An occasional audit shall be conducted to determine the advisability of expanding the scope of registration based on a request from the registrant, and, if the registrant is found to be conformant, a certificate is issued.
- (4) Reduction of scope of registration: If the following apply to registered cold chain logistics services, the scope of registration shall be reduced, and the registrant shall be notified.
  - When nonconformities with respect to requirements relating to part of the scope of registration are found during the intermediate or renewal audit, and the certification body thus deems it appropriate to reduce the scope of registration.
  - When the registrant applies to have the scope of registration reduced

# **Certification Audit Guide**

## 1 Basic Concepts of Work Manual Audits and On-site Audits

Work manual audits and on-site audits in certification audits of the standards are implemented based on the following basic concept.

The standards specify items that logistics companies should implement, but do not stipulate how they should continue to implement these items as logistics companies. In these guidelines, it is recommended that specific measures corresponding to the standards' requirements be incorporated into work manuals so that the certification body can confirm that the audited organization is continuously and reliably implementing the requirements as an organization.

### 1.1 Basic Concept of Work Manual Audits

- (i) The audited organization shall prepare work manuals corresponding with the items required by the standards.
- (ii) The audited organization may use, in addition to relevant manuals, detailed instructions, checklists, and teaching materials, etc. as documents during work manual audits.
- (iii) In work manual audits, the certification body shall audit whether all applicable standard's requirements, including specific measures, are stipulated in relevant manuals, etc. (instructions, checklists, and teaching materials, etc.).
- (iv) In these guidelines, "examples of measures to be described in work manuals" owned by the audited organization are described as reference examples for the certification body to implement the work manual audits, but the measures to meet the requirements of the standards are not limited thereto.

### 1.2 Basic Concept of On-site Audits

- (i) In on-site audits, the certification body shall confirm with the record, etc. that contents stipulated in the above work manuals are being actually implemented in the field, and that efforts are being made to improve quality via the quality improvement cycles (PDCA), etc.
- (ii) In these guidelines, "examples of checkpoints in on-site audits" are provided to help the certification body in their on-site audits at audited organization sites.

## 2 Work Manual and On-site Audits of "Low Temperature Storage Services"

### 2.1 Compliance with Local Rules, Laws and Regulations

#### ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(IV)

Warehouse operators should offer their warehouse services in observance of laws and regulations of countries where they operate.

(Example)

-Warehouse operators shall endeavor to obtain the latest information about laws regulations and standards through industry associations, so that warehouse operators can understand the influence on their own businesses.

-Warehouse operators are strongly encouraged to contact appropriate and responsible government agencies, if they are concerned about their compliance with laws and regulations of countries where they operate.

<b>Work Manual Audit</b>	
Confirm that the manual stipulates that business licenses and permits applicable to relevant countries and regions are to be acquired from the perspective of complying with relevant laws and regulations applicable to the warehouse business, and that periodic checks are to be conducted whether the business licenses and permits are valid.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Conduct warehouse business while managing the validity of the following items and complying with relevant laws and regulations.               <ol style="list-style-type: none"> <li>1) Information such as business license and permit names, acquisition dates, expiration dates, and the names and provisions, etc. of governing laws</li> <li>2) The method of how business licenses and permits are monitored to prevent them from expiring and who is in charge of it.</li> </ol> </li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> <li>○ Business License List</li> </ul>

<b>On-site Audit</b>	
Confirm whether or not business licenses and permits for the warehouse business have been obtained and that they are still valid.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Check the original version of business licenses and permits for the warehouse business to confirm they are still valid.</li> <li>○ Confirm the method of how business licenses and permits are monitored to prevent them from expiring with managers. Conduct interviews about the latest update status as needed.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Business Licenses and Permits</li> </ul>

## 2.2 Loading Cargo into Refrigerated Warehouse

### 2.2.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(I)</b>
Warehouse operators should consider the capacity of their warehouses and the function of the facilities in their warehouses, as well as the duration of storage requested by shippers, when requested to store food and food products from shippers. (Example) -Warehouse operators should not store tuna in their refrigerated warehouses if the function of temperature control of the warehouses is not qualified to properly maintain the required temperature at or below -40C.

<b>Work Manual Audit</b>
Confirm that specific measures are stipulated in the manual for judging whether, when making a storage contract with an owner and depositor, cargo can be stored according to



owner and depositor's requirements in consideration of the capacity and capability of, and the duration of storage in, in-house low temperature storage facilities and equipment.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Make a storage contract according to a flowchart or contract items that meet the owner and depositor's requirements in consideration of the capacity and capability of, and the duration of storage in, the necessary facilities and equipment.</li> <li>○ Refuse any cargo which is unsuitable for storage. Refuse cargo from customers with any problems regarding debt collection.</li> <li>○ Adjust the quantity of cargo in advance so that it does not exceed the storage capacity, in consideration of quantity fluctuations of chilled and frozen cargo.</li> <li>○ When making a storage contract with an owner and depositor, use a contract template that stipulates the following items. <ul style="list-style-type: none"> <li>1) Stored Products</li> <li>2) Storage Conditions (Location, Temperature Range, Quantity)</li> <li>3) Management Conditions (Management by lots or commodity codes, Expiration Date Management, FIFO)</li> <li>4) Contract Period</li> <li>5) Liability Insurance</li> <li>6) Fees</li> </ul> </li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Internal Approval Flowchart for Signing Contracts</li> <li>○ Approval Documents</li> <li>○ Contract Templates, etc.</li> </ul>

<b>On-site Audit</b>	
Designate any cargo and confirm that it is stored under a storage contract (storage capacity and capabilities, storage and management conditions, and duration of storage).	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Check the original version of contract documents that are still valid.</li> <li>○ Confirm the details of the bailment (stored products, storage and management conditions, and contract period) have been stipulated in the original version of contract documents.</li> <li>○ Check the original version of contract documents to confirm that there are no deficiencies or omissions such as missing signatures or no contract date.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Contract Document/Memoranda</li> </ul>

2.2.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(I)</b>
<p>Before accepting food and food products from transport operators and storing them in warehouses, warehouse operators should check whether 1) the type and 2) the quantity of the goods, as well as 3) the temperature condition inside refrigerated trucks that carried the goods, is adequate according to the contracts with shippers. This should be done in a temperature controlled working areas inside the warehouses.</p> <p>(Example)            -Before storing, warehouse operators should check 1) the temperature of transported goods to ensure that refrigerated materials are not frozen and that frozen materials are not melted, as well as check 2) the types, 3) the quantities, 4) the existence of damage and soiling of the goods, and 5) any seeming contamination with foreign substances.</p>

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for confirming, within the temperature-controlled loading area, 1) the types of cargo, 2) the quantity of cargo, and 3) that the cargo is not damaged or dirty before accepting cargo from the transport company and placing it in the refrigerated warehouse.</p>	
<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Using a tally sheet, check items that should be checked during the unloading operation.</li> <li>○ Conduct unloading operation in the temperature-controlled loading area. If, for some reason, cargo is handled in an ambient temperature area, take appropriate measures such as covering it with insulation sheets to keep cargo temperature from rising. Set a handling time for cargo according to cargo type and a temperature of a loading area and record an actual handling time.</li> <li>○ Since there is a risk of thawing, comply with the allowed time when cargo is handled in a chilled area.</li> <li>○ When multiple items are stacked together on a single pallet, check each individual item for type, quantity, and condition.</li> <li>○ Check the reporting structure when an abnormality of cargo is found and record report details in the prescribed form.</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>
<ul style="list-style-type: none"> <li>○ Confirm that inspectors are taking the measures stipulated in the manual for confirming, within the temperature-controlled loading area, 1) the types of cargo, 2) the quantity of cargo, and 3) that the cargo is not damaged or dirty before accepting cargo from the transport company and placing it in the refrigerated warehouse.</li> </ul>

Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that a handling time for cargo is set according to cargo type and a temperature of a loading area and record an actual handling time.</li> <li>○ Check a tally sheet (*) which records that the required items were confirmed. (* ) Description examples: Owner and depositor name, unloading date, product name, product number, estimated quantity of cargo, management dates (expiration date, unloading date, production date, etc.), vehicle number, transport company, etc.</li> <li>○ Confirm that report details (*) are described in irregularity reports when cargo is found to have abnormalities. (* ) Description examples: Report to owner and depositor, description of request for action instructions, description of the action taken after owner and depositor report, date/time of finding, events that are found, product name, quantity</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Acceptance, Loading/Unloading Work Checklist</li> <li>○ Copy of acceptance slip</li> <li>○ Irregularity Reports</li> </ul>

### 2.2.3

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(I)</b>	
<p>When accepting food and food products and placing them in warehouses, warehouse operators should take some measures against the goods' exposure to ambient air that will trigger the increase in the temperature and the deterioration of their quality. (Example) -Warehouse operators should instruct their workers to load goods on pallets and promptly move them into their warehouses by using material handling equipment, such as carriages and rollers. -Warehouse operators should also install dock shelters in their warehouses, so that refrigerated trucks can park right at the dock shelters and the transported goods will be successfully carried into the warehouses without being exposed to ambient air.</p>	

