TÜVNORD

Audit Report (Stage 2)

Organisation HIWIN Technologies Corp
上銀科技股份有限公司

Audits(ZA) IT-372

Master Data of Organisation	
Name of Organisation	HIWIN Technologies Corp 上銀科技股份有限公司
Name of corporate group (in case of multi site organization only)	NA
Street	No. 7, JingKe Road, 精科路 7 號
Postcode / Town / Country	Nantun District, Taichung City, 408, Taichung 台中市南屯區
Contact	Ms. Ya Jing Lu 呂雅菁小姐
E-Mail	Jing.lu@hiwin.tw
Phone	04-2359-4510# 1249
System documentation: (Revision / Issue)	ISMS Policy: JAM002, version A1, date 01.12.2022
Shift operation	no shift operation
Language	mandarin
Peculiarities	None

Multi Site Organisation			
Selection of sites to be audited by sampling procedure	☐ Yes	☐ No	☒ n.a.
An adequate listing of all sites in the scope(s) including all valid and relevant information in each case is part of the audit file		☐ Yes	☒ n.a.

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Audit profile		
Contract ID (ZE):	55562792	
Standards under contract / Audit type	ISO 27001: 2013 1. Surveillance audit ☐ Transition audit	--- : --- ☐ Transition audit
	--- : --- ☐ Transition audit	--- : --- ☐ Transition audit
Surveillance mode	Yearly surveillance	
Audit team leader	Mr. Bradley Chen (90009722) 陳俊呈先生 - LA	
E-Mail Audit team leader	brchen@tuv-nord.com	
Audit team	Mr.Leevi Lee (90004339) 李清賓先生 - B	
	Mr. Sidney Kao (90013066) 高啓中先生 - C	
Technical expert		
Trainee		
Observer	Mr. Edward Tsai 蔡武宏先生	

Audited Standards			
ISO 27001: 2013		**1. Surveillance audit**	
Certificate ID (TP):	44 121 23820006	Valid until:	2025-10-31
Scope: The Information Security Management System operation and maintenance of the Information Department, including ERP, BPM, MES, and server room. Statement of Applicability JAM003, version. A1, date on 01.12.2022 本公司資訊處之資訊安全管理系統包含企業資源規劃系統(ERP) 、企業流程管理系統(BPM)與製造營運管理系統(MES)及資訊機房維運。 依據適用性聲明書 JAM003，版本 A1，修訂日期 01.12.2022。			
Industry / Sector (EA, TB, …)	33		
Non-applicability of chapters:	See Supplemental Report ISO 27001		
No. of considered persons:	48	No. of sites (incl. HQ):	1
Lead auditor:	Mr. Bradley Chen	Audit ID (ZA):	IT-372

Definition of unit for duration and time		
Applied unit	Days	One audit day covers 8 audit hours

Audit Details	
Sites	No. 7, JingKe Road, Nantun District, Taichung City, 408, Taichung 台中市南屯區精科路 7 號
Audit date	22.03.2024
Audit duration	2,69 person Days on site (incl. remote locations as applicable) inclusive 0,00 person Days on site for audit stage 1 (separate report)

Application of methods and tools in remote auditing			
Conducted as a remote audit	☒ No	☐ Partly	☐ Total
Technologies used for the remote audit	☐ MS Teams	☐ Cisco WebEx	☐ Zoom
	☐ Other on request of client: **In this case, client takes over the responsibility for any required activity in information security.**		

Details about the remote audit (if applicable)

The audit was performed applying technology for information and communication (“remote”) at 0%.

Effectiveness and efficiency of the remote-part was ensured by

- ☐ experienced application of engaged technology;
- ☐ the consecutive processing of the single sessions with the individual units;
- ☐ the online interviews with different people from diverse units and various hierarchical levels;
- ☐ the separation of the audit team in individual online sessions;
- ☐ reviewing an adequate sample of documented processes and/or information;
- ☐ the discussion of appropriate charts, diagrams, slides or any other relevant information;
- ☐ the presentation and discussion of photos, videos and audios of issues, being prepared on detailed guidance and governance of the audit team.

