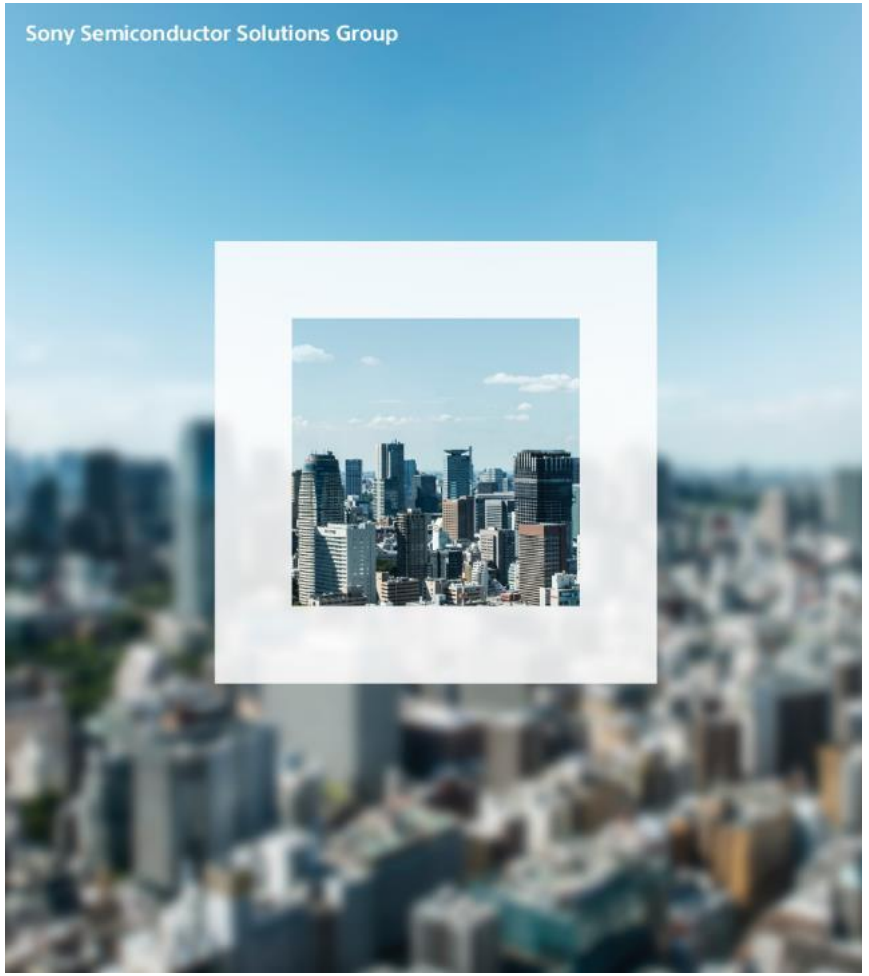
SONY

Audit
(1st party)

SDT Internal Audit Results FY211H
(ISO9001 & IATF16949)



Quality Division

SDT Internal Audit Results FY211H

- ☑ Internal Audit progress
- ☑ Results of internal audit FY21
- ☑ Improvement Opportunity Analysis Results
- ☑ Internal audit Summary

