

Wisetek Solutions (Thailand) Limited

AUDIT REPORT

2nd surv. of ISO 9001 & ISO 14001 and Re-
cert+Migration to 45001

Report issued at 2:38 GMT on 04-Nov-2020



Wisetek Solutions (Thailand) Limited **AUDIT REPORT**

Client ID#:	CMPY-066367
Client/Address:	Wisetek Solutions (Thailand) Limited 218/1-2 Moo 3, Laem Chabang Industrial Estate, Thungsukla, Sriracha, Chonburi 20230 Thailand
Audit Criteria:	ISO 14001:2015, ISO 45001:2018, ISO 9001:2015
Audit Activity:	2nd surv. of ISO 9001 & ISO 14001 and Re-cert+Migration to 45001
Date(s) of Audit:	Sriracha, Thailand: 29-Oct-2020 to 30-Oct-2020
Auditor(s) (level):	Savane Kevalakul (Lead Auditor, Sriracha, Thailand) Avinash Zare (Auditor, Sriracha, Thailand) Chayada Phumphinyo (Auditor, Sriracha, Thailand) napaporn Meesa-ard (Auditor, Sriracha, Thailand)
Scope of Audit and Scope of Certification:	<p>Site: <i>Wisetek Solutions (Thailand) Limited, Sriracha, Chon Buri, Thailand</i></p> <p>ISO 14001:2015: Repairing Services for Electronic Part & Equipment. Exclusions from scope: N/A</p> <p>ISO 45001:2018: Repairing Services for Electronic Part & Equipment Exclusions from scope: N/A</p> <p>ISO 9001:2015: Repairing Services for Electronic Part & Equipment. Exclusions from scope: - 8.3 Design and development of products and services.</p>

OVERALL RESULT:

No Action Required

The management system was found to be fully effective. (no nonconformities issued)

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EXECUTIVE SUMMARY

Overall of summary conclusions of the audit regarding to implementation and effectiveness of the management system comparison of last audit found the organization has implemented and maintained of management systems

SWOT ANALYSIS

Strengths	<ul style="list-style-type: none"> - Top management and Team have the strong commitment to do ISO9001:2015, ISO14001:2015 and OHSAS18001:2007 - All Operators are trained with quality, ENV. and Safety topic point and good awareness to work with safety condition - Company have maintained the excellence housekeeping & cleanliness, good machine and infrastructure. - Strong protection of COVIC 19 - Clear Procedure, WI and SOP of activities inside company and all employees have the good competency in their duty. - Achieve many awards in year 2019 till present; such as, WEEE (Waste Electrical and Electronic Equipment), Green industry, R2 certification (responsible recycling), CSR (Cooperate Social Responsibility), Productivities of Electrical and Electronic waste management)
Weaknesses	<ul style="list-style-type: none"> - N/A
Opportunities	<p>OFI no. CDP01:</p> <ol style="list-style-type: none"> 1.The EMP of environmental objective may be more detail each activity to ensure the environmental objectives achieve target. 2. The evidence of compliance obligation evaluation may be clearly defined in the obligation list. 3. Operational control procedure of EMS (WTK-EMS-TH-012) may be revised the detail for ensuring the correct of operation control.
Threats	<ul style="list-style-type: none"> - COVIC 19 Disease.

INTERTEK MATURITY MODEL

The score descriptions are generic to all management systems and cannot be customized by the auditor, thus allowing for the consistency of interpretation and standardization of audit results worldwide. The scores provided to your organisation are for benchmarking purposes only and are based on the audit team's evaluation.

Management

Meets Intent

Evidence of management commitment, customer and/or interested party satisfaction, knowledge/awareness of policy and objectives does exist. Responsibility and authority is documented, understood and supported via data, trends and related KPI's. Management reviews are complete and meet the minimum intent.

Internal Audits

Meets Intent

Internal audits are being performed at planned intervals and are based on status and importance of the Management System. Data is being collected on regular basis. Audit teams are trained, impartial and objective in their approach. Audit reports are clear, concise with respect to content. Actions are being taken as a result of audit findings and timely responses are provided.

Corrective Action

Meets Intent

The corrective action process meets the minimum requirements as defined by the standard. Data does exist from such sources such as customer and/or interested party complaints, internal audits, warranty analysis, defects, internal metrics and supplier performance. The process includes a review of the effectiveness of the actions taken. There is evidence of problem solving tools being used to support the process.

Continuous Improvement

Meets Intent

Data streams are being used as sources to drive continual improvement over time. These may include management system policy, objectives, and audit results, analysis of data, CAPA and management reviews.

Operational Control

Meets Intent

Operational Controls are planned and developed. Planning is consistent with many of the other Management processes. Objectives, process requirements, needs for appropriate additional documents and resources, verification and monitoring activities and records requirements have been determined, as appropriate. Processes and activities run consistently. Some data is collected to verify the adequacy of operational controls with evidence of some improvement trends.

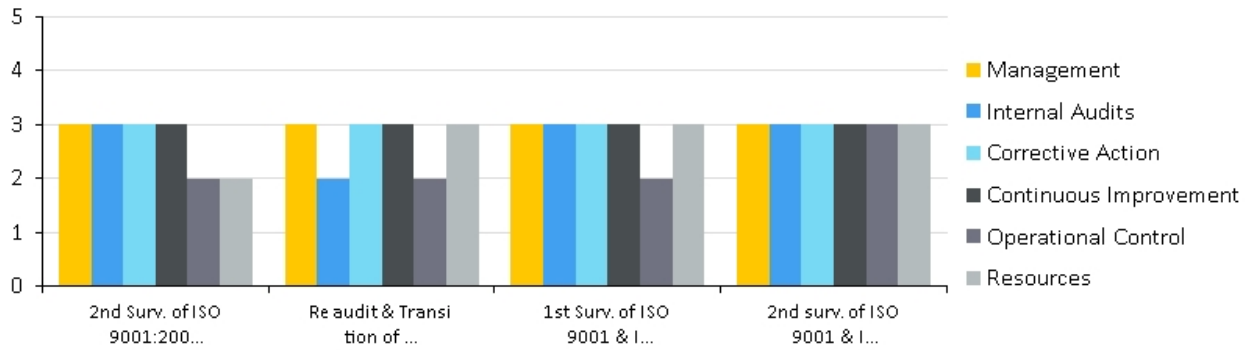
Resources

Meets Intent

Resources required for the effective maintenance and improvement of the management system have been defined and deployed. Customer and/or interested party satisfaction and overall stability of the management system has been demonstrated. Competency requirements have been defined and implemented.

