

PHILIPS

# Philips Supplier Sustainability EICC Tool

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Philips Revision-2013

## Philips EICC Audit Question List 2013

Sub-title Description	Checklist ID	Philips Color	Requirements
<b>A) Labor 劳工</b>			
A1) Freely Chosen Employment 自由选择职业	A1.1	RED	Any type of forced, prison, indentured, or bonded (including debt bondage) labor is not used. 工厂没有任何形式的强迫劳工，监狱工，契约工或债务工。
	A1.2	ORANGE	Adequate and effective policy and procedures are established against slavery and human trafficking ensuring that any form of forced, bonded or involuntary prison labor is not used. 工厂建立了有效的政策和程序来防止因为奴役和人口贩卖导致的任何形式的强迫劳工，契约工以及监狱工。
	A1.3	ORANGE	Workers are informed in writing and in their own language prior to employment (in case of migrant workers, before they leave their home country/region) of the key employment terms and conditions via employment letter/agreement/contract as required by law. 如工人是外来务工人员，工厂应在工人离开自己国家或地区以前，按照法律要求，用工人的母语以书面形式通过雇用信/雇用协议/雇用合同提前告知工人该工厂的雇用条款和雇用条件。
	A1.4	ORANGE	Upon hiring, the workers government issued identification and personal documentation originals are not withheld by employer/labor agent/contractor (if applicable) without formal consent. 工人受聘时,工厂/劳务公司/立约方没有扣押工人的身份证（护照或工作许可证）。
	A1.5	ORANGE	Workers are free to leave their employment upon giving reasonable notice, with no penalty. 工人如有合理的理由，工厂应保证其自由离职的权利，且无处罚。
	A1.6	YELLOW	Workers are not required to pay fees, deposits or debt repayments for their employment. 工人受聘时无需缴纳额外费用，押金或债务。
	A1.7	YELLOW	There are no unreasonable restrictions on the movement of workers and their access to basic liberties. 工厂不可以非正当理由限制工人的基本人身自由。
	A1.8	ORANGE	All relevant labor requirements of the EICC Code/requirements are clearly communicated to labor agents/contractors, and they are monitored / Audited to verify conformance. 工厂与其劳务公司或立约方针对 EICC 中关于劳工雇用的条款进行了告知和沟通，并且有效地对这些人力代理公司进行有效监督或省查。
	A1.9	ORANGE	Recruitment practices and performance are disclosed to customers and other relevant parties. 工厂将招聘流程和做法与客户及其他相关方进行了沟通。
		A2.1	RED

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A2) Child Labor Avoidance 禁止使用童工	A2.2	YELLOW	An adequate and effective policy and process is established to ensure that workers below the legal minimum working age are not hired both directly or via labor agencies / contractors. 工厂建立了政策和方法来保证工厂或人力中介雇用的工人不低于最低法定年龄。
	A2.3	YELLOW	Access to basic educational needs for workers below the age for compulsory education is applied. 工厂需保障还在九年义务教育阶段工人的教育权利。
	A2.4	ORANGE	Workers under the age of 18 are not allowed to perform work that is likely to jeopardize the health or safety of these young workers. 工厂不允许未成年工从事可能损害他们健康与安全的工作岗位。
	A2.5	YELLOW	Apprentice/intern/student worker employment policies and practices are in place. 工厂建立并实施了关于使用学徒工/实习工/学生工的政策和措施。
A3) Working Hour 工作时间	A3.1	ORANGE	Average hours worked in a workweek over the last 12 months does not exceed 60 hours or the legal limit (whichever is stricter). 工厂在过去 12 个月中，工作周的平均上班时数不超过 60 小时或法律规定（取决于哪个更严格）。
	A3.2	ORANGE	Workers receive at least one (1) day off per every seven (7) days. 工人是否平均每七天至少有一天休息？
	A3.3	YELLOW	Adequate and effective policy and system/procedures are established to determine, record, manage and control working hours including overtime. 工厂是否有书面的监测，管理和控制员工上班时间含加班时间的程序？
	A3.4	ORANGE	Workers are allowed legally mandated breaks, holidays and vacation days to which they are legally entitled. 工人是否能得到合法的休息时间以及假期？
	A3.5	YELLOW	Legal regular and overtime working hours and facility working hours are communicated to all workers. 工厂是否有与工人沟通合法的工作时间及工厂的工作时间？
	A3.6	YELLOW	Reliable time records of workers' regular and overtime working hours on a daily, weekly and monthly basis are kept and available. 工厂是否有保留工人有效的正常和加班工作时间记录？
A4) Wages and Benefits 工资与福利	A4.1	RED	Legal wages for regular and overtime hours are correctly calculated and paid to all workers. 工厂是否将合法正常工作时间的报酬以及加班报酬支付给工人？
	A4.2	YELLOW	Wage calculations are clearly communicated to workers using pay stub or similar documentation. 工厂是否与工人沟通清楚工资结算是用工资单还是其它类似文件方式？
	A4.3	ORANGE	Social insurance scheme and other benefits as required by local law is provided to all workers. 工厂是否依当地法规要求提供社会保险以及其他福利计划？