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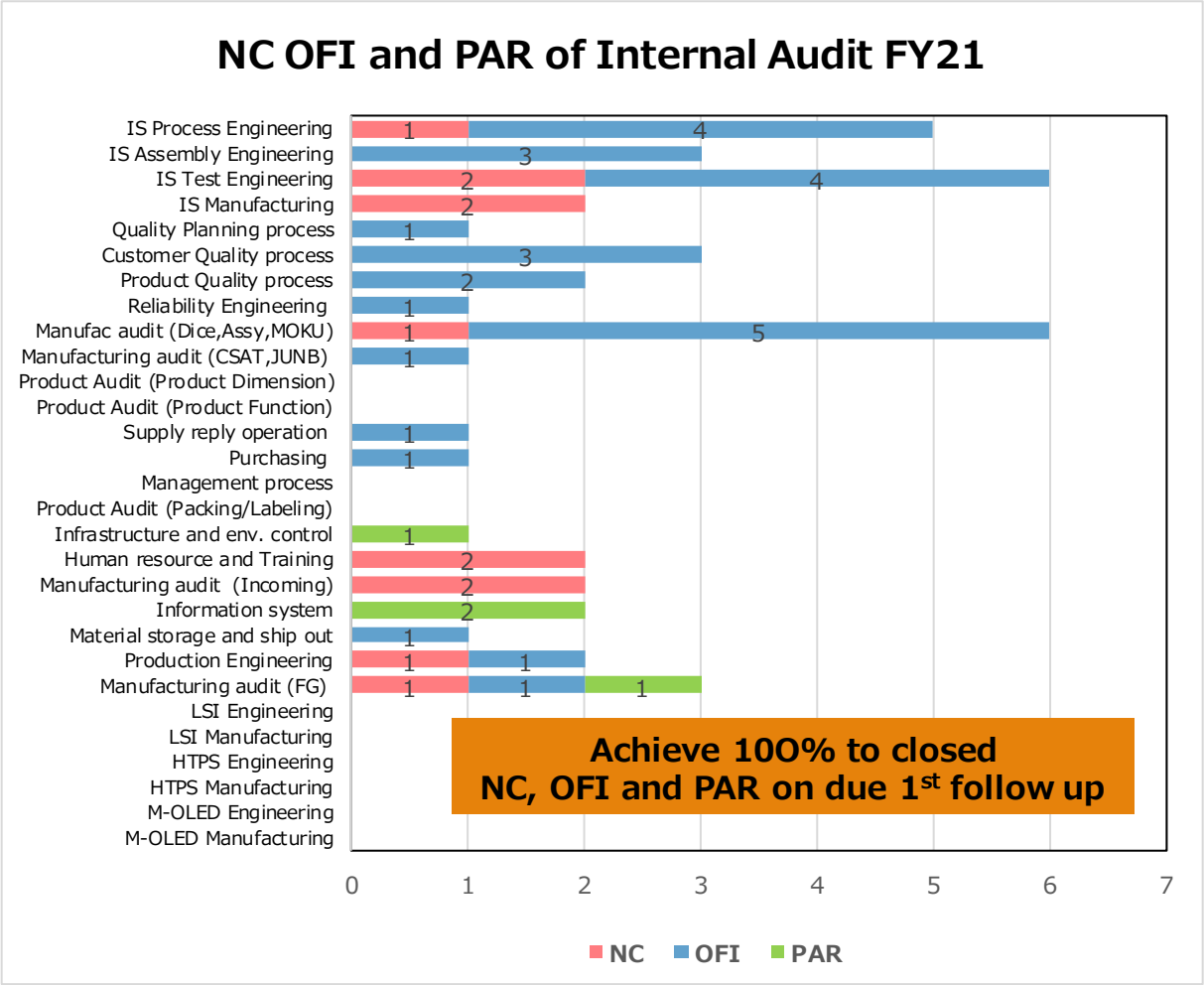
Internal Audit progress

Progress of Internal Audit Countermeasure is achieved the good result, Currently we can control all process on due 1st follow up because we have closely followed up auditor and auditee.

Internal Audit



Audit results

Audit target	Audit Progress 80% (23/29 processes) On progress - IATF Audit 100% (23/23 processes) FY21 1H - ISO Audit 0% (6/6 processes) FY21 2H
Audit period	June 2021- January 2022
Auditors	45 persons
Findings	Nonconformity (NC) 12 Issues
	Opportunity for improvement (OFI) 29 Issues
	Preventive action Request (PAR) 4 Issues

Audit Summary

This is 1st year that we implementation of Full cycle of Internal audit to comply with IATF16949 requirements.
From Internal quality audit of all processes, We can manage the QMS comply with ISO 9001 and IATF16949 requirements.
We were able to confirm the effectiveness of the business process.

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FY211H Internal audit results

■ Overview

This is 1st year that we implementation of Full cycle of Internal audit to comply with IATF16949 requirements. From Internal quality audit of all processes, We can manage the QMS comply with ISO 9001 and IATF16949 requirements. We were able to confirm the effectiveness of the business process.