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Intertek Maturity Model



Rating: 5=Benchmark | 4=Mature | 3=Meets Intent | 2=Beginning | 1=Not Evident

FINDING SUMMARY

	Minor	Major
Issued during current activity	0	0
Closed from previous activities	0	2

Opportunities for improvement have been identified

Yes

STATUS OF PREVIOUS AUDIT FINDINGS

Follow-up on findings issued at previous audit:

Non conformities raised at the last audit have been closed. No further actions required.

Report on closure of previous findings

Follow up 4 CARs and 2 OFIs from the previous audit; as the following,

CAR no. MYC01: See the updated risk assessment on 20 August 2020 that contains all related activities and hazard in company adequately. Accept to close this CAR.

CAR no. MYC02: See the effectiveness of environmental aspect for life cycle perspective such as waste recycle and disposal in WTK-EMS-TH-010 and WTK-EMS-F-TH-002. Accept to close this CAR.

CAR no. TSP01: See the comment of loading lift in monitoring report with correction taken adequately. Accept to close this CAR.

CAR no. TSP02: See the legal compliance result of all related legal in year 2020 with 100% compliance. Accept to close this CAR.

OFI no. TSP03:

1. See the SWOT analysis that related the business strategy.
2. See the completely management review input and output in the minute of meeting.

OFI no. MYC:

1. See the safety guard settle of shredder machine.
2. See the PM checklist of grinding machine
3. See the suitable criteria of likelihood in risk assessment

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Findings from the previous activity that could not be closed

No

EVIDENCE SUMMARY

The state of the management system is summarized below:

Conclusion of Client's Processes/Functional areas audited including KPI/Metrics

Exclusion of QMS: 8.3 design and development due to make as product' specification.

No exclusion of EMS and ISO45001

Policy of Quality: Wisetek is committed to enhance the customer satisfaction by delivering products and services that consistently exceed expectations. We strive to continuously improve the performance, quality and value of our products and services through innovation and the excellence of our processes. Our commitment is achieved through the active participation of all our employees and the use of lean sigma methodology.

Policy of Environmental: Wisetek aims to exceed our customers' expectations in environmental sustainability, corporate security (preproperty, data & brand), and financial returns. Wisetek strives to be recognized by our customers, employees and the community as a responsible business, committed to best environmental practice and absolute transparency in all our work practices.

We will carry out our business in a manner that protects the environment and in so doing we are committed to:

- Continually improving our environmental performance and setting out our environmental objectives accordingly.
- Globally complying with all relevant legal environmental requirements and exceeding the objectives of our customers.
- Preventing pollution and implementing our zero-landfill policy.

Policy of Occupational health & safety: Wisetek will do all that is reasonably practicable to secure the safety, health, and welfare of our employees whilst at work, and all others affected by our work.

Wisetek is committed to the prevention of injury and ill health and will endeavor to continually improve our safety, health & welfare management and performance.

It is the policy of Wisetek to comply with any relevant health and safety legislation, and with all legal enactments relating to safety, health and welfare in the workplace. Wisetek will provide appropriate information, training and supervision our employees to enable them to contribute and to achieve a safe and healthy working environment.

All employees have the responsibility to co-operate with management to achieve a health and safe workplace.

It is the responsibility and duty of all employees to comply with the company's health and safety policy by exercising due caution and care and by taking all reasonable precautions to avoid injury to themselves and those who may be affected by their actions.

Wisetek recognizes it is the responsibility of management to provide and maintain safe working conditions and will endeavor to do everything that is reasonably practicable to comply with this responsibility.

The achievement of a safe and healthy working environment requires the commitment and cooperation of all employees and others affected by our work.

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After interview all staffs, they understand clearly. Top management communicates this policy and objective target with announcement board and web site. After interview all staffs, they understand clearly. Including announce to all related parties via announcement on 6 January 2020.

This policy is appropriate to the purpose and context of the organization and supports its strategic direction and its relate to set the framework of KPI.

External provider: Security guard, Logistic car and calibration service

Wisetek Solutions (Thailand) Limited was established on 18 April 2007 and implemented ISO45001:2018 on 6 January 2020.

Interview management team (interview Mr. Tirawat J./ Plant Manager)

Top management has involved and set up role and responsibility to support quality management system. Seen demonstrate leadership and commitment with respect to the quality management system by taking accountability for the effectiveness of the quality management system the quality policy and quality objectives are established for the quality management system compatible with the context and strategic direction of the organization the promoting the use of the process approach and risk-based thinking ensuring that the resources needed for the quality management system are available communicating the importance of effective quality management and of conforming to the quality promoting improvement the leadership and commitment with respect to customer focus and applicable statutory and regulatory requirements are determined, understood and consistently the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed the focus on enhancing customer satisfaction is maintained.