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	A4.4	YELLOW	Payments to workers are not delayed or withheld and proof of wage payments to workers is maintained. 工厂不拖欠和扣押工人工资并且保持工资记录。
	A4.5	ORANGE	Wages are not deducted or reduced for disciplinary reasons. 工厂没有使用扣除工资的方式作为纪律处分的手段。
	A4.6	ORANGE	Deductions or withholdings are calculated correctly and submitted to the appropriate government agency within the time frame specified in the applicable local labor law. 工资中的扣交部份工厂是否依法在指定的时间内上交给当地政府机构？
A5) Humane Treatment 人道待遇	A5.1	RED	No evidence of sexual harassment or abuse, corporal punishment, mental or physical coercion, verbal abuse or intimidation exists. 工厂不得有任何形式的性骚扰，性虐待，体罚，精神上或身体上的胁迫，谩骂和恐吓。
	A5.2	YELLOW	Adequate and effective policies and procedures on decent/humane working conditions and fair treatment of workers are established and communicated to all workers. 工厂是否建立了有效的程序和政策来保证工人有人道，体面及公平的工作条件，并且向全体员工进行了沟通？
	A5.3	YELLOW	Disciplinary actions are recorded, consistent with the procedures and reviewed by management. 工厂是否把纪律处分和程序保持一致并记录在案，同时告知管理层？
	A5.4	YELLOW	Managers and supervisors are adequately trained on appropriate disciplinary measures/procedures. 经理以及主管都接进行了关于制度和程序的充足培训。
	A5.5	ORANGE	Workers are permitted time off when ill or for maternity. 工人是否可请病假或产假？
A6) Non-Discrimination 不歧视	A6.1	RED	No evidence of discrimination based on grounds of race, color, age, gender, sexual orientation, ethnicity, disability, pregnancy, religion, political affiliation, union membership or marital status exists. 工厂不得有任何形式的歧视，包括种族，肤色，年龄，性别，性取向，国籍，残疾，怀孕，宗教，政治观点，联盟团体和婚姻状况。
	A6.2	YELLOW	Adequate and effective policies that ban discrimination and harassment are in place. 工厂有书面的反歧视政策。
	A7.1	RED	Legal rights of workers for free association are respected. 工人自由结社的法律权利是否受到尊重？
	A7.2	YELLOW	Adequate and effective communication/training to workers on their legal rights related to freedom of association is provided. 工厂是否与工人沟通他们有自由结社的相关权力？

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A7) Freedom of Association 自由结社	A7.3	ORANGE	No evidence of unequal treatment between unionized or worker representatives and non-unionized workers exist. 工会或工人代表与其他工人之间不得存在不平等待遇。
	A7.4	YELLOW	No evidence of control or attempt to control of labor organizations by any means (incentives or intimidation) exists. 工厂不得以任何形式的刺激和恐吓控制或试图控制工会组织。
	A7.5	YELLOW	Workers are informed when being employed if automatically enrolled in union or other forms of worker representation. 如工人受聘时会自动加入到某组织或团体，工厂应向工人提前告知。
	A7.6	YELLOW	Worker representatives are democratically elected. 工厂通过民主选举的方式产生员工代表。
<b>B) Health &amp; Safety 健康和安</b>			
B1) Occupational Safety 职业安全	B1.1	ORANGE	All required permits, licenses and test reports for occupational safety are in place and a process is implemented to ensure permits and licenses are up to date at all times. 工厂具备所有职业安全的许可证，执照以及测试报告，并且保证各类许可证的及时更新。
	B1.2	RED	Worker exposure to potential safety hazards (e.g. electrical and other energy sources, fire, vehicles, and all hazards) are controlled through proper design, engineering and administrative controls and safe work procedures. 工厂通过适当的设计，工程控制和管理来减少工人暴露在潜在安全隐患中的可能（如 电能危害和其他能源危害、火险、车辆意外等）。
	B1.3	YELLOW	Appropriate Personal Protective Equipment (PPE) is consistently and correctly used where required to control safety hazards and worker exposure. 工厂通过使用恰当的个人防护用品控制工人暴露在危险的工作环境中。
B2) Emergency Preparedness and Response 应急准备	B2.1	ORANGE	All required permits, licenses and testing reports for emergency preparedness are in place and a process is implemented to ensure permits and licenses are up to date at all times. 工厂具备所有应急响应的程序，并且保证程序的及时更新。
	B2.2	RED	Adequate and effective fire detection, alarm and suppression systems are in place. 工厂是否有充足的火灾探测，警报和灭火系统？
	B2.3	ORANGE	All likely types of emergencies that could affect the site are identified and assessed, and adequate and effective emergency preparedness and response programs (plans/procedures) are established. 工厂是否充分识别紧急情况的可能类型，并制定相应的预防和应急方案？
	B2.4	RED	Emergency exits, aisles and stairways are adequate in number and location, readily accessible, and properly maintained. 工厂的紧急出口，通道和楼梯数量是否足够，便于到达，并有适当维护？

