

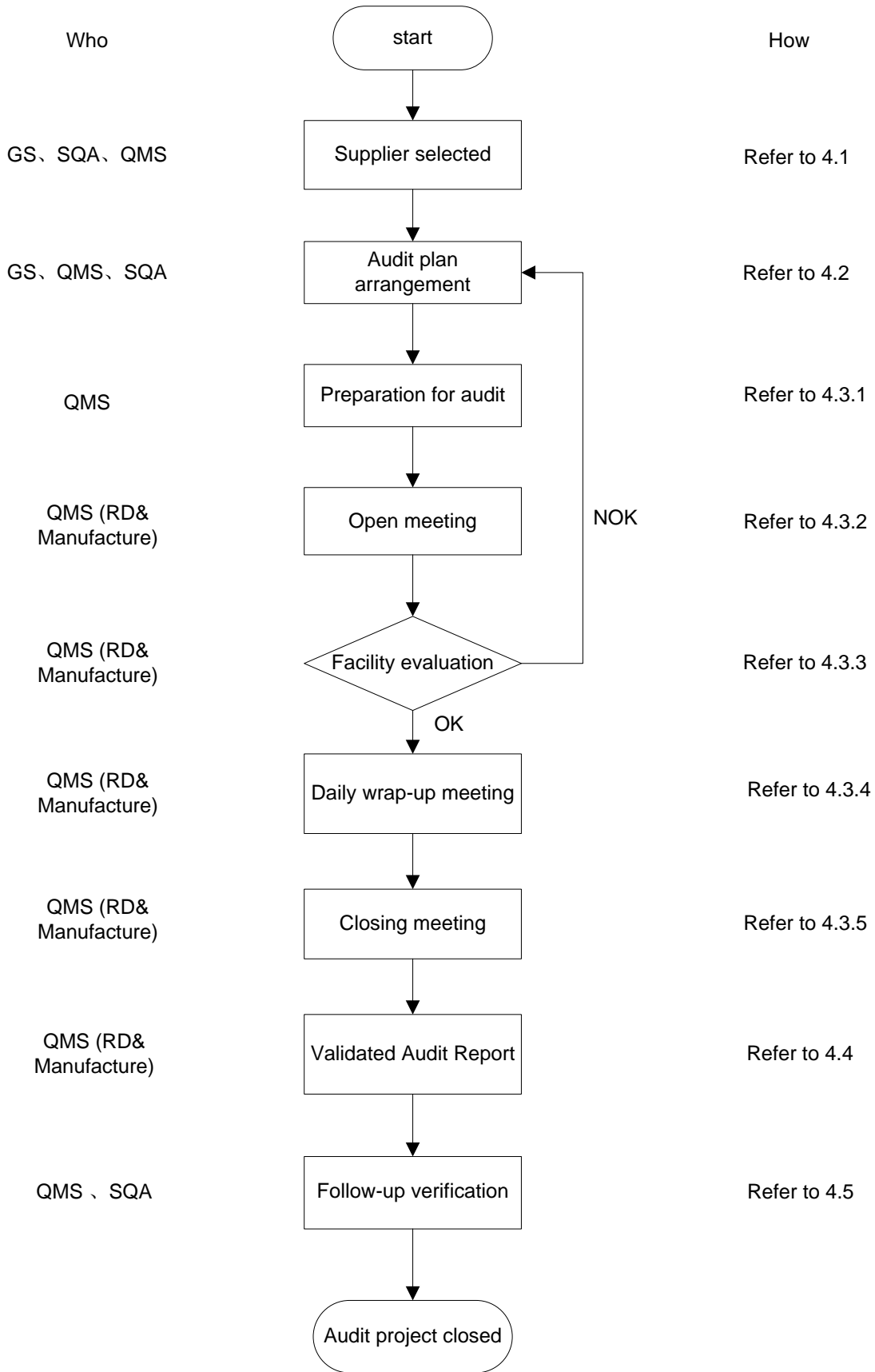
Supply chain CSR audit procedure

Date 日期	Version 版本	Comments 备注
2013/07/16	1.0	Creation of document
2017/02/06	2.0	add CSR self-assessment for new supplier add CSR site audit follow up base on the CSR level add CSR score updating and reporting every 12 months Update CSR audit checklist, add conflict mineral Update the actions for assessment result Update CSR audit checklist, add greenhouse gas emission & add conflict mineral on site validation
2017/06/05	3.0	Update audit plan every 12 months Update suppliers CSR audit selection rule Add auditor selection Update CSR audit checklist: add modern day slavery & the equality of man & women under labor rights. Add animal protection. Change no MSDS for chemical to be red light. Add appendix 7 Supplier CSR Risk Assessment

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Procedure Flow Chart (if necessary)



1. Purpose and Application Field 目的和适用范围

Purpose: This document described the corporate responsibility audit process and details for suppliers, it aimed to affect the suppliers in supply chain, and improve the CR performance, build CR capability within the supply base.