<b>Work Manual Audit</b>	
Confirm that the manual stipulates specific measures to prevent temperature increases in a loading area.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Set a handling time for chilled and frozen cargo according to cargo type and a temperature of a loading area and record an actual handling time.</li> <li>○ Use warehouse layout drawings to indicate dock shelters, and locations of heat shield doors to storage areas.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Use pallets, dollies, rollers, cargo elevators, and vertical carriers, etc. to move cargo into the warehouse quickly.</li> <li>○ Inspect dock shelters for cracks or any damages, and the operating status of major equipment such as freezers.</li> <li>○ Check the reporting structure when abnormalities occur, and record report details in the prescribed form.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> <li>○ Warehouse Layout Diagram</li> </ul>

<b>On-site Audit</b>	
Confirm that the measures stipulated in the manual to prevent temperature increases in a loading area are being taken.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that acceptance work is being conducted according to set times.</li> <li>○ Confirm that work is not being performed in the loading area while there is a large gap between the dock shelter and the loading platform on the refrigerated vehicle.</li> <li>○ Confirm that the dock shelter, heat shield doors, and opening/closing doors, etc. in the warehouse layout diagram have actually been installed.</li> <li>○ Confirm that the heat shield doors that separate the storage area are closed.</li> <li>○ Confirm that there is records of temperature measurements in the loading area.</li> <li>○ Confirm there are maintenance records for the freezers installed in the loading area.</li> <li>○ Confirm that pallets, dollies, rollers, cargo elevators, and vertical carriers, etc. are being used to move cargo into the warehouse quickly.</li> <li>○ Confirm that report details (*) are described in irregularity reports when abnormalities occur. (* ) Description examples: Report to owner and depositor, description of request for action instructions, description of the action taken after owner and depositor report, date/time of finding, events that are found, cause, improvement measures</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Irregularity Reports</li> </ul>

## 2.3 Low Temperature Storage

### 2.3.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(II)</b>	
<p>Warehouse operators should set appropriate temperature ranges in consultation with shippers, in light of the characteristics of food and food products that are requested to be stored in their refrigerated warehouses. Warehouse operators should also note the internal temperature of their warehouses at specific intervals.</p> <p>(Example)</p> <p>-Warehouse operators should install thermometers and build communication system so that they can monitor, as well as note the internal temperature of each storage in real time. Warehouse operators should build alarming systems to know any abnormalities in their warehouses, including internal temperature's substantial deviation from predetermined ranges.</p> <p>-Warehouse operators should store food and food products in their pre-cooled refrigerated warehouse at temperature ranges set in consultation with shippers, while preventing condensation by considering ambient temperature and humidity.</p>	

<b>Work Manual Audit</b>	
<p>Confirm that the manual prescribes specific measures for regularly recording the temperature inside the warehouse in order to prove that cargo is being stored at the temperature range set forth in the contract with the owner and depositor beforehand.</p>	
<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Record temperature measurement monitoring methods and temperature history so that temperature management status and abnormal rise in temperature can be informed properly to the owner and depositor.</li> <li>○ Inspect thermometers in each storage area regularly by sight and record the temperatures manually.</li> <li>○ Save measurement results from each storage location at regular intervals.</li> <li>○ Periodically execute and record thermometer calibrations or validations in order to accurately measure and record temperatures inside the warehouse.</li> <li>○ Check the reporting structure when abnormalities occur in thermometers or systems, and record responses to such cases.</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that measures prescribed in the manual are being taken, as a sample survey, choose any cargo at will and confirm that it is being stored in the temperature range described in the contract document by temperature record.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Conduct the following sample surveys to determine whether the cargo is being stored at the warehouse site in compliance with the temperature range described in the storage contract with the owner and depositor.             <ol style="list-style-type: none"> <li>1) Confirm that measurement details are described in a temperature record ledger in which temperatures are listed for each storage area.</li> <li>2) Confirm that calibration or validation work is appropriately being conducted with the thermometer calibration or validation implementation record ledger.</li> <li>3) Confirm that there is a defrost history of air conditioner equipment in the temperature record ledger.</li> <li>4) Confirm that report details (*) are described in irregularity reports when abnormalities occur.</li> </ol> </li> <li>(*) Description examples: Report to owner and depositor, description of request for action instructions, description of the action taken after owner and depositor report, date/time of occurrence, events that occurred, cause, improvement measures</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Temperature Record Ledger</li> <li>○ Temperature Record History Data</li> <li>○ Contract Document/Memoranda</li> <li>○ Calibration Implementation Record Ledger</li> <li>○ Irregularity Reports</li> </ul>

### 2.3.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(II)</b>
<p>Warehouse operators should keep records of locations where food and food products are specifically stored inside refrigerated warehouses and they must be clearly identified so that they can be quickly accessed.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Warehouse operators should put individual numbers to racks where food and food products are stored in each storage. Warehouse operators should record the numbers along with the locations of the storages inside their refrigerated warehouses.</li> <li>-Warehouse operators should periodically inventory goods in their refrigerated warehouses, check the status of receipt and delivery of the goods utilizing radio frequency identification (RFID) tags, and inform shippers of the inventory.</li> <li>-Warehouse operators should load goods onto pallets and into containers as units. Warehouse operators should carefully pile each unit of goods, considering the strength of pallets and containers, so that the space inside refrigerated warehouses can be efficiently utilized.</li> </ul>

<b>Work Manual Audit</b>
<p>Confirm that the manual stipulates specific measures for keeping a record of the exact location of the stored cargo inside the warehouse so that any cargo can be found easily and without fail.</p>

<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Record the correct storage location by allocating addresses such as numbers and symbols to the racks and floors where the cargo is stored.</li> <li>○ Use a warehouse management system (WMS) or cargo storage ledger to store and manage inventory.</li> <li>○ If any differences between the cargo storage ledger and the actual inventory status (storage temperature range, management code, quantity, unloading date, etc.) are found, conduct an inventory check in order to report the differences to the owner and depositor quickly.</li> <li>○ Since delivering return products, damaged products, or products to be discarded are associated with a risk of expired products, store such cargo in a designated storage area and mark it so that its condition is clearly indicated.</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>	
<p>As a sample survey to confirm that measures stipulated in the manual are taken, select any cargo to confirm that it can be found easily and reliably inside the warehouse.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that location numbers are assigned to each storage position regardless of whether it has a rack or not. In addition, confirm that every cargo is stored either on a rack, pallet, or a dolly and not placed directly on the floor.</li> <li>○ Confirm that location numbers are described on lists and inventory tables during intaking and delivering.</li> <li>○ Confirm that storage locations are clearly indicated and can be browsed as shown below based on storage ledger or WMS data in which inventory status is noted. <ul style="list-style-type: none"> <li>1) Inventory status can be displayed on screen via a WMS system.</li> <li>2) Inventory ledgers are kept in prescribed locations in offices.</li> </ul> </li> <li>○ Confirm that, when differences between the cargo storage ledger and the actual inventory status (storage temperature range, management code, quantity, unloading date, etc.) are found, inventories are conducted in order to report the differences to the owner and depositor quickly.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Confirm that return products, damaged products, and products to be discarded, etc. are placed in their designated locations respectively and clearly marked.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Intaking and delivering Form/WMS System Data</li> <li>○ Inventory Table</li> </ul>

### 2.3.3

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(II)</b>	
<p>Warehouse operators should take some measures to prevent the inflow of ambient air that will trigger the increase in internal temperature of their warehouses and the deterioration of stored food and food products.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Warehouse operators should always keep doors of their warehouses closed, except in cases where their workers carry goods in or out.</li> <li>-Workers at warehouse operators should open and close doors of their warehouses promptly when they carry goods in or out.</li> </ul>	

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for preventing the temperature from rising inside the warehouse.</p>	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Keep heat shield doors closed except when intaking and delivering cargo.</li> <li>○ Use automatic doors to ensure doors close when intaking and delivering cargo.</li> <li>○ Open and close doors quickly when intaking and delivering cargo.</li> <li>○ Provide a plastic curtain at the entrance of the storage area.</li> <li>○ Prepare a low temperature-controlled lobby or cargo handling room, or install an air curtain.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual for preventing the temperature from rising inside the warehouse.</p>	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that doors to warehouses where cargo is being stored are always closed except when necessary.</li> <li>○ Confirm that automatic doors have been installed.</li> <li>○ Confirm that plastic curtains are properly installed at the entrance of the storage area.</li> </ul>



	<ul style="list-style-type: none"> <li>○ Confirm that a low temperature-controlled lobby or cargo handling room has been prepared, or that an air curtain has been installed.</li> </ul>
Examples of Documents that Must be Confirmed	-

## 2.4 Delivering from Warehouse

### 2.4.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(III)</b>
<p>Before having food and food products loaded onto refrigerated trucks, warehouse operators should check whether 1) the types and 2) the quantities of the goods, as well as 3) the temperature condition inside refrigerated trucks that carried the goods, are adequate according to the contracts with shippers. This should be done in temperature controlled working areas inside the warehouses. In general, transport operators are responsible for loading food and food products onto their own refrigerated trucks, but warehouse operators are expected to assist transport operators to ensure seamless temperature-controlled environment at intersections between warehouses and transports.</p> <p>(Example)</p> <p>-Before having food and food products shipped out, warehouse operators should confirm 1) the temperature of stored goods to ensure that refrigerated materials are not frozen and that frozen materials are not melted, as well as check 2) the types, 3) the quantities, 4) the existence of damage and soiling of the goods, and 5) any seeming contamination with foreign substances.</p>