Details about reviewed information or documents, interviewed persons, content of videos & photos etc. are recorded in the report or (handwritten) notes.

If the audit was performed partly remote, the corresponding sessions are identified unambiguously in the audit plan.

Distribution/Confidentiality/Rights of ownership/Limitations/Responsibilities

This report is sent to the certification body or bodies, the members of the audit team and the audit representative of the organisation. All documents (such as this report) regarding the certification procedure are treated confidentially by the audit team and the certification body. This audit report remains the property of the certification body.

An audit is a procedure based on the principle of random sampling and cannot cover each detail of the management system. Therefore nonconformities of weaknesses may still exist which were not expressly mentioned by the auditors in the final meeting or in the audit report.

The responsibility for continuous effective operation of the management system always rests solely with the audited and certified organisation.

Salvo clause:
The audit report will be left to the organisation at the end of the audit - subject to approval by the certification body. The independent veto process may cause modifications or additions. In these cases a modified revision will be sent to the audited organisation.

Annex/Enclosures

Annex/ corresponding audit documentation	☐ Questionaire(s) / Checklist(s) ☒ Additional annexes, number LA, B, C

Audit results

Table of Results

ISO 27001: 2013		--- :		--- :		--- :	
Clause	**Rslt.***	**Clause**	**Rslt.***	**Clause**	**Rslt.***	**Clause**	**Rslt.***
4	2						
5	1						
6	1						
7	1						
8	2						
9	1						
10	1						
A.5	1						
A.6	1						
A.7	2						
A.8	1						
A.9	1						
A.10	1						
A.11	1						
A.12	2						
A.13	1						
A.14	1						
A.15	1						
A.16	1						
A.17	1						
A.18	1						

Additional requirements in accordance to ISO 17021:2015	Rslt.*
▪ internal audits and management review	1
▪ review of actions taken on nonconformities identified in previous audit	1
▪ responsiveness to complaints	1
▪ effectiveness of the management system with regard to fulfilment of objectives	1
▪ progress of planned activities aimed at continual improvement	1
▪ the client's management system ability and its performance regarding meeting of applicable requirements	1
▪ operational control of the client's processes	1
▪ review of any changes including the management system documentation	1
▪ use of marks and/or any other reference to certification	1

Rslt.* (Result):
0 = not audited; **1** = fulfilled; **2** = basically fulfilled/ potential for improvement; **3** = not fulfilled/ nonconformity; **-** = not applicable/ excluded.
Details: see section „Audit findings"

Mandatory elements from A00VA02

Temporary Sites

a) Are temporary sites (i.e. installation sites, project locations etc.) available?	☐ Yes	☒ No
b) If yes: which one are visited?	NA	

Objective evidences

In any regular audit the audit team shall see and review the following objective evidences.
To confirm, the corresponding revision information is registered in column „Edition“

That can become applicable as well for some or all the listed objectives in special audits, e.g. for extensions or after transferring sites.

At least in **initial/recertification or extension audits** (or when necessary) these objective evidences/documents are attached adequately to the audit file and uploaded into the release workflow.
In any other audit it is accepted to record the revision information only.

Title/Content	Edition	Attached
Entry in professional or commercial register (or comparable evidence) - if applicable	Attached file (1.公司營業登記)	NA
Organization chart/evidence of organization	Attached file (2.組織架構圖)	NA
Company policy for audited management systems	Attached file (3.資訊安全政策)	NA
Overview of management system documentation (e.g. table of contents or presentation of the structure of the management system documentation, process map)	Attached file (4.文件一覽表)	NA
Result of management review (e.g. cover sheet or table of contents with date and signature)	Attached file (5.管審會議紀錄)	NA
Current annual planning of internal audits and evidence of audit report(s) (e.g.: cover sheet with date and signature)	Attached file (6.內稽計畫/報告)	NA
Standard-specific evidence, as applicable (e.g. ISO 14001: extract of environmental permit register; ISO 27001: statement of applicability, ISO 45001: accident statistics; ISO 50001: energy report as cover sheet with date and signature or evidence of continual energy performance improvement)	Attached file (7.適用性聲明書)	NA

Confidential information in the attached evidences may be blacked.