目的：文件描述了对供应商企业社会责任的审核过程和细项，旨在供应链上对供应商施加影响，共同提升企业的社会责任。

Application Scope: This document is applied for three situations: Annual audit for AVL list, new supplier audit if necessary, and temporary and emergency audit which customers required.

适用范围：此审核适用于AVL供应商的年度审核；如有需要时新供应商的审核；及临时急需的由客户指定的审核。

2. Responsibility 职责

QMS: R&D QMS and TMC QMS lead the audit, with SQA/GS together under the help of GS.

QMS: 研发QMS及工厂QMS主导供应商审核，负责协调，安排及实施。

GS: Connect with auditor team with suppliers, for the arrangement of audit. Perform CSR audit with QMS to suppliers if possible.

GS: 联络审核成员及供应商，做好桥梁沟通作用，协助审核顺利开展。在条件许可的情况下，协同QMS一起审核供应商。

SQA: Audit with QMS to suppliers, and re-check the corrective situation of audit findings in the yearly audit.

SQA: 协同QMS一起审核供应商，并追踪确认供应商前次被审核发现的改善状况，直至改善关闭完成。

3. Reference Document 参考文件

TCT-GSD-GL-QP004 Supplier Assessment Audit Procedure

TCT-GSD-GL-QP005-Supplier Scoring Management Criterion

4. Description 描述

4.1 Suppliers CSR audit selection rule 供应商社会责任审核的选择规则

As to the suppliers in TCT AVL. GS select that the suppliers have high trade volume with TCT in the last year and the GP/SQA/GS advice to perform the CSR audit to the suppliers. QMS on the above basis, furtherly, to select the suppliers within the high child labor risk area & industry & the production process of suppliers with high CSR risks to form the yearly CSR audit plan.

(Selection details refer to Appendix7 Supplier CSR risk assessment) 对于TCT 的合格供应商。GS选择前一年度与TCT交易额排名靠前的供应商以及GP/SQA/GS共同建议审核的供应商。QMS在此的基础上再按照童工高风险区域，童工高风险行业以及供应商的生产制程是否涉及CSR高风险项目来确定年度需要进行CSR审核的供应商。(选择过程参考附件7供应商社会责任风险评估表)

4.1.1 The suppliers which our customer appointed. 客户指定需审核的供应商

4.1.2 The new supplier which is applied to AVL 新申请加入AVL的供应商

4.2 Audit plan arrange 审核计划安排

4.2.1 QMS, GS and SQA will make the audit plan together, the suppliers will be listed for the annual audit, and the detail plan will be defined according to the factors such as areas etc. GS should summary the contact window of suppliers and send to QMS. For new supplier, GS should send the CSR self-assessment to QMS.

QMS, GS和SQA将共同商讨制定年度审核计划, 将年度要审核的供应商列入审核对象, 并按照地域等客观因素进行计划的制定。GS将供应商的联系人及联系方式整理并告知QMS。对于新供应商, GS需将供应商的CSR自评发给QMS。

4.2.2 The audit plan will be defined and adjust every 12 months.

每一年更新审核计划。

4.2.3 Auditor selection, QMS provide the final version of supplier CSR audit list to SQA and GS. SQA and GS define the CSR audit support list and feedback to QMS. According to the feedback, QMS determine the specific on site auditor team.

审核员的选择, QMS将选定审核的供应商列表提供给SQA和GS. SQA和GS整理确定能够支持的审核并反馈给QMS. QMS按照反馈确定具体的审核员团队。

4.3 Audit operation 审核

4.3.1 Preparation for audit 审核准备

For existed AVL supplier, one month before facility audit, the audit team should be assigned by QMS team. The audit team should deliver the self-assessment checklist (appendix1) and audit agenda (appendix3) to suppliers to fill up. Suppliers should reply it within one week once received

对于AVL供应商, 在工厂审核开始前一个月, 确定审核团队, 并由该审核团队将CSR审核自评表(附件1)及审核计划(附件3)发给供应商, 要求供应商填写并在一周内回复给我司

During the preparation phase, the assigned audit team should review self-assessment for audit key points generation (Appendix2 – audit report part I). And need to contact with contact window of supplier for the detail agenda alignment 3 working days before facility audit, it is including the arriving time and leaving time (Appendix 3- audit agenda). Plus the audit team shall provide the required documents list to suppliers for preparation in advance (Appendix 1- CSR audit checklist/Document list).