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for confirming, within the temperature-controlled loading area, 1) the types of cargo, 2) the quantity of cargo, 3) that the cargo is not damaged or dirty, and 4) the low temperature condition of the cargo when handing over cargo to the transport company.</p>	
<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Use a delivering work check sheet (prescribed form), etc. to conduct “from assorting, shipping inspection, to vehicle loading completion” for picked cargo.</li> <li>○ Confirm cargo type and quantity, that cargo is not dirty or damaged, and the low temperature condition of cargo in the temperature-controlled loading area.</li> <li>○ Set a handling time for cargo according to cargo type and a temperature of a loading area and record an actual handling time.</li> <li>○ Check the reporting structure if there are abnormalities in the cargo and record report details in the prescribed form.</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken for confirming, within the temperature-controlled loading area, 1) the types of cargo, 2) the quantity of cargo, 3) that the cargo is not damaged or dirty, and 4) the low temperature condition of the cargo when handing over cargo to the transport company.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that the warehouse company's dispatching staff is using a picking list or delivery slips for each storage warehouse to check shipping destinations, product names, product code names, management dates, and quantities.</li> <li>○ Confirm that, after confirming cargo to be shipped, the warehouse company's shipping manager is doing inspections in the temperature-controlled loading area using a loading check sheet in the presence of truck crews.</li> <li>○ Confirm that report details (*) are described in irregularity reports when abnormalities are found in the cargo. (* ) Description examples: Report to owner and depositor, description of request for action instructions, description of the action taken after owner and depositor report, date/time of finding, events that are found, cause, improvement measures</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Picking List and Delivering Inspection Table, etc.</li> <li>○ Loading Check Sheet, Cargo receipt</li> <li>○ Delivery Slip, Dispatching Slip</li> <li>○ Irregularity Reports</li> </ul>

## 2.5 Ensuring Safety and Hygiene

### 2.5.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(IV)</b>
<p>Warehouse operators should take some measures about hygiene management for workers who handle food and food products in their refrigerated warehouses.</p> <p>Warehouse operators should clean their warehouses periodically. Warehouse operators should take some measures to protect goods from insects and pests. If insects or pests are discovered, warehouse operators should exterminate them in a manner that would not affect the goods.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Warehouse operators should require workers to wash and dry their hands, change into clean work clothes, wear hygiene caps, and change into floor shoes before entering their warehouses.</li> <li>-Warehouse operators should clean spaces and floors of their refrigerated warehouses regularly. If mice or other pests are found, warehouse operators should exterminate them.</li> </ul>

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for hygiene management. Furthermore, confirm that the manual stipulates specific measures for periodically cleaning inside the warehouse (in low temperature storage areas and facilities) to prevent an outbreak of pests, and in case any pests are found, they should be exterminated in a manner that does not affect any storage item.</p>	
<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Implement the following appropriate and strict hygiene management methods to prevent accidents where foreign materials adhering to food and food products in a storage have a bad effect on human bodies.               <ol style="list-style-type: none"> <li>1) Have workers wash their hands</li> <li>2) Wear gloves to keep hands clean</li> <li>3) Check workers clothing and appearance, and periodically clean work clothes and safety boots</li> <li>4) Keep the 4S's (<i>seiri</i> (organized), <i>seiton</i> (tidy), <i>seiso</i> (clean), <i>seiketsu</i> (hygienic)) condition inside the warehouse and on the premises</li> <li>5) Repair crevices, cracks, or peeling paint if those are found on warehouse walls, ceilings, or floors methodically and remove any bird or insect nests</li> <li>6) Clean and dry pallets and crates, etc.</li> </ol> </li> <li>○ Hire a professional exterminator regularly to take insect/mouse proofing measures.</li> <li>○ When cargo handling work is not taking place, close warehouse entrance shutters to keep pests, mice, and birds from getting inside the warehouse.</li> <li>○ Since wooden pallets create risks of pests and mold, make sure to use plastic pallets.</li> <li>○ Plastic pallets shall not be used except those with non-slip rubber.</li> <li>○ Use the clean ones that are free of pests and mold during cargo loading if wooden pallets are to use.</li> <li>○ Check the reporting structure when hygiene management abnormalities occur, and record handlings of such cases.</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> <li>○ Annual Pest Control Plan</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual for hygiene management are taken.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that managers are actually confirming that worker hands, gloves, work clothes, hats, and shoes,</li> </ul>

	<p>etc. are clean, and are instructing workers to wash their hands and change when these items are dirty or damaged.</p> <ul style="list-style-type: none"> <li>○ Confirm that product storage locations, walkways, and cargo handling locations are cleaned and kept clean.</li> <li>○ Confirm that the cleaning tools are available.</li> <li>○ Confirm that there are no crevices, cracks, or peeling paint on walls, ceilings, or floors in the warehouse and there is a repair plan in case anything corresponding to what described above is found.</li> <li>○ Confirm that there are pest traps.</li> <li>○ Confirm that warehouse entrance shutters are being shut to keep pests, mice, and birds from getting inside the warehouse when cargo handling work is not taking place.</li> <li>○ Confirm that insect repelling lights and electric insect killers are placed outside the warehouse building. Confirm that electric insect killers are also placed in the loading area.</li> <li>○ Confirm that air curtains are installed at the entrances of warehouses where cargo is stored.</li> <li>○ Confirm that cargo is being loaded onto plastic pallets.</li> <li>○ Confirm that clean ones that are free of pests and mold are used during cargo loading if wooden pallets are to use.</li> <li>○ If insect/mouse proofing measures are being outsourced, check reports relating thereto.</li> <li>○ Confirm that event details and preventive measures are being recorded in irregularity reports when hygiene control abnormalities occur.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Report on Insect/Mouse Proofing Measures</li> <li>○ Irregularity Reports</li> </ul>

### 2.5.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(IV)</b>
<p>Warehouse operators should manage their workers' health and take safety measures for equipment and facilities in their warehouses, so that their workers can work safely inside the warehouses.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Warehouse operators should require workers to wear helmets, outfits for cold weather, gloves and safety shoes.</li> <li>-Warehouse operators should provide break times for their workers.</li> <li>-Warehouse operators should ensure that the luminance level inside their refrigerated warehouses is high enough for their workers to check the state of goods visually.</li> <li>-Warehouse operators should let their workers know 1) how to communicate with people outside and 2) how to get out of their warehouses, for emergency cases in which their workers are confined inside their refrigerated warehouses.</li> <li>-Warehouse operators should set a maximum time in which their workers are entitled.</li> </ul>

<b>Work Manual Audit</b>	
<p>Confirm that the specific measures described in the manual with respect to equipment and facility safety measures and worker health management are taken so that workers can work safely in a refrigerated warehouse.</p>	
<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Workers shall wear appropriate helmets or safety caps, warm clothing, gloves, and safety boots, etc.</li> <li>○ Methods for making emergency contact or escaping from the refrigerated warehouse in case workers become trapped inside.</li> <li>○ To ensure the safe and proper operation of forklifts, only those who have obtained a license or have completed the required operational training and are recognized by the warehouse company as having the operational skills shall operate forklifts.</li> <li>○ Display the following cautions when forklifts are operated inside the warehouse.               <ol style="list-style-type: none"> <li>1) Visually confirm vehicle blind spots before operating.</li> <li>2) Sudden starting, turning, and stopping are prohibited.</li> </ol> </li> <li>○ Set worker break times.</li> <li>○ Check the reporting structure when safety measure abnormalities occur, and record handlings of such cases.</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual with respect to equipment and facility safety measures and worker health management are taken so that workers can work safely in a refrigerated warehouse.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that workers are wearing helmets or safety caps, warm clothing, gloves, and safety boots, etc.</li> <li>○ Confirm that only those who have obtained a license or have completed the required operational training and are recognized by the warehouse company as having the operational skills shall operate forklifts.</li> <li>○ Confirm that any cautions like posters are displayed to have workers work safely in the warehouse.</li> <li>○ Confirm that methods for making emergency contact or escaping from the refrigerated warehouse in case workers become trapped inside, are being displayed.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Check the following environments to determine whether the work environment is appropriate in terms of safety. <ul style="list-style-type: none"> <li>1) Warehouse interior brightness</li> <li>2) Whether the floor is frozen</li> <li>3) Whether dust is scattered, whether trash cans are installed</li> <li>4) Display of alert to steps</li> <li>5) Check for water leaks in freezer/chiller and frost on freezer/chiller walls</li> </ul> </li> <li>○ Confirm that event details and preventive measures are being described in irregularity reports when safety measure abnormalities occur.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Irregularity Reports</li> </ul>