Standard specific results

☒ Additional standard specific audit results and/or information are recorded in corresponding „Supplemental audit reports“ (e.g. for ISO 27001 or ISO 50001).

Organisations profile

HIWIN comes from "HI-tech WINner" and means, " With us, you are a hi-tech winner." As you incorporate our product within your applications, you will realize the uncompromising value and the leading technological advancements available through HIWIN.

In addition, we are proud of being recognized by the industry for our innovation technology. The principle of providing our customers with greater value through technological advancements and enhanced global competition is the foundation of HIWIN's plan to be the leader in hi-tech industry.

HIWIN has become a well-known brand with patents registered in many countries including the US, Japan, the European Union, and more.

Mission Statement

To provide a better way of life and a better working environment for mankind

1. For Taiwan: be able to develop high precision, high-tech, high value-added industrial products.
2. For the world: HIWIN products can replace hydraulic components, reduce pollution and noise, and conserve energy.
3. To provide a safe, clean and comfortable environment for employees as well as to maximize profit for shareholders.

Environmental Protection and Occupational Health & Safety Policy

HIWIN Technologies Corp. is professionally engaged in the innovation and the manufacturing of ballscrew and linear motion components. With the management philosophy "Professional Excellence, Working Enthusiasm, and Enterprise Responsibility." Hiwin strives for meeting with the demand of all fields.

In order to establish the environmental protection and the occupational health & safety as systematization, HIWIN emerges the concept of environmental protection and occupational health & safety into the decisive processes of innovation, manufacturing and service of products, adoption of raw material, and abandonment of waste material. Also, we will keep improving our responsibility of the prevention of pollution, the reduction of waste material, the saving of resources and energy, and the protection for employees' health & safety. To implement this policy effectively , HIWIN promises to all its employees, customers, suppliers, and all publics the followings:

1. Educate and upgrade HIWIN employees concept about the environmental protection and occupational health & safety; and keep on the mutual communication with our suppliers and customers.
2. Abide by the laws, the regulations, and the other requirements of the government concerning about the environmental protection and the occupational health & safety.
3. Stress on the prevention work against pollution and actively keep on the improvement.
4. Be secure and legal on treatment for discard material and enduringly proceed the deduction of industrial wastes.
5. Volunteer to check and control Greenhouse Gas ;then protect natural resources and economize the use of energy.
6. Promote the prevention work of occupational health & safety to reduce its hazard and risk, and also carry on the improvement to the target of "zero accident".

HIWIN will make all employees comprehensively understand and keep on the execution of our environmental protection and occupational health & safety policy through the internal audits and continuous training. Besides, HIWIN will convey this policy to those, who work or stand for the organization to work, through suitable media to let all relative organizations realize HIWIN 's definite determination upon the management of environmental protection to the earth and occupational health & safety for all HIWIN employees.

Summary of Results

During the auditing finding, the scope and management system are well maintained and improved effectively operating:

- The required ISMS documentation is available and in compliance with this Standard.
- The organization of information security for internal and external purpose are implemented, operated and maintained.
- The management review has been conducted as defined interval.
- The incident and issues of security anomaly handling are implemented and monitored till closure.
- The corrective actions have been well traced and implemented for root cause and eliminate problems.
- The top management gives strong commitment and supportive for management system.

Conclusion

Taking into account the audit findings documented below, the organisation's size and structure, objectives, scope of the management system, processes and results achieved, the organisation has demonstrated that it operates its management system to ensure conformity with its own requirements, the requirements of interested parties, applicable legal requirements and appropriate requirements from the management system standards.

This includes in particular:the objective evidences,

- the policies and objectives and their implementation in the organisation,
- the processes existing in the management system and their interactions,
- the resource management,
- the measuring and analysis (incl. sample of indicators),
- the continual improvement process as well as
- the recording system (p.r.n. including standard specific objective evidences).