Statutory and regulatory requirement (interview Ms. Nutkamon Y./ QMR, Ms. Patchanida J./ EMR & OHSMR)

Seen organization has implemented a quality management system based on products requirement from customer that meet customer and applicable statutory and regulatory requirements such as compliance product standard including local government requirement, such as, R2 standard, customer's requirement, Thai regulatory (i.e. Kor Nor Aor 03/6), Labour Protect Act B.E., Safety Health and Environment Act B.E.2552, R2, DIW, etc.,

Scope of management system (interview Ms. Nutkamon Y./ QMR, Ms. Patchanida J./ EMR & OHSMR)

The scope of a management system includes the whole of the organization or specific functions, section of the organization. Boundaries for the scope include specific location, Processes, activities etc. Outsourced functions or processes are considered within the organization.

The management commitment has been demonstrated to involve of QMS, EMS and ISO45001 by review resource for support customer requirement. The objective and targets including evidence of periodically analysis and review the progressive and achievement. Objective, Target, customer satisfaction, customer compliant and plans have been established base on quality policy and continual improvement purpose cover with functions and levels of organization process through WTK-IMS-GL-001 Rev. W on 3/9/20.

Leadership & commitment (interview Mr. Tirawat J./ Plant Manager)

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Top management is good demonstrated the leadership and commitment, by authorized quality policy and objective & target, promoting the process approach and risk-based thinking, provide resources needed, directing and support persons to contribute to the effectiveness of QMS, EMS and ISO45001, promoting improvement.

Understanding the organization and its context/Compliance/Address risk & opportunity: SWOT is applied for identifying internal/external issue/Risk assessment. Each department is conducted risk assessment by considering issues arising from legal, technological, economic environment, international/ national/ regional/ local requirement, knowledge and performance of the organization.

Risk and opportunity is address by established action plan, by clearly identified means/ timeframe/ responsible person. Monthly follow up the progress of action plan.

Compliance is monitored by each process controlled; environmental aspect and impact control, operational control/monitoring & measurement is established to monitor implementation. Quarterly reviewed compliance on management review and weekly meeting. All is compliance.

Internal audit and Management review process (interview Ms. Nutkamon Y./ QMR, Ms. Patchanida J./ EMR & OHSMR) Internal audit (WTK-IMS-GL-005 Rev. F on 18/3/20) is conducted at planned intervals (12 months) to determine the effectiveness of implemented and maintained system. Auditors are assigned base on objectivity and impartiality of the audit; auditors did not audit their own work. Auditors are trained, skill and competence are satisfied. Audit program is planned to cover all functions. Audit report and result are maintained, internal audit was last done as target period on 8 – 10 April 2020 with checklist. There is only 1 CAR (in ISO45001) from the latest internal audit that closed out already.

Management review (WTK-IMS-GL-004 Rev. K on 21/5/20) is taken by Top management at planed interval (12 months), last on 14 July 2020. Management review is effectiveness perform, review inputs are covered as the standard requirement e.g. results of audits, customer feedback/ satisfaction, Context of organization, process performance and product conformity, evaluation of compliance, status of corrective and preventive action, changes that could affect the management system, recommendation for improvements, etc., the output from management review is included the recommendations, decisions and actions to improve the management system.

For EMS: seen evidence of review inputs that covered as the standard requirement of EMS e.g. changes that could affect the management system, environmental objective objectives, context of organization, nonconformities and corrective action, monitoring and measurement results, audit results, risks and opportunities and opportunities for improvement.

For ISO45001: See the review input as ISO45001:2018 requirement, such as, the status of actions from previous management reviews, the changes in external and internal issues, the needs and expectations of interested parties, legal requirements and other requirements, risks and opportunities OHS policy and the OHS objectives, incidents, nonconformities, corrective actions and continual improvement, internal audit result, consultation and participation of workers record, risks and opportunities, resources in OHS system, relevant communication with all internal and external interested parties and opportunities for continual improvement.

Corrective and Preventive Action (interview Ms. Nutkamon Y./ QMR, Ms. Patchanida J./ EMR & OHSMR)

The corrective action is applied appropriately to take action as defined in record with customer complaint, non-compliance, customer satisfaction result, objective and target and report in management review etc. which root cause is investigated and correction/corrective action is properly determined.

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External provider control, Purchasing process and Safety Procurement (interview Ms. Nittida S.)

Externally provided processes, products and services such as purchasing of packaging and safety equipment were controlled according to procedure WTK-HRA-TH-001 Rev. C on 5 May 2015. Criteria for evaluation, selection, monitoring and re-evaluation of external provider's performance were established and implemented every 12 months. Essential information for external providers such as supplier was clearly determined and communicated through purchase orders. Purchased raw materials were verified through inspection and visual checking and evidence of conformity maintained by Safety officer and Operations Department.

Sampling PO: RWTKT20/146 on 12/10/20 External provider: Mostorico with 100% performance Product: ESD Glove size M amount 200 ea. Incoming inspection: 14/10/20 Product specification: G001-01P-LN ESD Glove^{II}

PO: RWTKT20/138 on 30/9/20 External provider: Borneo with 95% performance Product: Safety shoes no. 9 amount 2 pairs Incoming inspection: 22/10/20 Product specification: 824-6574 Bora Safety shoes with PU 2 layers and

PO: RWTKT20/112 on 29/7/20 External provider: Hardware House with 90% performance Product: Back support size L amount 4 pcs. Incoming inspection: 30/7/20 Product specification: 1134822-EA 105 Muscinex back support.

Moreover, see the related record of other external provider's evaluation performance (12 months) as define procedure in WTK-HRA-TH-001 for packaging, safety equipment, calibration service, security guard and transportation service.

Recruitment system, Competence, training and awareness (interview Ms. Nitida S.)

Human resource process (WTK-HRA-TH-003 Rev. A on 2/6/14) refers the human resource and training process were maintained following procedure and criteria for determining manpower, job description, recruitment process, training process, including evaluation. Job competency has been properly established for all functions and positions and record properly. The organization has defined manpower appropriately for the IMS. Manager will submit employee request form to HR officer, with adequate details such as work position, male/female, age, experience, skill, education, etc. Employee recruitment will respect to employee qualification as defined within Job profile and competence improvement on Functional competency to effectiveness, sampling JD and OJT record (WTK-HRA-F-TH-001). Seen the appropriated evidence of new operators and regular operators. Sampling Mr. Pitakpong P./ AVR operator, Ms. Patchanida J./ EMR & OHSMR, Ms. Surunya S./ Logistic.