### 2.5.3

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(II), (IV)</b>	
<ul style="list-style-type: none"> <li>• Warehouse operators should take some measures to prevent possible loss and theft of food and food products from their refrigerated warehouse. (Example) <ul style="list-style-type: none"> <li>-Warehouse operators should lock doors of their warehouses, except in business hours. Warehouse operators should install security cameras inside their warehouses to inhibit theft.</li> <li>-Warehouse operators should inspect personal belongings of each of their workers at the end of each of the working time slots, if goods are frequently lost from their warehouses.</li> </ul> </li>   <li>• Warehouse operators should take some measures to prevent contamination of food and food products stored inside their refrigerated warehouses by foreign substances or objects. (Example) <ul style="list-style-type: none"> <li>-Warehouse operators should lock the refrigerated warehouse doors outside of business hours.</li> <li>-Warehouse operators should install security cameras inside their refrigerated warehouses to inhibit deliberate tampering.</li> <li>-Warehouse operators should keep records of entry and exit of those who work in their refrigerated warehouses.</li> </ul> </li> </ul>	

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures to keep cargo from getting lost or stolen and to ensure that food and food products stored in the warehouse are not contaminated with foreign matter.</p>	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Do not bring in anything that is not permitted inside the warehouse. Things allowed to be brought in: Writing instruments, calculators, etc.</li> <li>○ Since it could cause contamination by foreign matter and exterior contamination, do not write on cargo exteriors with pens, chalk, or magic markers, etc.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Record information on associated companies or workers entering/exiting inside the warehouse and on the premises.</li> <li>○ Install an appropriate number of security cameras in appropriate locations inside the warehouse.</li> <li>○ Assign security guards as appropriate.</li> <li>○ Check the reporting structure when abnormalities such as cargo loss or theft occur, and record report details.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>	
Confirm that the specific measures stipulated in the manual are taken to keep cargo from getting lost or stolen and to ensure that food and food products stored in the warehouse are not contaminated with foreign matter.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that confirmation records for associated companies and workers who enter/exit inside the warehouse and on the premises are being confirmed in an entrance/exit ledger or via system management.</li> <li>○ Confirm that security cameras have been installed in the warehouse.</li> <li>○ Confirm that security guards have been assigned.</li> <li>○ Confirm that event details and preventive measures are described in irregularity reports when abnormalities such as the loss or theft, etc. of cargo occur.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Entrance/Exit Ledger</li> <li>○ Irregularity Reports</li> </ul>

#### 2.5.4

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(IV)</b>
<p>Warehouse operators should take some measures to operate and manage their refrigerated warehouses continuously and stably even during power outages. (Example)</p> <ul style="list-style-type: none"> <li>-Warehouse operators should install emergency power generators in their warehouses to ensure enough electric supply, so that they can operate and manage their refrigerated warehouses even during power outages.</li> <li>-In power outages, warehouse operators should instruct workers to refrain as much as possible from opening doors and windows in their refrigerated warehouses in order to keep the insides of their warehouses cool, until power supply is restored.</li> </ul>

<b>Work Manual Audit</b>
Confirm that the manual stipulates specific recovery measures during power outages that allow the refrigerated warehouse to be operated continuously during power outages.



Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Provide a standby power source (private generator) taking into account the frequency of power outages and the time required for power to be restored and energized when power outages occur. (*) (* ) Assuming it takes about 50 hours to recover from an earthquake or a power outage, the warehouse should be able to operate for about three days (72 hours) at a minimum.</li> <li>○ Equipment and locations (carriers, lights, opening/closing doors, etc.) that can be used when using private power generation shall be described.</li> <li>○ Heat shield doors should be shut and outside air should not be let in until power is restored and energized.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> <li>○ Business Continuity Plan (BCP)</li> </ul>

<b>On-site Audit</b>	
Confirm that the measures stipulated in the manual are taken with respect to recovery measures during power outages that allow the refrigerated warehouse to be operated continuously during power outages.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that a standby power source (private generator) works properly if it has been installed.</li> <li>○</li> </ul>
Examples of Documents that Must be Confirmed	-

## 2.6 Education and Training

### 2.6.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(V.i)</b>
<p>When temperature control in refrigerated warehouses is not properly performed, the quality of food and food products will deteriorate. This may cause problems to consumers' health, not only as problems for warehouse operators but also as problems for the whole societies. For this reason, warehouse operators should provide a variety of training programs for their involved workers to prevent inappropriate operation.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Warehouse operators should provide their employees with training programs to raise awareness of the importance of proper handling of goods.</li> <li>-To facilitate the improvement of the employees' skill, warehouse operators should provide training programs to inform of facility overview, standard operation of equipment, and measures to ensure safety and hygiene.</li> <li>-Warehouse operators should offer opportunities of "on the job training" ("OJT") to new workers; warehouse operators should have their experienced workers guide new workers while working together.</li> </ul>



-Forwarders Association or Refrigerated Warehousing Association should provide training curriculums on management of cold chain logistics.

<b>Work Manual Audit</b>	
Confirm that the manual stipulates, in specific detail, education plans and training implementation methods for workers so they will be able to reliably carry out the items under 3-1-2.(I) to (IV).	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Prepare an education planning table for new employees, etc., and implement regular external and in-house training, etc. in forklift operation.</li> <li>○ Use a training textbook that describes details about inventory management of cargo in warehouse work, items to be confirmed when intaking and delivering cargo, temperature management and recording methods, and safety and hygiene control, etc.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Education Planning Table</li> <li>○ Training Textbook</li> </ul>

<b>On-site Audit</b>	
Confirm that the training stipulated in the manual is being carried out to educate and train workers so they will be able to reliably carry out the items under 3-1-2.(I) to (IV).	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Confirm the content of training textbooks and training achievements records.</li> <li>○ Confirm that tests to deepen the understanding about the items under 3-1-2.(I) to (IV) are conducted.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Training Implementation Record</li> </ul>

## 2.6.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(V).ii</b>
Warehouse operators should create manuals that describe facility overview, standard operation of equipment and measures to ensure safety and hygiene, in order for their workers to understand the most updated tasks regarding refrigerated warehouses and to handle food and food products appropriately. The compiled manuals must be shared by the workers. (Example) -Warehouse operators should create understandable manuals, with charts and pictures, about tasks at their refrigerated warehouses and circulate them at training programs to their employees.

<b>Work Manual Audit</b>
Confirm that the manual stipulates specific measures for preparing manuals and textbooks that summarize facilities and equipment, such as freezers and chillers, the operation methods, and the measures to ensure safety and hygiene, and being shared with workers, in order to ensure workers understand the latest operations in the refrigerated warehouse and are able to handle cargo appropriately.

Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Make the following efforts to share manuals and textbooks that summarize details on freezers, chillers, and cargo handling equipment; operation methods; and measures to ensure safety and hygiene with workers. <ul style="list-style-type: none"> <li>1) Equipment manufacturers shall prepare manuals and dispatch instructors to implement training.</li> <li>2) Hold workshops</li> <li>3) Place manuals and textbooks within a reach of workers such as working sites and break rooms.</li> </ul> </li> <li>○ Revise the relevant manuals and textbooks when there are updates or changes in the details of facilities and equipment, such as freezers and chillers, the operation methods, and measures to ensure safety and hygiene.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> <li>○ Training Textbook</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken with respect to efforts for ensuring overview and operation methods for freezers and chillers and how to maintain safety and hygiene so that workers understand the latest operations in the refrigerated warehouse and be able to handle cargo appropriately.</p>	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Confirm that the manuals and textbooks that summarize details on freezers, chillers, and cargo handling equipment, operation methods, and measures to ensure safety and hygiene can be seen by anyone and anytime.</li> <li>○ If equipment manufacturers dispatch instructors to implement training, confirm training attendance records.</li> <li>○ Confirm that the manuals and textbooks are revised properly.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Training Attendance Record</li> <li>○ Revision History</li> </ul>

## 2.7 Maintenance and Management of Equipment and Facilities

### 2.7.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-1-2.(VI)</b>
<p>Warehouse operators should take some measures to operate equipment and facilities safely and efficiently. (Example) -Warehouse operators should regularly inspect equipment in their refrigerated warehouses according to regulations, standards, and their own manuals and promptly repair if defects are found.</p>

-If any changes are observed in the internal temperature of refrigerated warehouses, warehouse operators should check whether refrigerators, freezers, doors, or any other equipment and facilities have defects.