审核团队应该先浏览供应商提交的自评表, 确定审核的重点(附件2- 审核报告 第一部分)。并和被审核方联系好, 最迟在审核日前3个工作日和被审方确定审核的详细计划, 包括到达工厂的时间, 审核行程的安排和审核结束和返回的时间, 具体请见附件3- 审核日程安排。审核员会提供要审核的文件清单(附件1-企业社会责任审核表/文件清单), 让供应商提前准备。

For new supplier, QMS needs to review the supplier self-assessment and give conclusion (Risk- High, Middle, Low) with specific CSR assessment site audit checklist such as audit items, requirements to GS. While the onsite audit is organized, the CSR specific audit checklist shall be planned into supplier assessment audit planning. And SQA needs to work out the relevant audit report of CSR.

对于新供应商，QMS评审供应商的自评并给出CSR结论（风险-高、中、低）以及相应的现场审核检查表。该现场审核检查表需加入到供应商的现场审核计划，SQA要进行CSR审核并输出报告。

Accordance with the requirement of EICC, the audit content covers 8 main areas: management system、labor rights(freely Chosen Employment, child labor avoidance、working hours、wages and benefits、humane treatment、nondiscrimination、freedom of association)、business ethic、health and safety、environment、supply chain security、conflict mineral and greenhouse gas emission. Greenhouse gas emission was temporary regarded as additional part and do not influence the final score.

依据EICC的一些基本要求，审核内容包括8个主要的方面：管理体系，劳工权利（自由选择职业，不使用童工，工作时间，工资和福利，人道待遇，不歧视，自由结社），商业道德，健康和环境，供应链安全,冲突矿石和温室气体排放。温室气体排放暂时作为审核的附加部分，不会影响最后的评分。

4.3.2 Opening meeting 首次会议

When the audit team arrive the factory, audit leader should introduce the team member to the supplier. The supplier shall ensure that the documents are prepared and can be provided once needed.

当审核员到达工厂后，审核员介绍会展开审核工作的审核人员。被审核人员应该确保审核员要求审核的文件详细并且随时可供审核。

The audit leader will introduce the detail schedule of the audit, process and principle, and answer any questions that asked by supplier side (Appendix 4- Opening meeting presentation). The supplier also can introduce their business of the company, the operation status etc., to help the audit team know the company better.

审核组长将简单的介绍下审核的安排，行程和范围，回答被审核人员提出的疑问，请参考附件四-首次会议介绍。被审核人员也可以对公司的业务，运行状况等做一些简单的介绍，以便帮助审核人员进一步对公司的了解。

4.3.3 Facility evaluation 工厂评估

4.3.3.1 Facility tour and inspection 工厂参观和检查

The audit team will be free to review the areas of the factory below, include workshop, material warehouse, office areas, distribution centers, canteens and kitchens, dormitories.

审核员将对工厂，包括生产车间，原料仓库，办公区域，发货区域，食堂和厨房，宿舍等进行参观和检查。

According to the checklist, the audit findings can be recorded during the facility walk through, and anything confused can be asked to the suppliers accompany.

对照审核检查表，审核过程中发现的问题直接记录下来，并且可以询问陪同的被审核人员。

4.3.3.2 Documentation reviews 文件审查

The audit team will review the CSR management system documents, such as procedure, certificate, objectives and targets etc., and relevant records.

审核小组对CSR管理体系的文件进行审核，包括一些流程文件，相关的证书，目标指标等等，以及一些相关的记录。

4.3.3.3 Gathering information from management and worker 管理层和员工访谈

Throughout the validated audit, the auditors will interact with workers to gather information, the number of the workers selected for a formal gathering of information session will depend on facility size. Interviews can last from 20 minutes or more.

在有效的审核过程中，审核员将跟员工交谈来收集信息，被审核的员工人数根据工厂的大小来决定，一般审核时间持续在20分钟及以上。

Worker interviews are private meetings between the auditor and workers. Supplier management may not be present during interviews in order to ensure worker privacy and confidentiality.

与员工的面谈应该是私密的。供应商的管理层在访谈过程中不能在场，来保证员工访谈的公正和机密性，不受干扰。

Audit team can gather the information from the management, to understand of how CR programs developed and implemented

访谈也可以与供应商管理层之间进行，来进一步了解CR体系在供应商的公司中是怎样开展和执行的。

4.3.4 Daily wrap-up meeting 每日小结会议

The audit team will meet at the end of each audit day with the auditee management to discuss the day's findings, provide the opportunity for the auditee to present additional evidence and discuss issues where additional information may be needed to complete the evaluation.

审核组在每天审核结束后将和被审核管理团队讨论当天的发现，可以让被审核团队提供他们的一些额外的证明和讨论是否需要其他更多的信息来完成评估。

The audit team will recap and agree the agenda for the remainder of on site audit portion with the auditee management and clarify any further needs to ensure the audit is performed as effective and efficiently as possible.