Training process was determined on procedure, determining training need to fulfill competence as job competency determined was indicated and determination on training plan years 2019 - present related to Job work, WI, products standard and awareness system is established and implement throughout the organization. The competency evaluation was done annually with good performance of current employee with good skills.

All employee and related person will be trained on quality, new products formulation, quality awareness and work instruction base on their position/work. Yearly training plan is provided progress as plan with training history appropriately in WTK-HRA-F-TH-001.

Organization knowledge Process (interview Ms. Nitida S.)

Organization determined knowledge necessary for operation. This knowledge was maintained and prepare to extent necessary by management team. Organization determined how to acquire or access necessary additional knowledge against current knowledge by yearly; such as, operations process (Receiving process/ Incoming inspection, Deposition process, Erasure process, Refused part process, Scrap on receipt process, Breakdown part process and Pack Out

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process), safety condition in workplace and maintenance machine method, etc. They were generally gained by experience of concern staff & operator to cover all sections. They were determined via updating knowledge e.g. Skill matrix, Training need, etc. and proper plan to refresh all knowledge by yearly.

Documented information process (interview Ms. Nutkamon Y./ DCC)

Documented information process (WTK-IMS-TH-008 Rev. C on 29/5/16) has been properly controlled system. Seen evidences of appropriately control such documents related to management systems (including external document as) as following: approve documents for adequacy prior to issue, review and update as necessary and re-approve documents, any changes and the current revision status of documents are identified, relevant versions of applicable documents are available at points of use and distribution controlled, documents remain legible and readily identifiable, properly control of obsolete documents.

Records established to provide evidence of product requirements, process control record and are properly controlled. Seen good evidence of identification, storage, protection, retention and disposition of records are traceable and adequately. Records remain legible, readily identifiable and retrievable. Electronics data was periodically back up and antivirus program scan on sever control, properly evidence record was maintained.

Customer Related Process (interview Mr. Niti W.)

See the appropriate practical for controlling the customer related process as define in WTK-RLO-002. There is no any Sales inside company due to Wisetek Solution (Thailand) will support to "CORK" order only. Operation Manager receives the parts from customer with the specific order via SAP. All order can accept to do with activities log in SAP. The operation Officer uses the bar code for controlling all sub-part in one series. 100% can serve as the customer's requirement. All product movement can traceable with barcode system via SAP database appropriately.

Customer Performance / Satisfaction (interview Mr. Niti W.)

The company monitor information relating to customer perception to fulfilled customer requirements by sent the customer satisfaction questionnaire to clients. The overall summary result of the customer satisfaction performance was done and received the Annually satisfaction result from main customer (WiseTek Cork) that got 99.22% in year 2019 and 99.13% in year 2018.

Operation process (Mr. Niti: Manager, Ms. Panadda, Ms. Wassana and Ms. Chananya)

See the appropriately method for controlling the operation activities since receiving equipment, Deposition, erasure till pack out. All activities were controlled with serial number of parts via bar code scanning method so no error in part movement in operation line. The main operations process include Receiving electronic equipments from end user, disposition each part and then action as each serial's command and packing out for return to target customer's location. All related movement of each part can traceable appropriately in SAP database.

Receiving process/ Incoming inspection: RMA1

End user will deliver the electrical equipment to Wisetek Solution (Thailand) for manage the equipments. Officer scans the equipment/ series with all sub-parts via bar code scanner. Officer will count the amount of parts in one series before transfer data to Deposition section. All related record can check and traceable via SAP.

If found the missing serial number, the SAP will show the default in log sheet. Officer will recheck the real parts and inform back to Cork about the missing problem via email ASAP. Moreover, if found the damage part when receiving

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process, Officer will keep the record and report back to Operations Manager for inform CORK with the problem and deleted the asset from SAP database later.

Deposition process: RF02

Officer checks the order of each part after scanning the bar code. All serial numbers of one series and sub-parts can show the order and status clearly. Then she will separate the parts to different rack as required order; such as, scrape and erasure. The order label was shown at the rack adequately. There are 4 types of command; such as, Erasure, Scrap on receipt, refused part, breakdown part and follow as disposition detail.

Erasure process: DRE2

Officer scans the driver with bar code for rechecking the order of each part. Then the operator erases/ formats the driver that the final status can traceable in log sheet. If he found un-erasure driver, he will inform back to Cork for making the decision (scrape or return). For erasure driver, he will transfer to Pack out Officer to deliver to customer in the next step.

Refused part process

Officer will segregate the hardware as define order "RTV" in disposition information and then pack out part for sending back to customer.

Scrap on receipt process

Officer will segregate the hardware as define order in disposition information then each part will keep in the destroy area that is wait for receiving the destroy approval status from CORK before obsolete. All scrape will keep the record with barcode scanning completely.

Breakdown part process

Officer will segregate the hardware as define order in disposition information then each part will keep or destroy as the sub-disposition information. Every sub-part will be controlled by serial number 100%.

Pack Out process

Officer will scan all parts via bar code. Then sticker of bar code will issue, she will close the sticker in good function part and pack as the customer's standard. Moreover, she will inform to Cork about the completed job with correctly amount before delivery process. Finally, the completely status of each job will report back to Operations Manager every week as job progress but the actual movement was recorded via bar code scanner every part.