■ Audit results

Audit target	29 processes of SDT (Complete 79%, 23 processes)
Audit period	June 2021- January 2022
Auditors	45 persons

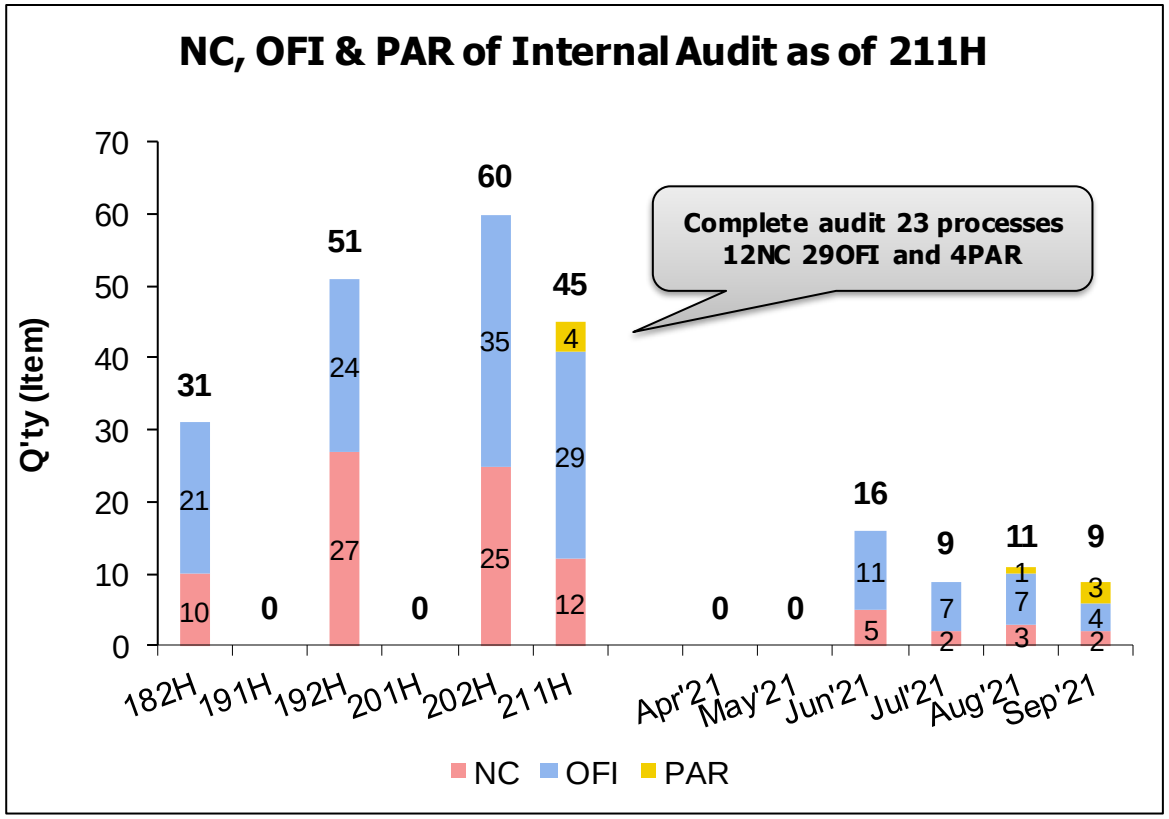
■ Audit results

Pointed out	Overall	ISO&IATF process (Common and IS process)	ISO process (LSI, HTPS, M-OLED process)
Nonconformity (NC)	12 Issues	12 Issues	N/A (Plan in Dec'21)
Opportunity for improvement (OFI)	29 Issues	29 Issues	N/A (Plan in Dec'21)
Preventive action (PAR)	4 Issues	4 Issues	N/A (Plan in Dec'21)

FY211H Internal audit results

The result of 211H, The internal quality audit (ISO9001 & IATF16949) were complete
23 processes with 12NC 29OFI and 4PAR.