<b>Work Manual Audit</b>	
Confirm that the manual stipulates specific measures with respect to regulations for maintaining the safety of freezers and chillers, and measures to be taken in the event of an abnormality.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Prepare a plan for regular equipment and facility inspections, and retain records of the results of such inspections.</li> <li>○ Establish the following mechanisms in order to confirm there is no abnormality in equipment and facility.               <ol style="list-style-type: none"> <li>1) Patrol inside a warehouse</li> <li>2) Install equipment monitoring system</li> </ol> </li> <li>○ Check the reporting structure when equipment or facilities are found to have abnormalities, and record report details in the prescribed form.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Warehouse Work Manual</li> </ul>

<b>On-site Audit</b>	
Confirm measures stipulated in the manual are taken with respect to maintaining the safety of freezers and chillers, and measures to be taken in the event of an abnormality.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the warehouse site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that a plan for implementing equipment and facility repairs and inspections has been prepared.</li> <li>○ Confirm the inspection implementation record, etc. for recording that the following required items have been confirmed in accordance with the plan for implementing equipment and facility repairs and inspections.               <ol style="list-style-type: none"> <li>1) Operation inspections of freezers, chillers, and replacement of worn parts</li> <li>2) Confirmation of firefighting equipment</li> <li>3) Pre-operation inspection, periodic inspection, repairs, and replacement of parts of a forklift</li> </ol> </li> <li>○ Confirm that a system of measures to be taken and for reporting in the event of equipment and facility abnormalities has been prepared as follows.               <ol style="list-style-type: none"> <li>1) Restart equipment power supplies</li> <li>2) Contact outside maintenance provider and ask them to restore the equipment and facilities</li> </ol> </li> </ul>

Examples of Documents that Must be Confirmed	○ Equipment Inspection Record Ledger
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### 3 Work Manual and On-site Audits of “Low Temperature Transport Services”

#### 3.1 Compliance with Relevant Laws and Regulations

ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(IV)
<p>Transport operators should offer their transport services in observance of laws and regulations of countries where they operate. (Example)</p> <p>-Transport operators shall endeavor to obtain the latest information about laws, regulations and standards through industry associations, so that transport operators can understand the influence on their own businesses.</p> <p>-Transport operators are strongly encouraged to contact appropriate and responsible government agencies, if they are concerned about their compliance with laws and regulations of countries where they operate.</p>

Work Manual Audit	
<p>Confirm that the manual stipulates that business licenses and permits applicable to relevant countries and regions are to be acquired from the perspective of complying with relevant laws and regulations applicable to the transport business, and that periodic checks are to be conducted whether the business licenses and permits are valid. Furthermore, confirm that the manual stipulates specific measures for determining whether it is possible to respond to cargo transport requests, in consideration of in-house resources and associated transport periods, etc., when making a transport contract with the owner and depositor.</p>	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Conduct transport business while managing the validity of the following items and complying with relevant laws and regulations. <ul style="list-style-type: none"> <li>1) Information such as business license and permit names, acquisition dates, expiration dates, and the names and provisions, etc. of governing laws</li> <li>2) The method of how business licenses and permits are monitored to prevent them from expiring and who is in charge of it</li> </ul> </li> <li>○ Make a transport contract according to the flowchart and contract items that take items, number of vehicles required, transport destinations, transport periods, and other conditions into consideration with respect to cargo transport requests from the owner and depositor.</li> <li>○ Adjust the maximum quantity of cargo to be shipped in advance to match conditions such as the number of vehicles required, in consideration of variations in the quantity of chilled and frozen cargo handled, when making a transport contract with the owner and depositor.</li> <li>○ When making a transport contract with the owner and depositor, use a contract template that describes the following items.</li> </ul>

	<ol style="list-style-type: none"> <li>1) Transport Range</li> <li>2) Transport Conditions (Temperature Range, Quantity)</li> <li>3) Contract Period</li> <li>4) Liability Insurance</li> <li>5) Fees</li> </ol>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> <li>○ Business License List</li> <li>○ Internal Approval Flowchart for Signing Contracts</li> <li>○ Approval Documents</li> <li>○ Contract Templates, etc.</li> </ul>

<b>On-site Audit</b>	
<p>Confirm whether or not business licenses and permits for the transport business have been obtained and that they are still valid. Furthermore, designate any cargo and confirm that it is being transported under transport contract (number of vehicles and transport periods).</p>	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Check the original version of business licenses and permits for the transport business to confirm they are still valid.</li> <li>○ Confirm the method of how business licenses and permits are monitored to prevent them from expiring with managers. Conduct interviews about the latest update status as needed.</li> <li>○ Check the original version of contract documents that are still valid.</li> <li>○ Check the original version of contract documents to confirm that scope of transport has been described.</li> <li>○ Check the original version of contract documents to confirm that there are no deficiencies or omissions such as missing signatures or no contract date.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Business Licenses and Permits</li> <li>○ Contract Document/Memoranda</li> </ul>

### 3.2 Loading Cargo into Refrigerated Vehicles

#### 3.2.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(I)</b>
<p>Before accepting food and food products from warehouse operators and loading onto refrigerated trucks, transport operators should check whether 1) the type and 2) the quantity of the goods, as well as 3) temperature condition of the refrigerated warehouses, where food and food products were stored, are adequate according to the contracts with shippers. This should be done in a temperature-controlled working areas inside refrigerated warehouses. (Example)</p>

-When receiving goods, transport operators should check the temperature of goods to ensure that refrigerated goods are not frozen and that frozen goods are not melted.

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for checking the internal temperature of the refrigerated vehicle and for inspecting 1) the types of cargo, 2) the quantity of cargo, 3) any damage to the appearance of the cargo, and 4) the temperature of the cargo in the temperature-controlled loading area when loading the cargo into the refrigerated vehicle.</p>	
<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Conduct unloading operation and shipping checks in the temperature-controlled loading area.</li> <li>○ Set, follow, and record refrigerated vehicle pre-cooling procedures (*), as given below. (*In consideration of minimum microbial growth temperatures, pre-cool to -10°C or lower by the time loading begins when frozen cargo is handled, and to about +5°C when handling chilled cargo.</li> <li>○ Set a time to replace vehicles if they do not reach the set temperatures after a certain period of time after the start of pre-cooling.</li> <li>○ If there are any abnormalities (cracks, dents, peeling tape, repairs, broken bands, being wet, etc.) in the exterior condition of the cargo when loading the cargo, report it to the owner and depositor.</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken with respect to checking the internal temperature of the refrigerated vehicle and for inspecting 1) the types of cargo, 2) the quantity of cargo, 3) any damage to the appearance of the cargo, and 4) the temperature of the cargo in the temperature-controlled loading area when loading the cargo into the refrigerated vehicle.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Check the loading check sheet, etc. in which it has been recorded that the required items (*) were confirmed. (* ) Description examples:               <ol style="list-style-type: none"> <li>1) Temperature inside a vehicle</li> <li>2) Work start/end times</li> <li>3) Any damage to the cargo</li> <li>4) Product temperature according to owner and depositor's instructions</li> </ol> </li> <li>○ Confirm that cargo is being loaded into a pre-cooled refrigerated vehicle.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Confirm that report details (*) are being described in irregularity reports when exterior abnormalities are found.</li> <li>(*) Description examples: Report to owner and depositor, description of request for action instructions, description of the action taken after owner and depositor report, date/time of finding, events that are found, product name, quantity</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Loading Check Sheet</li> <li>○ Delivery Slip</li> <li>○ Irregularity Reports</li> </ul>

### 3.2.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(I)</b>
<p>When accepting food and food products and loading onto refrigerated trucks, transport operators should take some measures against the goods' exposure to ambient air that will trigger the increase in the temperature of the goods and the deterioration of their quality.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Transport operators should set time limit for the exposure of food and food products to ambient air.</li> <li>-Transport operators should load food and food products after checking that the inside of their refrigerated trucks are pre-cooled.</li> <li>-Transport operators should promptly load food and food products into refrigerated trucks by using carriages.</li> <li>-Operators of refrigerated delivery services should inhibit the temperature of parcels from rising, by using insulated boxes cooled with cooling materials.</li> </ul>

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for preventing the cargo temperature from rising when cargo is loaded into the refrigerated vehicle.</p>	
<p>Example of Measures Described in the Work Manual</p>	<ul style="list-style-type: none"> <li>○ Cover cargo that may thaw during transportation (sherbet, ice, etc.) with dry ice, a cold insulation sheet, or a foam box, etc. so that the packaged cargo is not directly exposed to the outside air.</li> <li>○ When transporting frozen cargo and chilled cargo mixed together, cover the chilled cargo with a blanket, etc. to prevent it from thawing or drying out due to cold air, and load it so that it is not directly exposed to cold air.</li> <li>○ When using a two-level refrigerated vehicle that allows temperatures to be set to both freezing and chilled temperature ranges, set up partition plates to partition freezing and chilling chambers from one another so that frozen cargo and chilled cargo can be handled in their appropriate temperature ranges.</li> <li>○ In order to circulate cold air inside the refrigerated vehicle, loading should be carried out in a way that the ventilation openings are not blocked.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Set, follow, and record maximum loading time from the temperature-controlled loading area to trucks based on truck size.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken with respect to preventing cargo from being exposed to outside air and temperature rise, so as not to deteriorate the quantity of cargo, when cargo is loaded into the refrigerated vehicle.</p>	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Cover the entire loaded cargo with a blanket, etc. to protect products, and load them quickly using a dolly or a forklift, etc., so that they are not directly exposed to the outside air.</li> <li>○ When using a two-level refrigerated vehicle that allows temperatures to be set to both freezing and chilled temperature ranges, confirm that partition plates are being set up to partition freezing and chilling chambers from one another so that frozen cargo and chilled cargo can be handled in their appropriate temperature ranges.</li> <li>○ When transporting frozen cargo and chilled cargo mixed together, confirm that the chilled cargo is being covered with a blanket, etc. to prevent it from thawing or drying out due to cold air, and being loaded so that it is not directly exposed to cold air.</li> <li>○ Confirm that an air curtain, etc. have been installed at the truck entrance.</li> </ul>
Examples of Documents that Must be Confirmed	-

### 3.3 Transport

#### 3.3.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(II)</b>
<ul style="list-style-type: none"> <li>• Transport operators should instruct drivers of their refrigerated trucks to maintain the internal temperature of cooling storages appropriately. (Example) -Transport operators should thoroughly instruct drivers of the refrigerated trucks not to turn off the engines while waiting at signals.</li> <li>• Transport operators should set appropriate temperature ranges in consultation with shippers and warehouse operators, in light of the characteristics of food and food products</li> </ul>



that are requested to be transported. Transport operators should note the internal temperature of cooling storages of their trucks at regular intervals.