Check production plan: WK #42,43, 44 Job: Part description DV 1.2 TB 10K 3.5G FC 520 T part No: 005052712 Serial: CK2xxxxxx1917, CK2xxxxxx1882, CK2xxxxxx1880 Instruction: Strategic Returns' erase and to NF02 and

Part no: AGLxxxxxxxWC, AGLxxxxxxxW7, AGLxxxxxxxW6, AGLxxxxxxxW5 Instruction: FA not required, and Scrap upon receipt

After checking the operations process, see all parts movement can work as the command in SAP with traceable status appropriately.

For the accuracy of product inside WiseTek Thailand, Operations Manager will send the weekly report back to Cork for reconcile the real amount of product under Thailand handle. When found the missing part, Thailand will inform the Cork with the specific serial number. The final status should be shown in SAP for every serial.

NCR control process (interview Mr. Nitti W.)

When the operation officers found the NC product, they will report back to Operations Manager. Then Manager will report to CORK with identified the serial number of damage part via email. CORK will monitor and make the decision making to damage part. All related record can traceable via SAP too.

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Measuring and Measurement process (Interview Mr. Nitti W., Ms. Surunya S.)

All calibration equipments were provided to comply with customer requirements. All master and in used equipments were send to ISO 17025 calibrated laboratory. The organization was established & implementation follows up procedure. Satisfy of master calibration and validation plan are cover all of quality requirements. Their measuring devices (3 weight balance and 1 Wrist Strap Tester) were already calibrated before provide to production. The significant equipments which effect to quality of products were on time calibrated with verification record adequately. All devices are verified within acceptance criteria.

Maintenance process (interview Mr. Niwat W.)

See the appropriately method of Preventive maintenance process that control the equipment and tooling in operations process; such as, shredder, Lift, Crane, Dust tank, Forklift. The PM plan was set and PM as the target with PM checklist. For breakdown maintenance, the officer will ask the external provider for repair with maintenance history continually. However, no breakdown machine in year 2019 till present.

Process for Monitoring and Maintaining Compliance with Legal and Other Requirements

OHS & EMS: Legal and other requirement compliance (interview Ms. Patchanida J./ EMR & OHSMR, Ms. Nitida S./ Safety Officer)

Evaluation of compliance obligations have maintained as follow procedure WTK-EHS-TH-001 Rev. C on 5/5/20, the company was maintained to access legal covering occupational health and safety subject. Seen evidence of updated legal in every month period by www.pyccenter.com and latest updated on 5 May 2020 and evaluate the compliance every 6 months on 9 October 2020 via WTK-EHS-F-TH-003. Then Safety officer send mail of update law to all concern and report to management review. There are 95 legal in the list that found the compliance obligation related to environmental aspect & OHS point and requirement of interested party related to environmental aspects. Found the obligation is up to date in every month via NCP website (Member). Found the organization has done the evaluation of the relevant compliance obligation in every year in record (WTK-EHS-F-TH-002) as last on 9/10/2020. Found all obligations have been compliance in these periods and conducted effectively.

OFI no. CDP01; The evidence of compliance obligation evaluation may be clearly defined in the obligation list.

EMS & OHS Monitoring & measurement of occupational health and safety (interview Ms. Supawadee M./ Safety Officer, Mr. Payub W./ Maintenance & Utility, Mr. Kamon Y./ Maintenance Civil)

Refer WTK-IMS-TH-017 Rev. A on 30/4/2014, the organization set safety plan 2019 - 2020 in ENV & Occupational Health and Safety Master Plan

The OHSAS monitoring & measurement plan is established and implemented covering the safety system, an emergency drill, safety & health promotion and equipment inspection according to applicable legal and other requirements and its actual implementation is monthly reported to a management team as below;

- Environment monitoring in workplace area (light, Noise, Heat stress, Chemical) once monitoring by Pyxis Evolution on 15 -16 June 2020. All sampling result were pass with traceable report.
- Illumination, noise have been properly monitored as the plan by Pyxis Evolution Lab Co., Ltd. which was latest done on 15-16/6/2020 and the monitoring results comply with legal requirements.

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- Air quality at workplace has been monitored once a year which was latest done on 15-16/6/2020 by Pyxis Evolution Lab Co., Ltd. and the monitoring result complies with legal requirements.
- Effluent of wastewater have been monthly monitored by GUSCO (Laemchabang IE) which was latest done in Sep'2020 and the monitoring results complies with legal requirements.
- Annual health check & specific organism checking (total employee 15 persons, subcontractor staffs and maid): yearly basis to cover general parameter and specific parameter as risk factor such as, screen audiometry (Low & High frequency), lead in blood, PFT, HBs Ag. The latest was checked on 3 – 4 September 2020 by BM Plus hospital. Not found painful or illness from their work.
- Transformer to complying within standard and regulatory. The latest was checked on 2/12/19 by V. Safety and Engineering Supply. This result completed in report no. 560C-0048595.01.
- Electrical systems was checked in topic main switch, breaker, infrared thermo scan, cover, electric line, grounding system & substation was checked on 2/12/19 by V. Safety and Engineering Supply by Mr. Pisanu K. Electrical engineering license: VFK30386.
- Fire extinguisher & Hose was checked on 5 October 2020 by Safety Officer with record.
- Fire alarm system (including safety sign, emergency light and exit way) was checked monthly by Safety officer with service report.
- PPE was checked by Supervisor of each department.

OHS & EMS: Emergency Preparedness and Response (interview Ms. Patchanida J./ EMR & OHSMR, Ms. Nitida S./ Safety Officer)

Emergency preparation & response (WTK-EMS-TH-014 Rev. G on 10/7/18). The fire evaluation practice (on 6 Oct. 2019) and chemical leak (on 6 Oct. 2019) was practicing with annual fire evacuation plan that was done once year

In the prevention of fire There are audit result; as follows,

-The fire extinguisher inspection was done once a month last checked in October 200.