NC OFI& PAR of Internal Audit



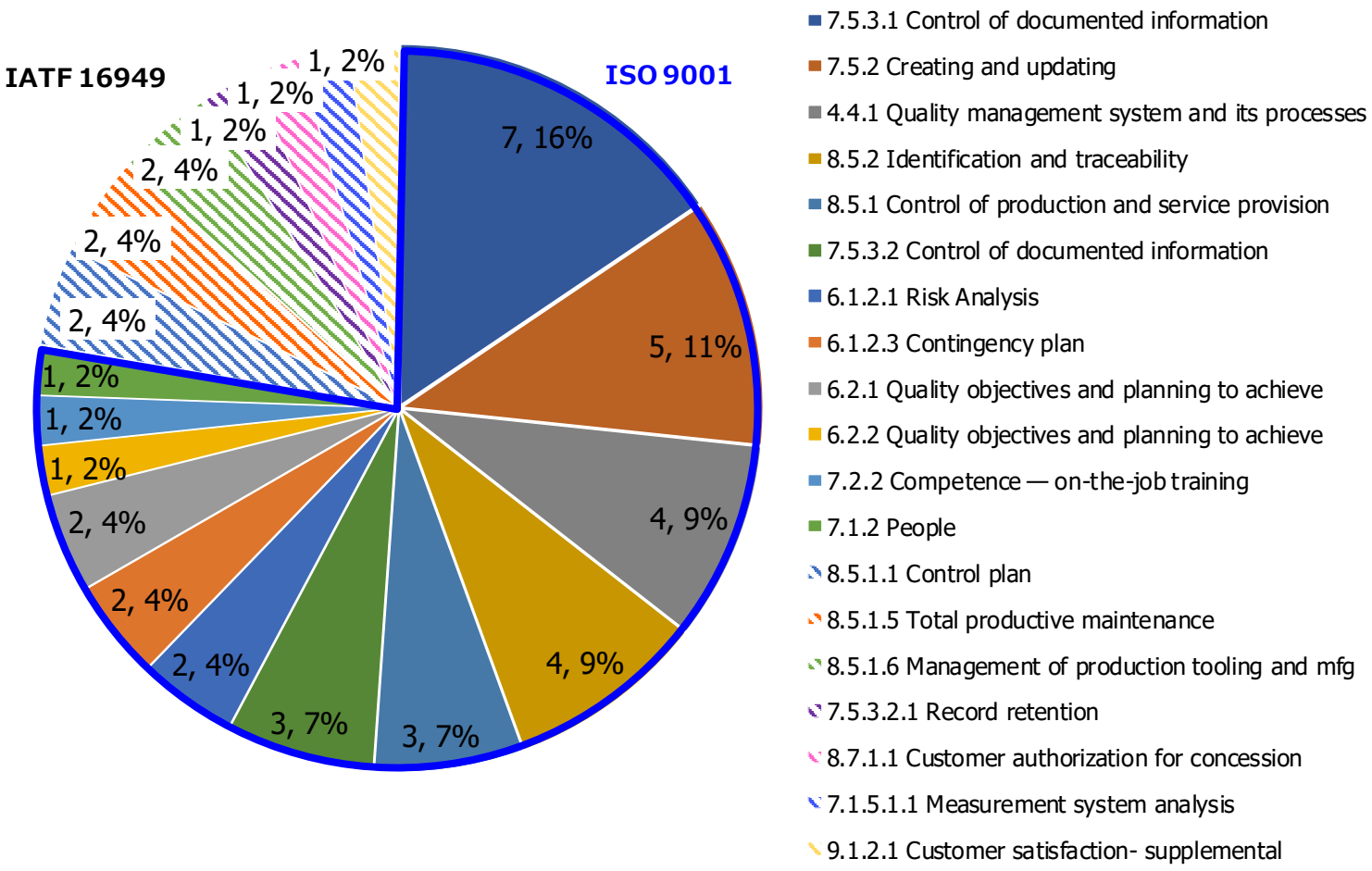
Internal Audit Summary

211H	Process	Dept.	Status
Jun'21	1. IS Process Engineering 2. IS Assembly Engineering 3. IS Test Engineering 4. IS Manufacturing	IPED IAED ITED IM1,IM2	Complete
Jul'21	5. Quality Planning process 6. Product Quality process 7. Customer Quality process 8. Reliability Engineering 9. Human resource and Training	QPD PQD CQD RED HRD	Complete
Aug'21	10. MFG audit of Incoming 11. MFG audit of Dicing, Assy, MOKU 12. MFG audit of CSAT, JUNB 13. Product Audit of Product Dimension 14. Product Audit of Product Function 15. Supply reply operation 16. Infrastructure and envir. control	ILD,PQD IM1 IM1 PQD ITED MPD FTD	Complete
Sep'21	17. Product Audit of Packing/Labeling 18. MFG audit of FG 19. Purchasing 20. Information system 21. Management process 22. Material storage and ship out 23. Production Engineering	PQD IM2 PCD ITD Top Management ILD PEE,IED	Complete