(Example)

-Transport operators should install thermometers and build communication system so that they can monitor, as well as note the internal temperature of cooling storages of their trucks in real time. Transport operators should build alarming systems to know any abnormalities in their refrigerated trucks, including internal temperature's substantial deviation from pre-determined ranges.

### Work Manual Audit

Confirm that the manual stipulates specific measures for monitoring and recording the temperature inside the refrigerated vehicle at the appropriate timings after using a refrigerated vehicle which is able to transport at the temperature range contracted with the owner and depositor beforehand.

Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Monitor the temperature and record the temperature history at the following times when there are abnormalities in transport temperature, or temperature during transport, so that the abnormalities can be reported to the owner and depositor.               <ol style="list-style-type: none"> <li>1) The timing of the measurement of the temperature inside the refrigerated vehicle                   <ol style="list-style-type: none"> <li>a) Temperature inside the vehicle after pre-cooling</li> <li>b) Cargo temperature during loading</li> <li>c) Temperature inside the vehicle when transport started and ended</li> <li>d) Temperature inside the vehicle during transport</li> </ol> </li> <li>2) Use temperature measurement devices (data logger, temperature sensor) to record the measurement results</li> <li>3) Check the thermometer in the vehicle by sight, and record the temperature in the form manually</li> <li>4) Use IT equipment such as GPSs to record real time temperature while driving</li> <li>5) Record the following items in order to accurately measure the temperature inside the vehicle.                   <ol style="list-style-type: none"> <li>a) Conduct thermometers calibration or validation periodically, and record the results</li> <li>b) Air Conditioner defrosting schedule or implementation record</li> </ol> </li> <li>6) Check the reporting structure, latest contact network, and reporting method in the event of abnormalities in the thermometer and digital tachometer, and record responses when such abnormalities occur</li> </ol> </li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that measures prescribed in the manual are being taken, as a sample survey, choose any cargo at will and confirm that it is being transported in the temperature range described in the contract document. In addition, confirm that the temperature inside the vehicle is recorded at the appropriate timings.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Check the temperature record ledger, etc. in which it has been recorded that the required items (*) were confirmed. (* )Description examples: Measurement date/time, measured temperature, measurer</li> <li>○ Conduct the following sample surveys to determine whether the transport temperature described in the transport contract with the owner and depositor is being complied with and whether the temperature is being managed at the appropriate timings.               <ol style="list-style-type: none"> <li>1) Check the record ledger that was recorded manually in the form</li> <li>2) Confirm that digital tachometer measurement results are being saved as data (Excel or system)</li> <li>3) Use GPS to confirm temperature management measurement results in real time</li> <li>4) Check the following management forms to ensure accurate temperature measurement inside the vehicle                   <ol style="list-style-type: none"> <li>a) Conduct thermometers calibration or validation periodically, and record the results</li> <li>b) Air Conditioner defrosting schedule or record</li> </ol> </li> <li>5) Confirm response records (*) in the event of abnormalities in the thermometer or digital tachometer, etc. (* )Description examples: Date of finding, events that are found, causes, and improvement measures</li> </ol> </li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Digital tachometer data and temperature record ledger, etc.</li> <li>○ Transport Contracts/Memoranda</li> <li>○ Irregularity Reports</li> </ul>

### 3.3.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(II)</b>
<p>Transport operators should instruct drivers of their refrigerated trucks to drive in such a good manner that they can prevent food and food products inside the refrigerated trucks from perishing during transport. (Example)</p>

-Transport operators should install the Global Positioning System (GPS) and digital tachometers on their refrigerated trucks to manage running records. Transport operators should instruct drivers who often do sudden start, sudden braking, and sudden steering to improve their driving manners.

<b>Work Manual Audit</b>	
Confirm that the manual stipulates specific measures for training designated drivers to comply with safe driving and driving habits to prevent damage to cargo during transport.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Implement driver training and confirmation tests to train drivers in safe driving and driving habits to prevent cargo damage.</li> <li>○ To prevent damaging light cargo, heavy cargo should generally be placed under light cargo.</li> <li>○ Protect cargo that is easily damaged by wrapping it in a blanket, etc.</li> <li>○ Do not stack cargo vertically so that it will not collapse due to vibration during driving.</li> <li>○ To prevent the packing material from being crushed or damaged, do not stack the cargo with gaps between, and use wraps, and cushioning materials (boards, styrofoam), etc.</li> <li>○ Comply with legal and corporate speed limits, and keep a driving record of the digital tachometer.</li> <li>○ Check the reporting structure, latest contact network, and reporting method in the event of abnormalities in the cargo transport, and record responses when such abnormalities occur.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Training Textbook, Confirmation Test</li> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
Confirm that the measures stipulated in the manual are taken for training designated drivers to comply with safe driving and driving habits to prevent damage to cargo during transport.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Confirm safe driving and driving habits training implementation records.</li> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that the cargo is secured using lashing belts or partitions.</li> <li>○ Confirm that the cargo is not loaded with gaps to prevent it from collapsing.</li> <li>○ Confirm that event details and preventive measures are described (*) in irregularity reports when cargo is damaged (broken or crushed).</li> </ul>

	(*) Description examples: Report to owner and depositor, description of request for action instructions, description of the action taken after owner and depositor report, date/time of occurrence, events that occurred, cause, improvement measures
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Training Implementation Record</li> <li>○ Irregularity Reports</li> </ul>

### 3.4 Transferring and Unloading

#### 3.4.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(III)</b>
<p>When transferring food and food products between multiple refrigerated trucks at customs offices or logistics centers, transport operators should take some measures against the goods' exposure to ambient air that will trigger the increase in the temperature of the goods and the deterioration of their quality.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-When transloading food and food products outdoors between multiple refrigerated trucks, including around customs offices, the drivers of these trucks should match each of the freight bed doors of their trucks, so that food and food products are not exposed to ambient air. Drivers should unload and load quickly and open and close the freight doors promptly.</li> <li>-Transport operators should set time limit for the exposure of food and food products to ambient air.</li> <li>-Operators of refrigerated delivery services should prevent the temperature of parcels from rising, by using insulated boxes cooled with cooling materials.</li> </ul>

<b>Work Manual Audit</b>	
Confirm that the manual stipulates specific measures for preventing cargo from temperature rise when a driver of the refrigerated vehicle transfers cargo at logistics centers or dry ports that lack low temperature facilities.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Close the doors of the vehicle immediately after the cargo is unloaded from the vehicle.</li> <li>○ Use dry ice, heat shield sheets, blankets, etc. to prevent cargo temperature from rising.</li> <li>○ Use digital tachometers or data loggers, etc. to manage temperatures and record temperature history.</li> <li>○ Check the reporting structure, latest contact network, and reporting method in the event of abnormalities during cargo transfer and unloading, and record responses when such abnormalities occur.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken with respect to preventing cargo from temperature rise when a driver of the refrigerated vehicle transfers cargo at logistics centers or dry ports that lack low temperature facilities.</p>	
<p>Examples of Checkpoints in On-site Audits</p>	<ul style="list-style-type: none"> <li>○ Conduct the following interviews with the person in charge at the site regarding the transfer operation method to prevent cargo temperature from rising.               <ol style="list-style-type: none"> <li>1) Confirm that doors of the vehicle are closed immediately after the cargo is unloaded from the vehicles.</li> <li>2) Confirm that dry ice, heat shield sheets, blankets, etc. are used</li> <li>3) Confirm that temperature histories are recorded using digital tachometers or data loggers, etc.</li> <li>4) Confirm that event details and preventive measures are described (*) in irregularity reports when cargo is damaged (broken or crushed), etc. during a transfer operation.</li> </ol> </li> <li>(*) Description examples: Report to owner and depositor, description of request for action instructions, description of the action taken after owner and depositor report, date/time of occurrence, events that occurred, cause, improvement measures</li> </ul>
<p>Examples of Documents that Must be Confirmed</p>	<ul style="list-style-type: none"> <li>○ Digital tachometer data and data loggers, etc.</li> <li>○ Irregularity Reports</li> </ul>

### 3.4.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(III)</b>
<p>When handing over food and food products of refrigerated trucks to distributors, drivers should check 1) the type and 2) the quantity of the goods, as well as 3) the temperature condition inside refrigerated trucks that carried the goods, are adequate according to the contracts with shippers. This should be done in the distributor's temperature-controlled areas.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Before unloading food and food products from the refrigerated trucks, drivers should check the temperature of transported goods to ensure that refrigerated goods are not frozen and that frozen goods are not melted.</li> <li>-Drivers should not place food and food products to be delivered to distributors directly on the ground when goods are unloaded from their refrigerated trucks.</li> </ul>