-The fire alarm control inspection was done once per year

Assessment of Implementation related to Significant Environmental Aspects

Aspect identification and assessment:

The organization has properly identified and assessed environmental aspects from its processes and activities done by each department, and its significance is appropriately assessed referring criteria; likelihood of occurrence x severity of sequence and decision making to assess environmental aspects level score < 100 =No action, score > 100 Operation control & Action plan as EMP. Environmental aspects have been reviewed once a year, as seen in aspect identify (WTK-EMS-F-TH-002) which was latest reviewed on 14/10/2020. Seen product life cycle perspective was identified in procedure (WTK) such as recycle and waste disposal and under control of organization. Environmental aspects cover all activities areas within the factory including normal, abnormal, and emergency situations. The significant aspect is electricity and resource used and the EMP is established and maintained. The progress of the target is monitored on a monthly basis. Seen this process was conducted effectively.

Operation planning and control process of EMS;

Waste management:

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Waste management was implemented and maintained as follow the procedure. Seen wastes are properly segregated and controlled in working area and waste storage areas, classified into general, recycle and hazardous waste. From interview with employees, they are aware of waste classification and its segregation. All wastes are well segregated and collected to monitor the volume in organization program. Seen all industrial wastes were register to department of industrial including operational controlled as Sor Kor 2 (valid period 17/1/2020-16/1/2021) for used lead batteries, shredder dust, fuses, PCB scrap, tantalum, electronic equipment, and etc. Sor Kor 1 (valid period 30/7/2020-1/7/2021) for used lead batteries, LCD/CRT, contaminate waste, electronic equipment, and etc. Sampling the waste manifest no. 631060114220, 631010114184 was maintained as legal requirement. The liability between the company and waste disposal company (BWG) that is properly retained as Kor Aor 1. Seen Waste disposal report (Sor Kor 3) was submitted to DIW on 7/1/2020. General waste is collected by the local authority.

Wastewater management:

There is no wastewater from production processes. Only generated from toilet, office by dish washing, hand washing and then pass to grease trap and septic tank and discharge to outside. Result of effluent quality has been measured by GUSCO once a month in basic parameter (i.e. pH, BOD, COD, SS, color). Result is acceptable by Leamchabang industrial estate and comply with legal requirements.

Air pollution control:

Main air pollution is generated from battery charger, forklift, shredder and granulator process. Dust collector are provided for air pollution treatment from ambient working area with PM plan and PM check sheet as record (WTK-PM-F-TH-027) and good operational control. Air quality in working areas (e.g., total dust, respirable dust) has been properly monitored which their results are far below the limit.

Energy and resource use:

Resource use management has been properly implemented to efficiency resource usage by found monthly monitoring resources used consumption against productivity reduces electrical consumption and resource used as EMP. The EMP of 2020 such as Reduce electric power consumption <5% from previous year. However, the organization still promotes activities for saving energy and resources, and all employees are aware of electricity saving by turning on and off, control of air condition at 25°C, and etc.

Chemical management:

Chemical management was implemented and maintained as follow the procedure. Found the chemicals in the organization that is used in the maintenance activity such as engine oil, gear oil, etc. Found MSDS and identify tag is available at used points and storage area. Found the secondary containers and spill kit have implemented to respond for leak situation. Found the operators understood to control all chemical storage and leak situation in the organization and conducted effectively.

Assessment of Implementation related to Hazards and Risks

Hazard identification and Risk assessment (interview Ms. Patchanida J./ EMR & OHSMR, Ms. Nitida S./ Safety Officer)

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See the appropriately method of hazard identification and risk assessment process in WTK-OHS-GL-002 Rev. J on 20/8/20. Hazard identification, risk assessment and determination of control measures have been properly performed cover routine/ non-routine activities; activities of all persons having access to the workplace including contractors and visitors; human behavior/ capabilities/ human factors; hazards originating outside the workplace capable of adversely affecting the ISO45001 of persons under the control of the organization; hazards created in the vicinity of the workplace by work-related activities under the control of the organization; infrastructure/ equipment/ material at the workplace; and changes or proposed changes in the organization. The latest hazard identification risk assessment was updated on 8 June 2020 via WTK-OHS-F-GL-015.

There are Medium and Low level only that came from the latest evaluated process that came from the main hazard, as the following,

Mechanical Hazard: AVR, Deposition, Erasure, Refused part, Scrap on receipt, Breakdown part, Pack Out, Warehouse
Operational control:

- Main mechanical risk at area the operation can do with the good control condition control and according the legal.
- Good provided safety equipment for protection mechanical at workplace such as machine safeguard, emergency switch, safety warning & safety sign, PPE (Mask, Ear plug, safety shoes and ESD Glove, ESD cloth).
- High awareness & good understood of safety regulation at safety manual including safety behavior.
- In AVR, Deposition, Erasure, Refused part, Scrap on receipt, Breakdown part, Pack Out (Operations) there is an barcode scanning system to inspect part and movement with hand lift and trolley that is monitoring by supervisor. In Quality Control checked machine follow PM Plan
- In Warehouse used forklift there are checked in safety topic every day such as safety belt, speed limit, siren etc.

Electrical Hazard: AVR, Deposition, Erasure, Refused part, Scrap on receipt, Breakdown part, Pack Out, Warehouse
Operational control:

- The safety work instruction has identified the process of working control.
- The operational for control electrical hazards at all areas including low voltage area inside plant.
- Continual to provide & maintenance safety sign and install grounding.
- The electrical maintenance section has set up PM schedule plan such as transformer in December 2019 including the annually check of electrical system.
- In operations process used logout and tagout include electrical protective gloves, ESD cloth and shoes

Hazard substance: Pack Out and Warehouse

Operational control:

- At use chemical area (e.g., engine oil, gear oil, etc.) for cleaning product and forklift only has safety sign at all areas with less amount of chemical storage in company.
- Use chemical area was controlled as define on by identification SDS is available where appropriate.
- The responsible person has checking safety condition and PPE.
- Training safety awareness to operator by OJT process
- Set the clear Work instruction of each activities.
- Provide fire extinguisher and spill kit for reducing the danger of chemical exposure and leak of workers

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- Prepare the first aid kit in each location

Noise Hazard: Scrap on receipt, Breakdown part

Operational control:

- In Operations area is sound level less than 85 dB(A). There is shown the announce policy, and PPE settle per each area with safety sign and install level of sound in front of area, training of hazard to operator, set up earmuff or ear plug for operator, hearing health check up and monitor in audio base line to risk person
- Provide PPE (earmuff or ear plug) to operator
- Set the clear Work instruction of each activities.