FY211H Internal audit results

The result of 211H, The internal quality audit (ISO9001 & IATF16949) were complete 23 processes.
The main issue from the internal quality audit result

NC and RFI from Internal Quality Audit of FY21
NC, OFI and PAR Separate by Requirement



Requirement No.	The main item from the internal quality audit result
7.5.3.1 Control of Documented information	- We found incomplete document to comply with current situation such as organize change, Change recruitment operation to suitable with COVID-19 situation but did not update in procedure, Create new procedure to comply with requirement but did not update in related doc.
7.5.2 Creating and Updating	- We found inappropriate documented information for suitability such as not controlled format of PM check sheet and no review of approval for suitability and adequacy in installation report follow procedure
4.4.1 Quality management system and its process	- We found they have create new procedure to comply with IATF16949 req. so they need to update related document in process approach also.
8.5.2 Identification and traceability	- We found product type placing is not match to shelf's label and part is place do not match with label

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Improvement Opportunity Analysis Results

From auditing results overview of all processes. The audits that have been found the weakness of operation. However, we can correct the weakness and can be analyzed to be the opportunity for improvement.

Internal Audit Improvement Opportunity Analysis Results

① Actual **operations** were **not conform** with **work procedure** including Control method of recording are not match with refer in work procedure
② **Documents** was **not updated**

Manufacturing P

Engineering P

③ **Incomplete internal document control** which use for work operation by lack of reference doc. so **cannot make linkage** and **traceability**
④ **Insufficient** procedure for **control quality record**

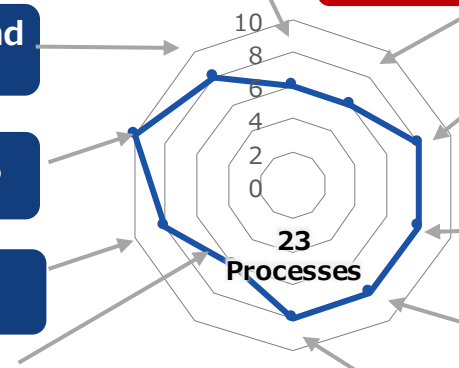
Such as Many pattern for recording PM record, use white tape in Quality record etc.

⑩ Insufficient documents of **contingency plan** to comply with requirement
⑪ Incomplete **risk analysis of cyber attack** to comply with requirement

Infrastructure and env. control

Management P

Information system P



Supply reply operation

⑤ **Insufficient performance indicators** in customer satisfaction survey to comply with requirement

Purchasing

⑥ **Assesses risk not match** with risk assessment **procedure**

Material storage and ship out

⑨ **Documents was not updated** after change recruitment operation to suitable with COVID-19 situation