<b>Work Manual Audit</b>
<p>Confirm that the manual stipulates specific measures for confirming 1) the types of cargo, 2) the quantity of cargo, 3) any damage to the appearance of the cargo and 4) the low temperature condition of the cargo, within the temperature-controlled loading area, when drivers hand over cargo to the owner and depositor.</p>

Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ To confirm whether cargo abnormalities have occurred under the responsibility of the transport company, use vouchers to confirm 1) the types of cargo, 2) the quantity of cargo, 3) any damage to the appearance of the cargo, 4) the low temperature condition of the cargo, and 5) cargo delivery completion in the presence of the owner and depositor when cargo is unloaded.</li> <li>○ Cargo is handed over in the temperature-controlled loading area.</li> <li>○ As a measure for cases where cargo delivery locations are not temperature controlled, cover the cargo with a cold insulation sheet in advance, prepare a cool insulation box or dry ice, etc.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken with respect to confirming 1) the types of cargo, 2) the quantity of cargo, 3) any damage of the appearance of the cargo, and 4) the low temperature condition of the cargo, within the temperature-controlled loading area, when drivers hand over cargo to the owner and depositor.</p>	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Conduct the following interviews with the person in charge at the site regarding the operation methods when the driver hands cargo over to the owner and depositor. <ul style="list-style-type: none"> <li>1) Confirm types and quantity of cargo, any damage to the appearance of cargo, the low temperature condition of cargo, and the owner and depositor's confirmer signature from the receipt</li> <li>2) Confirm that, in cases where cargo delivery locations are not temperature controlled, measures are taken to cover the cargo with a cold insulation sheet in advance, to prepare a cool insulation box or dry ice, etc.</li> </ul> </li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Invoice</li> <li>○ Receipt</li> </ul>

### 3.5 Ensuring Safety and Hygiene

#### 3.5.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(IV)</b>
<p>Since drivers of refrigerated trucks handle food and food products, transport operators should take some measures for hygiene control. (Example)</p>

- Transport operators should require their drivers to frequently wash and dry their hands and wear clean working clothes.
- Transport operators should clean refrigerated trucks periodically.

<b>Work Manual Audit</b>	
Confirm that the manual stipulates specific measures for hygiene management.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Clean vehicles weekly.</li> <li>○ Use detergent to clean vehicle exteriors, water to clean interiors. Furthermore, dry interiors after cleaning to prevent rust and mold.</li> <li>○ Obtain permission from the in-house maintenance department when using detergents to clean the vehicle interiors which are extremely dirty.</li> <li>○ Confirm that the vehicles or containers are clean and free of odors before loading to prevent odors from spreading to the cargo.</li> <li>○ Do not use the same vehicle to deliver products that may spread odors to other products.</li> <li>○ Drivers shall wear clean work clothes and gloves.</li> <li>○ Check the reporting structure, latest contact network, and reporting method in the event of abnormalities in the hygiene management, and record responses when such abnormalities occur.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
Confirm that the measures stipulated in the manual for hygiene management are taken.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that information on how to properly wear work clothes, how to wash hands, how to organize and use cleaning tools, and precautions when entering the warehouse are posted on the bulletin board.</li> <li>○ Confirm that managers actually confirm that workers' hands, gloves, work clothes, hats, shoes, etc. are clean, and instruct workers to wash their hands or change their clothes when these items are dirty.</li> <li>○ Confirm that the vehicle driver seat and loading platform are clean.</li> <li>○ Confirm that event details and preventive measures are described (*) in irregularity reports when hygiene management abnormalities occur.</li> </ul> <p>(*) Description examples: Date of occurrence, events that occurred, causes, and improvement measures</p>

Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Cleaning Record Ledger</li> <li>○ Irregularity Reports</li> </ul>
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### 3.5.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(IV)</b>
<p>Transport operators should instruct drivers of refrigerated trucks to follow traffic rules, as well as work on improving their driving manners, to avoid traffic accidents. In addition, transport operators should consider some measures in advance in case where trucks encounter traffic accidents.</p> <p>(Example)</p> <p>-Transport operators should monitor driving situation by installing GPS on their refrigerated trucks, and if unexpected situations, such as a long stoppage, occur, they should contact the drivers and confirm their safety.</p>

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for instructing drivers to comply with traffic rules and improve their driving habits. In addition, confirm that the manual stipulates specific measures to prepare for the case that drivers encounter traffic accidents.</p>	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Participate in training offered by vehicle manufacturers and conduct in-house training on traffic rules and manners.</li> <li>○ Turn off the vehicle's engine and install wheel stops, in order to prevent the vehicle from moving during loading and unloading.</li> <li>○ Install GPS in vehicles to monitor driving conditions. When abnormalities occur, the operation management team shall contact the drivers to confirm their safety.</li> <li>○ Check the driver's physical condition (health, mental, residual alcohol, lack of sleep, fever, etc.) before driving.</li> <li>○ If deliveries are delayed due to traffic accidents, etc., drivers shall notify the in-house dispatcher of their statuses such as current location and estimated arrival time.</li> <li>○ Check the reporting structure, latest contact network, and reporting method in the event of traffic accidents, and record responses when accidents occur.</li> <li>○ Prepare a crew list to manage driver's names, license numbers, license expiration dates, and renewal dates for other types of licenses held.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Instruction Planning Table</li> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken with respect to instructing drivers to comply with traffic rules and improve their driving habits. In addition, confirm</p>	



that the measures stipulated in the manual are taken to prepare for the case that drivers encounter traffic accidents.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Confirm record of training achievements.</li> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that drivers turn off the vehicle engines and install wheel stops, in order to prevent moving during loading and unloading.</li> <li>○ Confirm that drivers are being subjected to alcohol, drug, and health checks before driving.</li> <li>○ Confirm the structure for reporting the status, such as the current location, estimated arrival time from the drivers to the in-house dispatchers in the event that deliveries are delayed due to traffic accidents, etc.</li> <li>○ Confirm that event details and preventive measures are described (*) in irregularity reports when traffic accidents occur. (* ) Description examples: Date of occurrence, events that occurred, causes, and improvement measures</li> <li>○ Confirm that drivers' licenses have not expired.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Training Record Sheets</li> <li>○ Crew Lists</li> <li>○ Irregularity Reports</li> </ul>

### 3.5.3

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(II), (IV)</b>
<ul style="list-style-type: none"> <li>• Transport operators should take some measures to prevent possible loss and theft of food and food products from their refrigerated trucks during transport. (Example) -Transport operators should lock their refrigerated trucks firmly while they are driving. Transport operators should thoroughly instruct their drivers not to open the cargo doors, except in emergencies.</li> <li>• Transport operators should take some measures to prevent cargoes such as food and food products from contamination by foreign substances in the process of the transportation. (Example) -Transport operators should lock their refrigerated trucks firmly while they are driving. Transport operators should thoroughly instruct their drivers not to open the cargo doors, except in case of emergencies.</li> </ul>

<b>Work Manual Audit</b>
Confirm that the manual stipulates specific measures to prevent loss or theft of cargo during transport by drivers.

Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ After cargo is loaded, lock loading platforms on vehicles detained on standby.</li> <li>○ Take theft prevention measures such as locking doors when leaving vehicles to prevent vehicles from being stolen.</li> <li>○ Check the reporting structure, latest contact network, and reporting method in the event of abnormalities such as loss or theft of cargo, and record responses when cargo get lost or stolen.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
Confirm that the measures stipulated in the manual are taken to prevent loss or theft of cargo when transporting by drivers.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that loading platforms on vehicles detained on standby are being locked after cargo is loaded.</li> <li>○ Confirm the following to see if a reporting structure has been established in the event of abnormalities such as loss or theft of cargo. <ul style="list-style-type: none"> <li>1) Drivers or accompanying confirmers shall report the incidents to delivery supervisors or person in charge</li> <li>2) Delivery supervisors shall report the incidents to person in charge of the operation, who shall share the incidents internally</li> <li>3) Drivers or delivery supervisors shall call the police to report the theft if necessary.</li> <li>4) Lost or stolen products will be cancelled or an alternative product will be delivered on the same day or the next day after coordination with the customer.</li> <li>5) Accident events, causes, and prevention measures shall be described in reports and submitted to customers.</li> </ul> </li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Irregularity Reports</li> </ul>

### 3.5.4

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(IV)</b>
Transport operators should determine safe and efficient transport routes in advance, so that refrigerated trucks can reliably deliver cargoes to distributors. (Example)

-Operations managers of transport operators should decide a safe and efficient transport routes for their refrigerated trucks, considering information about weather forecasts and traffic congestion as well as past records of transport times.