Manual handling, Heavy object, Ergonomic: AVR, Deposition, Erasure, Refused part, Scrap on receipt, Breakdown part, Pack Out, Warehouse

Operational control:

- All area used work instruction of each activities,
- Do PM Checklist for trolley, hand lift, forklift
- Provide PPE (Glove, Mask, Ear plug, Safety shoes)
- Set the Safety covering guard of each machine
- The movement of products with high weight will use Hand lifts to help move and there is an electric forklift for lifting to the store area.

Fire and explosion Hazard: Packaging storage Warehouse

Operational control:

- All area checked fire extinguisher and fire hose every month that was checked on 5 October 2020 by safety officer.
- There is 2 ways for fire exit and install exit sign, fire alarm, emergency light in each area

Transportation hazard: AVR, Deposition, Erasure, Refused part, Scrap on receipt, Breakdown part, Pack Out, Warehouse

Operational control:

- Limited speed 10 km/hrs. of forklift & delivery car not over 20 km/hrs.
- Driver's license of forklift
- Checking the entry and exit by security guards
- Surrounding area is clearly the routes way of forklift and walkway of operator.
- In operations line has set the clear routes for forklift, hand lift and trolley
- In store area checked operator every day before start working in daily maintenance check sheet by driver.
- Set the signal and sign for walkway/ stop way/ no entry

Work at high Hazard: N/A

Confine space Hazard: N/A

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Communication, Participation and Consultation (interview Ms. Patchanida J./ EMR & OHSMR, Ms. Nitida S./ Safety Officer)

Communication, participation, and consultation was maintained as defined in WTK-IMS-TH-016 Rev. B on 29 Apr. 2016 was control seen detail of Communication, participation and consultation to internal staff including office staff and site staff such as announcement at board Policy (Board and E-mail), Poster, Banner, Brochure and incident investigation (Safety monthly meeting), etc. Suggestion or comments was received by Supervisor and Plant manager that bring into 3 monthly meeting and send suggestion to all concern for corrective. This site does not have complaint related to community

All visitors and contractors are training before entering the company and customer by safety officer and owner. Contractors are trained before working by the safety officer with a safety manual with work permit

Subcontractor control, Work permit process (interview Ms. Patchanida J./ EMR & OHSMR)

Refer Purchasing and subcontractor control procedure (WTK-OHS-GL-012 Rev. H on 25/8/20), see the controlled to cover non routine work i.e. work at high work (WTK-OHS-TH-015 Rev. A on 23/6/2014), hot work (WTK-OHS-TH-013 Rev. B on 21/1/2015) and cold work by issue work permit report and monitoring before operating and closing in completed job with traceable data.

Medical management (interview Ms. Patchanida J./ EMR & OHSMR, Ms. Nitida S./ Safety Officer)

See the appropriately method for providing the medicine and related support to help the painful or harmful at operator in site. All necessary medicine was set in the medical boxes and no expired medical at nursing room within the first aid kit box. After checking, not found the painful that occur from the activities working. No Nurse inside company but Safety Officer will control the medicine and help the painful or sick employee. All providing the medicine was recorded continually.

Incident, Accident and investigation process (interview Ms. Patchanida J./ EMR & OHSMR, Ms. Nitida S./ Safety Officer) WTK-OHS-GL-001 Rev. H on 19/8/19 was maintained to investigate incident and corrective action. They maintained to investigate incident and corrective action.

There are 2 incident cases and 3 accident cases since year 2019 till present. All of them are investigated and found the root cause including the correction taken. After investigation, the OHSMR revised the risk assessment and bring to safety talk to all employees adequately.

Review and conclusion of client performance trends since last certification/recertification (at recertification audit and last surveillance audit prior to recertification)

Overall of certification of quality management

The QMS, EMS, OHS has and implemented and maintained continual improvement from top management to concern persons in organization. Overall of QMS, EMS, OHS has no significant changed from last surveillance audit. Overall of QMS, EMS, OHS in this audit was effectively implemented and comply with ISO9001:2015, ISO14001:2015, ISO45001:2018, related to customer satisfaction.

1. Policy is adequate about quality, environmental and OHS management system and communicates to staff.
2. Top management has high commitment to develop skill and competence of staff.

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Overall performance in year 2020 is better than the previous 3 years as the below performance. Moreover, the top management and every staffs have shown the quality management awareness with the fully effort to maintain and develop their system appropriately.

As implementing of policy, objectives/ plans, internal audit, monitoring the processes performance, analysis of data, corrective and preventive actions and management review; seen evidence of continual maintaining and improving of the effectiveness of management system; as following,

ISO 9001:2015

KPI	Target	Jan. – Sep. 2020	2019	2018
% Yield for internal CS processing error	100%	100%	99.60%	99.58%
% Yield for internal RLP processing error	100%	0.87%	99.49%	99.71%
% Yield for error in parts returned to the vendor (RTV)	100%	100%	100%	100%
Complaint form cork	0	1	3	2
RLO inventory aging and accuracy	<1 month storage	0	0	0
Accuracy of part inventory during quarterly	100%	100%	100.00%	99.93%
Accuracy of part at the end of quarterly	100%	100%	100%	99.94%
Customer satisfaction	- N/A	99.22%	99.13%	

ISO14001:2015

KPI	Target	Jan. – Sep. 2020	2019	2018
Reduce electric power consumption	<5%	4.33%	17.25%	1.50%
No environmental complaint	0	0	0	0
Zero landfill	<4.9 g/work hours	2.3	3.93	4.05

OFI no. CDP01; The EMP of environmental objective may be more detail each activity to ensure the environmental objectives achieve target.