Human Resource

Quality P

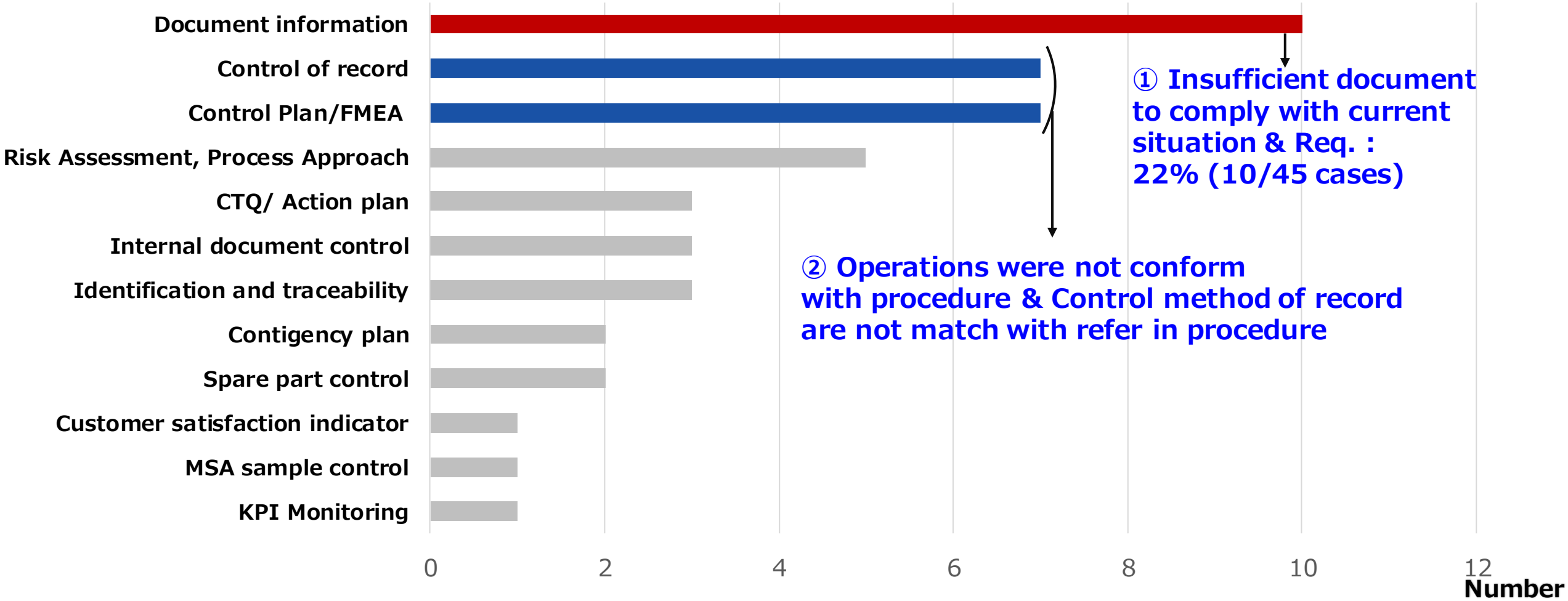
⑦ **Incomplete process approach** by not update related documents after they create new procedure
⑧ **Insufficient CTQ** for support how to achieve KPI
Cover all businesses

■ Analysis of improvement opportunities
10 points: Perfect compliance with requirements
8 points: Horizontal development of improvement opportunities
6 points: Minor nonconformity
4 points: Serious nonconformity
0 points: QMS is not satisfied

Improvement Opportunity Analysis Results

As a result of audit classifying the opportunities for improvement, Audit finding was found.

Summary of Finding item from Internal Audit



FY211H Internal Audit Improvement Opportunity Analysis Results

From auditing results overview of all processes. The audits that have been found,
We can correct the weakness and can be analyzed to be the opportunity for improvement.

No	Process	Opportunity for improvement	Countermeasures	PIC	Status
1	Manufacturing	① Actual **operations were not conform** with **work procedure** including Control method of recording are not match with refer in procedure	- **Re-Check document** and **Revise work procedure** to cover all work operation	IM1, IM2	Closed
		② **Documents** was **not updated**	- **Document yearly review** FY22		
2	Engineering	③ **Incomplete internal document control** which use for work operation by lack of reference doc. so **cannot make linkage** and **traceability**	- **Revise all internal document** by adding reference document to make linkage and traceability	IAED	Closed
		④ Insufficient procedure for **control quality record** Such as Many pattern for recording PM record, use white tape in Quality record etc.	- **Revise document** of control PM record by fix format of PM recording - Additional topic of quality record control in **E-learning ISO document FY21 of all level of employees.**	ITED	Closed
3	Supply reply operation	⑤ **Insufficient performance indicators** in customer satisfaction survey to comply with requirement	- **Revise document** by adding performance indicators in customer satisfaction survey to comply with requirement	MPD	Closed
4	Purchasing	⑥ **Assesses risk not match** with risk assessment **procedure**	- **Risk Assessment yearly review** FY21	PCD	Closed
5	Quality	⑦ **Incomplete process approach** by not update related documents after they create new procedure	- **Risk Assessment** yearly review FY21 and special period for review of Risk Assessment after organization change	CQD, RED	Closed
		⑧ **Insufficient CTQ** for support how to achieve KPI **Cover all businesses**	- **Create New CTQ** to cover all businesses.		
6	Human Resource	⑨ **Documents was not updated** after Adapt operation to suitable with COVID-19 situation	- Update document to comply with actual situation - **Document yearly review** FY22	HRD	Closed
7	Infrastructure and env. control	⑩ Insufficient documents of **contingency plan** to comply with req.	- **Review and revise contingency plan** to cover requirement	FTD	Closed
8	Information system	⑪ Incomplete **risk analysis of cyber attack** to comply with req.	- **Update risk assessment** to comply with update requirement	ITD	Closed