The implementation and the effectiveness of the management system and the processes for providing services/product realisation or to realize the objectives were assessed by the audit team by means of on-site inspection and examination of documented information on a random sample basis.

Audit findings

Notes for the findings

The evaluation of the audit findings basically follows the scheme shown below:

Stage	Classification	Meaning
NC A	**Major Nonconformity** (Nonconformity A “major”)	Nonconformities could be classified as major in the following circumstances: • if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements, • a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.
NC B	**Minor Nonconformity** (Nonconformity B “minor”)	Nonconformities could be classified as minor, if these do not affect the capability of the management system to achieve the intended results.
OFI	Opportunity for improvement	Items which would allow optimisation of the management system in relation to the requirements of the relevant standard. It is recommended that the company implements these items.
GP	Positive aspects / Good Practice	Positive aspects of the management system worthy of special mention (see also point 4.3 if applicable).
CM	Comments	Special situation and information to be traced in next audit.

If applicable: Guidance for management of nonconformities

Identified nonconformities are each documented in a nonconformity report ("Management of a nonconformity"), which are part of this audit report as annexes.
The audit team uses the nonconformity reports after the audit to track the processing status and also documents in them the final assessment results for the nonconformities concerned.

The organization shall perform a root cause analysis for any nonconformity and define adequate corrective actions. Root cause analysis, corrective actions including action plan for implementation and - if applicable- objective evidences for performed corrections or containment actions shall be submitted electronically to nominated lead auditor in charge on time to agreed deadline (latest six weeks after last day of the audit). The lead auditor will review these documents and shall inform organisation about the result.

The auditee organisation shall implement the corrective actions as defined in the approved action plan and review the effectiveness of implemented actions.

In the case of major nonconformities (NC A) the lead auditor shall verify the complete and effective implementation of action plan until agreed date (latest three months after last day of the audit). On decision of the auditor depending on type and extent of identified nonconformity, this can be done in a follow up audit on site or in a desktop-review of submitted documentation (objective evidence).

For minor nonconformities (NC B) it can be agreed to perform the verification of effective implementation of action plan in the next regular audit.

If any nonconformity applies to more than one of the audited standards, it may be recorded in a common nonconformity report, but shall be counted in the audit report for each applicable standard. The number of nonconformity reports may therefore be less than the number of nonconformities.

Summary for nonconformities

Standard	Raised in this audit		To be verified from previous audit
	Number NC A	Number NC B	Number NC
ISO 27001: 2013	0	0	1
Total	0	0	1
Total number of nonconformity-reports raised in this audit:			0

☐ At least one of the nonconformities is graded as „generic“ and is counted in more than one corresponding audited standard.

☐ During this audit the implementation of corrective actions and effectiveness of nonconformities of previous audit was verified. The records are attached to this audit file.

Closure and recommendations				
Closure result	**ISO 27001**	**---**	**---**	**---**
Fulfilled	☒	☐	☐	☐
Open nonconformities	☐	☐	☐	☐
Not fulfilled	☐	☐	☐	☐
Recommendations of audit team	**ISO 27001**	**---**	**---**	**---**
Grant*/ Extension*/ Renewing*	☒	☐	☐	☐
Maintenance*	☐	☐	☐	☐
Suspension	☐	☐	☐	☐
Restoring	☐	☐	☐	☐
Refuse	☐	☐	☐	☐
Withdrawal	☐	☐	☐	☐
	☐	☐	☐	☐

*) **Grant / Extension / Renewing / Maintenance in the case of open nonconformities assumes that the nonconformities will be cleared as agreed**

Explanation of the terms:

Renewing: New issue of the certificate for the re-certification.
Restoring: End of the temporary invalidity of certificate after the suspension or after delayed re-certification.

Comments for next audit

If applicable, the final evidence of effectiveness and implementation of corrections and corrective actions for the nonconformities from this audit will be verified in the next audit.

The comments and opportunities for improvement will be taken up again.

The next audit is preliminarily scheduled for: 10.03.2025

Responsible for content

Name: Bradley Chen	Date: 2024-03-22

- Signature audit team leader