审核团队同时也将再次跟被审核管理层确认接下来的审核行程或者有可能重新安排审核行程，确保接下来的审核能够更有效的执行。

4.3.5 Closing meeting 末次会议

After the audit, there will be a close meeting between the auditor and suppliers. And the audit findings should be reported in the close meeting (draft report), and confirmed with each other (Appendix 2- Audit report part 2). The auditee team can ask the questions, the goal is to reach agreement on the major findings.

审核结束后，审核最后一天将召开审核末次会议，所有审核的发现需要在末次会议上报告出来，可以先拟一份报告草稿，对审核的发现同供应商进行确认，参考附件二审核报告第二部分。供应商可以对审核的发现提出问题，末次会议主要是要双方对审核的主要问题达成一致。

4.4 Validated Audit Report 审核报告

4.4.1 After the audit, the auditor leader should do the TCT scoring for suppliers, and summary the audit findings together (Appendix5- Audit findings report) and also finish the complete audit report (Appendix 2 Audit report part3) in two weeks.

现场审核完毕，审核组长给供应商打分，并将审核问题点汇总（参考附件5），并完成完整的审核报告（参考附件二审核报告第三部分），在两周内完成。

4.4.2 The audit findings should be sent to suppliers, suppliers should reply the reason analysis and corrective action in two weeks, and attach the files if necessary. The audit team should track the corrective action till closed.

审核问题点汇总后需要发给供应商，供应商在两周内作出回复原因分析及改善措施，必要时附上附件说明。

4.4.3 Assessment Colours 审核结果

4.4.3.1 There are four colors for the assessment result for the suppliers, the green light, the yellow light, the orange light and the red light. GS will take actions for different assessment colors.

对于审核结果有四种状态来表示，绿灯，黄灯，橙灯和红灯。GS会根据审核状态结果做出相应处理。

4.4.3.2 The Child Labor is the most severe violations, once it experienced, this assessment will stop immediately and GS will take the necessary action at once. The red light is also the severe violations, once it experienced, the audit team need to inform GS, GS will take the necessary actions immediately.

童工是最严重的违规，一旦发现有童工现象出现，本次审核立即终止，GS需要立即采取相应处理措施。红灯项也是严重违规，一旦发现，审核组需要及时通知GS, GS需要立即采取相应处理措施。

4.4.3.3 The orange light is high risk violations, be valid for 6 months.

橙灯是高风险违规，有效期6个月。

4.4.3.4 Yellow light is Medium risk violations, it is valid for 1 year.

黄灯是中等风险的违规，有效期1年。

4.4.3.5 Green light is No or minor violation, it is valid for 2 years.

绿灯是没有或轻微违规，有效期2年。

4.4.3.6 For new supplier, according to the AVL approval decision, together with GS, SQA, operation and quality team, the CSR level of supplier should be defined:

对于新供应商，QMS需要与GS, SQA, 运营和质量团队一起根据AVL批准决定来定义该供应商的CSR等级

4.4.3.6.1 CSR-critical supplier: the detailed CSR site audit should be deployed in the 3 months since the AVL approval date

CSR-关键供应商：自该供应商被批准成为AVL供应商起3个月内完成全面CSR现场审核

4.4.3.6.2 CSR-major supplier: the detailed CSR site audit should be deployed in the 6 months since the AVL approval date

CSR-重要供应商：自该供应商被批准成为AVL供应商起6个月内完成全面CSR现场审核

4.4.3.6.3 CSR-minor supplier: the detailed CSR site audit should be deployed in the 1 year since the AVL approval date

CSR-一般供应商：自该供应商被批准成为AVL供应商起1年内完成全面CSR现场审核

4.5 Follow-up verification 改善结果验证

The SQA or QMS will follow up the audit findings and verify the status, until the findings are closed in the validated time.

供应商对于审核发现的改善由SQA或QMS来进行后续的追踪，验证，直至问题在有效时间内能够关闭。

QMS needs to re-score supplier CSR according to the verification status and provide CSR status report of suppliers every 12 months.

QMS根据CSR的跟踪验证情况每年更新供应商CSR分数并提供供应商CSR报告。

The audit report and relevant audit record will be kept and maintained by QMS team.

审核报告及相关记录由QMS统一管理和维护。

5. Glossary

GS: Global Sourcing

QMS: Quality Management System

SQA: Supplier Quality Assurance

6. Appendix

Appendix1 CSR audit checklist 企业社会责任审核表

Appendix2 Audit Report (3 parts) 审核报告（含3个部分内容）

Appendix3 Audit agenda 审核日程安排

Appendix4 CSR audit opening meeting 企业社会责任审核首次会议

Appendix5 CSR corrective action tracking 企业社会责任改善追踪表

Appendix6 opening and closing meeting list 首末次会议签到表

Appendix7 Supplier CSR risk assessment 供应商社会责任风险评估表