ISO45001:2018

KPI	Target	Jan. – Sep. 2020	2019	2018
No loss time accident	0	0	0	0

In case unachieved target found records of corrective action taken in investigate cause, determine corrective action, follow up and verify effectiveness of corrective action taken adequacy in action plan and CAR report.

Identified opportunities for improvement

OFI no. CDP01:

- 1.The EMP of environmental objective may be more detail each activity to ensure the environmental objectives achieve target.
2. The evidence of compliance obligation evaluation may be clearly defined in the obligation list.

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3. Operational control procedure of EMS (WTK-EMS-TH-012) may be revised the detail for ensuring the correct of operation control.

Conclusions regarding risk assessment/risk treatment processes

Risks and Opportunities assessment (interview Ms. Nutkamon Y./ QMR, Ms. Patchanida J./ EMR & OHSMR)

- Be 1st company with R2 standard (25)
- Use lean & 6 sigma to management system (25)
- Quickly logistic due to locate in free zone of laemchabang IE (20)
- Good competency of employee (20)
- Good relationship with government (9)
- No pollution to community (5)
- Work with Safety so no accident (5)
- Have mother company at Ireland (9)
- Clear organization chart with role and responsibility (16)
- Higher costing in delivery with Wor Or no. 8 (8)
- Have change to manage the electronic waste (25)
- Have law concerned the electronic waste (16)
- Have more electronica waste due to change technology in market (16)
- Less amount of competitor in this business (9)

Action to address risk and opportunities (IMS-P-08) has been identified and action to address them as existing control and additional action for high and medium risk and opportunities with linkage from context of the organization and interested parties need and expectation with low and medium level such as not compliance with legal, fail of wastewater plant, don't pass of air quality at stack and seen the operation control to address them. Effectiveness of action to address risk and opportunities has been verifies and review of score to compare before and after action.

Conclusions regarding context of the organization

Context of organization (interview Ms. Nutkamon Y./ QMR, Ms. Patchanida J./ EMR & OHSMR)

See the internal and external issue that analysis in SWOT by related section to find the context of organization that was done on 7 March 2020. Context was reviewed together with Management team that concerned Business strategy, employee, management system, process, experience, politic, culture, economy, social, law and environmental.

Need and Expectation of Interested parties (interview Ms. Nutkamon Y./ QMR, Ms. Patchanida J./ EMR & OHSMR)

1. Employee

- Have good environmental in working place
- Firm working in business
- Increase income
- Good welfare
- Growth in carrier part

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2.Owner/ Top Management/ Shareholder

- Growth in business
- Profit
- Good image to customer
- Strong company
- Employees to be high competency in their works

3.Customer

- Receive good service completely as agreement
- Service on time
- Receive good service
- Reasonable price

4.External provider

- Pay on time
- Buy more amount and repeat order

5.Government

- Pay tax on time
- Follow up law and legislation

6.Competitor

- Fair competition
- More market share

7.Social/ Community

- Support in social activities
- No pollution making

Impact of Significant Changes (If Any)

1. Change the spelling of company name and address; not move location

Previous:

Wisetek Solutions (Thailand) Ltd.

218/1-2 Moo 3, Leam Chabang Industrial Estate, Thungskula, Sriracha, Chonburi 20230 Thailand

Confirmed:

Wisetek Solutions (Thailand) Limited

218/1-2 Moo 3, Laem Chabang Industrial Estate, Thungskula, Sriracha, Chonburi 20230 Thailand

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Remarks: The certification need to change only ISO45001:2018 due to Re-certification in year 2020 but the QMS and EMS certification will change in next Re-certification (April 2021)

Additional information/unresolved issues

Use logo as follow AB and CB' rule and regulation in name card and letter head

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Communication/Changes during the visit (if applicable)

2. Add the contract person

Confirmed: Ms. Nutkamon Yungyuen (QMR) & Ms. Patchanida Junklengdruen (EMR & OHSMR)

References to appendices:

Audit plan (as executed)

Have all shifts been audited:

Yes

The audit has been performed according to audit plan meeting audit objectives, scopes and duration (on-site and off-site) as given within the audit plan

Yes, as audit plan

LEAD AUDITOR RECOMMENDATION

Lead Auditor's Recommendation for ISO 9001:2015

The management system is in conformity with the audit criteria and can be considered effective in assuring that objectives will be met. Continued certification is therefore recommended.

Lead Auditor's Recommendation for ISO 45001:2018

The management system is in conformity with the audit criteria and can be considered effective in assuring that objectives will be met. Continued certification is therefore recommended.

Lead Auditor's Recommendation for ISO 14001:2015

The management system is in conformity with the audit criteria and can be considered effective in assuring that objectives will be met. Continued certification is therefore recommended.

OTHER OR ADDITIONAL LEAD AUDITOR RECOMMENDATION

N/A

CLIENT ACKNOWLEDGEMENT

Client Representative Name and Mailing Address:	Ms. Nutkamon Yungyuen (QMR), Ms. Patchanida Junklengdruen (EMR & OHSMR) Wisetek Solutions (Thailand) Limited 218/1-2 Moo 3, Laem Chabang Industrial Estate, Thungskula, Sriracha, Chonburi 20230 Thailand
Acknowledged By:	Ms. Nutkamon Yungyuen (QMR), Ms. Patchanida Junklengdruen (EMR & OHSMR)

This report is based on a sample of evidence collected during the audit; therefore the results and conclusions include an element of uncertainty. This report and all its content is subject to an independent review prior to a decision concerning the awarding or renewal of certification.