<b>Work Manual Audit</b>	
Confirm that the manual stipulates specific measures to establish safe transport routes so that the drivers of the refrigerated vehicle can deliver the cargo to the owner and depositor on time with certainty.	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Operation managers shall give appropriate routes instructions to the driver to ensure that the cargo is delivered to the owner and depositor on time.</li> <li>○ Safe transport routes shall be secured by taking the following measures in the event of natural disasters or extreme weather conditions, such as heavy rain, storms, heavy fog, earthquakes.               <ol style="list-style-type: none"> <li>1) Move up departure times to give drivers more time for driving</li> <li>2) Confirm in advance the structure and method of communication with drivers while driving</li> <li>3) Clearly instruct drivers to suspend operations, wait temporarily, drive slowly, etc.</li> <li>4) In case of evacuation or standby, give drivers clear instructions on the designation of evacuation and standby areas.</li> <li>5) In the event of disasters, operation managers shall give priority to safety and ensure the safety of the operation.</li> <li>6) Drivers shall notify operation managers if there is a delay in arrival while driving.</li> </ol> </li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
Confirm that the measures stipulated in the manual are taken to establish safe transport routes so that the drivers of refrigerated vehicles can deliver the cargo to the owner and depositor on time with certainty.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm that operation managers shall set driving routes and instruct drivers to appropriate driving routes, in consideration of the distance to the delivery destinations and quantity of cargo to be delivered, etc.</li> <li>○ Interview the person in charge about measures to be taken in case of natural disasters or extreme weather conditions, such as heavy rain, storms, heavy fog, earthquakes.</li> </ul>

Examples of Documents that Must be Confirmed	-
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### 3.6 Education and Training

#### 3.6.1

ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(V).i)
<p>When temperature control in refrigerated trucks is not properly performed, the quality of food and food products will deteriorate. This may cause problems to consumers' health, not only as problems for transport operators but also as problems for the whole societies. For this reason, transport operators should provide a variety of training programs for their refrigerated truck drivers to prevent inappropriate operation.</p> <p>(Example)</p> <ul style="list-style-type: none"> <li>-Transport operators should provide their employees with training programs to raise awareness of the importance of proper handling of goods.</li> <li>-To facilitate the improvement of employees' skill, transport operators should provide training programs in which they inform the employees of facility overview, standard operation of equipment and measures to ensure safety and hygiene.</li> <li>-Transport operators should offer opportunities of "on the job training" ("OJT") to new workers; transport operators should have their experienced drivers guide new drivers while riding on refrigerated trucks together.</li> <li>-Forwarders Association or Trucking Association should provide training curriculums on management of cold chain logistics.</li> </ul>

Work Manual Audit	
<p>Confirm that the manual stipulates, in specific detail, education plans and training implementation methods for drivers so they will be able to reliably carry out the items under 3-2-2.(I) to (IV)</p>	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Prepare an education planning table for new employees, etc., and implement the following regular training.               <ul style="list-style-type: none"> <li>1) New drivers shall receive driver training from experienced drivers for two weeks after joining the company, and shall take tests regarding cargo handling after completing driver training.</li> <li>2) Drivers shall take training courses in safe driving.</li> </ul> </li> <li>○ Use a training textbook that contains information on precautions to be taken when loading, transporting, transferring, and unloading cargo in refrigerated vehicles, as well as contents on safety management, quality management, and hygiene management.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Education Planning Table</li> <li>○ Training Textbook</li> </ul>

On-site Audit
<p>Confirm that the training stipulated in the manual is being carried out to educate and train drivers so they will be able to reliably carry out the items under 3-2-2.(I) to (IV).</p>

Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Confirm the content of training textbooks and training achievement records.</li> <li>○ Confirm that tests are being implemented to deepen the degree to which items under 3-2-2.(I) to (IV) are understood.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Training Implementation Record</li> </ul>

### 3.6.2

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(V).ii)</b>
<p>Transport operators should create manuals that describe facility overview, standard operation of equipment and measures to ensure safety and hygiene, in order for their drivers to understand the most updated tasks regarding refrigerated trucks and to handle food and food products properly. The compiled manual must be shared by the workers. (Example)</p> <p>-Transport operators should create understandable manuals, with charts and pictures, about tasks of loading, transport, transferring and unloading. Transport operators should circulate the manuals at training programs to their employees.</p>

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures for preparing manuals and textbooks that summarize facilities and equipment, such as freezers and chillers, the operation methods, and measures to ensure safety and hygiene, and being shared with drivers, in order to ensure drivers understand the latest operations in the refrigerated vehicles and are able to handle cargo appropriately.</p>	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Training will be conducted by vehicle manufacturers using manuals prepared by them.</li> <li>○ Make the following efforts to share a manual and a textbook that summarize details on the facilities and equipment, such as freezers and chillers, the operation methods, and measures to ensure safety and hygiene with drivers. <ul style="list-style-type: none"> <li>1) Hold workshops</li> <li>2) Place manuals and textbooks within a reach of workers such as offices and break rooms.</li> </ul> </li> <li>○ Revise the relevant manuals and textbooks when there are updates or changes in the details of facilities and equipment, such as freezers and chillers, the operation methods, and measures to ensure safety and hygiene.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> <li>○ Training Textbook</li> </ul>

<b>On-site Audit</b>	
<p>Confirm that the measures stipulated in the manual are taken with respect to the facilities and equipment, such as freezers and chillers, the operation methods, and measures to</p>	

ensure safety and hygiene, in order to ensure drivers understand the latest operations in the refrigerated vehicles and are able to handle cargo appropriately.	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Confirm that the manuals and textbooks that summarize details of the facilities and equipment, such as freezers and chillers, the operation methods, and measures to ensure safety and hygiene can be seen by anyone and anytime.</li> <li>○ If vehicle manufacturers dispatch instructors to implement training, confirm training attendance records.</li> <li>○ Confirm that the manuals and textbooks are revised properly.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Training Attendance Record</li> <li>○ Revision History</li> </ul>

### 3.7 Maintenance Management of Equipment and Facilities

#### 3.7.1

<b>ASEAN-Japan Guidelines on Cold Chain Logistics 3-2-2.(VI)</b>	
<p>Transport operators should take some measures to operate equipment and facilities safely and efficiently.</p> <p>(Example)</p> <p>-Transport operators should regularly inspect the equipment of their refrigerated trucks according to regulations, standards, and their own manuals and promptly repair if defects are found.</p> <p>-If any changes are observed in the internal temperature of the refrigerated trucks, transport operators should check whether refrigerators, freezers, doors or any other equipment and facilities have defects.</p>	

<b>Work Manual Audit</b>	
<p>Confirm that the manual stipulates specific measures with respect to regulations for maintaining the safety of vehicle equipment and devices, etc., and measures to be taken in the event of an abnormality.</p>	
Example of Measures Described in the Work Manual	<ul style="list-style-type: none"> <li>○ Defrost vehicle Air Conditioner as follows on a regular basis             <ol style="list-style-type: none"> <li>1) Automatic defrosting while driving</li> <li>2) If operated manually from the driver seat panel, defrost about once a day after delivering the cargo and before returning to the garage</li> </ol> </li> <li>○ Conduct vehicle inspections according to the vehicle inspection system.</li> <li>○ Inspect the following to confirm there are no abnormalities with vehicles before driving.             <ol style="list-style-type: none"> <li>1) Tire pressure</li> <li>2) Cooling water level</li> <li>3) Engine oil level</li> <li>4) Lights and hazard lights lite and blink</li> </ol> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Receive maintenance of freezers by freezer manufacturers regularly.</li> <li>○ Check the reporting structure, latest contact network, and reporting method in the event of abnormalities in freezers and vehicles, and record responses when such abnormalities occur.</li> </ul>
Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"> <li>○ Transport Manual</li> </ul>

<b>On-site Audit</b>	
<p>Confirm measures stipulated in the manual are taken with respect to maintaining the safety of vehicle equipment and devices, etc., and measures to be taken in the event of an abnormality.</p>	
Examples of Checkpoints in On-site Audits	<ul style="list-style-type: none"> <li>○ Have the manager be present at the transport site and confirm that the measures described in the manual have been taken appropriately and reliably.</li> <li>○ Confirm inspection implementation records, etc. of vehicle equipment and device daily and regular inspections.</li> <li>○ Based on the vehicle management ledger, confirm that vehicles subject to annual inspection are clearly identified and that the following pre-drive vehicle inspections are conducted. <ul style="list-style-type: none"> <li>1) Tire pressure, whether there are nails stuck in the tire, and whether the tire grooves are worn out</li> <li>2) Cooling water level</li> <li>3) Engine oil level</li> <li>4) Lights and hazard lights lite and blink</li> <li>5) Battery fluid level</li> <li>6) The condition of engine starting and whether there are any unusual noises</li> <li>7) The condition of brake efficacy</li> <li>8) The condition of wiper operation</li> </ul> </li> <li>○ Conduct the following interviews with the person in charge regarding the measures to be taken when abnormalities are discovered in vehicle equipment and devices, etc. <ul style="list-style-type: none"> <li>1) Contact maintenance companies when abnormalities are discovered during pre-drive vehicle inspection, and have them replace parts such as tires, lights, batteries, engine oil, etc.</li> <li>2) After contacting the delivery supervisor when a vehicle breaks down while driving, have the maintenance company replace parts, or switch out the vehicle</li> <li>3) If a freezer breaks down, contact the maintenance company and have them switch out the delivery vehicle</li> </ul> </li> </ul>

Examples of Documents that Must be Confirmed	<ul style="list-style-type: none"><li>○ Inspection Implementation Records</li><li>○ Vehicle Management Ledgers</li><li>○ Irregularity Reports</li></ul>
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