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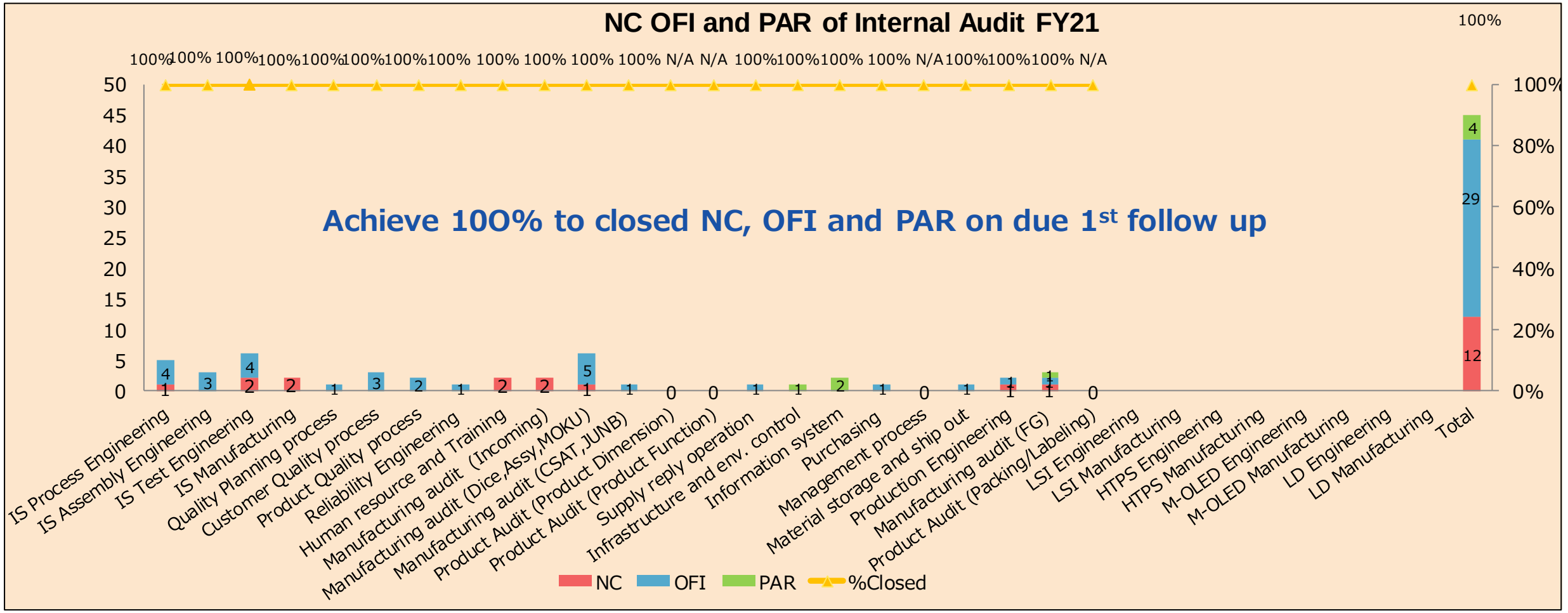
Internal audit summary

Progress of Internal Audit Countermeasure is achieved the good result, Currently we can control all process on due 1st follow up because we have closely followed up auditor and auditee. Furthermore, we've set the meeting with internal auditor by periodically for standardize IQA method.



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