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	B2.5	YELLOW	All employees are provided with appropriate training/communication on fire and other emergencies, as well as the corresponding preparedness and response plans/procedures. 工厂是否根据相关的应急程序和计划对所有员工都进行了消防或其他紧急情况的培训？
	B2.6	ORANGE	Adequate and effective fire and other emergency evacuation and response drills are conducted with all employees, and records are maintained. 工厂是否对全体员工进行了消防演习以及其他紧急疏散演习，记录该演习？
	B2.7	YELLOW	Designated emergency response personnel are provided adequate and effective PPE and training on a regular basis. 工厂是否对指定的应急响应人员定期提供充足的 PPE 和相关培训？
B3) Occupational Injury and Illness 职业伤害与疾病	B3.1	ORANGE	All required permits, licenses and testing reports for occupational injury and illness are in place and a process is implemented to ensure permits and licenses are up to date at all times. 工厂是否具备所有工伤和职业病的文件，以及相关测试报告，并且保证所文件的及时更新？
	B3.2	ORANGE	Investigations to determine root cause(s) and implement corrective/preventive actions for work-related injuries/illness in the past three years are performed and documented. 工厂是否对过去 3 年内曾发生的工伤采取适当的纠正和预防措施？
	B3.3	ORANGE	An effective process and adequate first aiders to provide medical treatment for injured or ill workers is in place. 工厂是否配备了急救人员？
	B3.4	ORANGE	Adequate first aid kits to provide medical treatment for injured or ill workers are in place. 工厂是否配备了充足的急救箱？
	B3.5	ORANGE	Workers know what to do in the event they are injured or become ill on the job. 员工是否了解工伤的处理程序？
B4) Industrial Hygiene 工业卫生	B4.1	ORANGE	All required permits, licenses and testing reports for Industrial hygiene are in place and a process is implemented to ensure permits and licenses are up to date at all times. 工厂是否具备所有工业卫生的文件，以及相关测试报告，并且保证所文件的及时更新？
	B4.2	RED	Appropriate controls for worker exposures to chemical, biological and physical agents are implemented. 工厂是否控制由化学、生物以及物理因素给员工带来的危害？
B5) Physically Demanding Work 体力要求高的工作	B5.1	ORANGE	All required permits, licenses and testing reports for ergonomics are in place and a process is implemented to ensure permits and licenses are up to date at all times. 工厂是否具备人机工程的文件，以及相关报告，并且保证所有文件和报告的及时更新？
	B5.2	RED	Worker exposure to the hazards of physically demanding work is identified, assessed and controlled adequately and effectively. 工厂是否充分鉴别、评估并控制从事高体力劳动工作给员工带来的影响？

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B6) Machine Safeguarding 机器防护	B6.1	ORANGE	All required permits, licenses and testing reports for machinery are in place and a process is implemented to ensure permits and licenses are up to date at all times. 工厂是否具备机械安全方面的许可文件和有关执照，以及相关测试报告，并且保证所有文件的及时更新。
	B6.2	RED	Workers operate machinery safely, including proper use of machine safeguards and emergency stop switches. 工人是否知道如何安全地操作机器，包括如何使用机械防护和急停按钮？
	B6.3	ORANGE	An adequate and effective machine-safeguarding program is implemented. 工厂是否有效执行机械防护？
B7) Dormitory and Canteen 公共卫生、食物和宿舍	B7.1	ORANGE	All required health & safety licenses, permits, registrations and certificates related to food, sanitation and housing are in place and an adequate and effective process is established to ensure permits and licenses are up-to-date at all times. 工厂是否保证食物，公共卫生和住宿的健康&安全，且执照齐全，保证这些执照的及时更新？
	B7.2	RED	Dormitories are clean, safe and well maintained and meet international housing standards. 员工宿舍是否达到国家宿舍标准并且干净，并有很好维护？
	B7.3	ORANGE	Canteens (cafeterias) are clean, well maintained, and managed in compliance with local health regulations. 员工食堂是否按照当地健康法规，干净&卫生？
	B7.4	ORANGE	Food service workers have undergone appropriate food safety training. 食堂的员工是否进行了食物安全的培训？
<b>C) Environment 环境</b>			
C1) Environmental Permits and Reporting 环境许可和报告	C1.1	ORANGE	The facility has obtained all the legally required environmental permits, approvals, licenses and registrations. 工厂已经获得所有合法的环保许可证，批复，执照以及注册文件。
	C1.2	ORANGE	Reporting to environmental authorities as required by law is performed timely. 工厂是否按照法规要求及时向环境部门报告？
C2) Pollution Prevention and Resource Reduction 预防污染和节约资源	C2.1	ORANGE	Established adequate and effective programs, including targets, to: a) eliminate, reduce or control pollution (emissions, discharges, wastes) and b) conserve resources (energy, water, materials) in place. 工厂是否制定方案或目标来：1.减少、消除管控污染、废弃物的排放；2.节约资源（电能，水能，材料消耗等）？

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C3) Hazardous Substances 有害物质	C3.1	RED	Hazardous materials including wastes are properly categorized, labeled, handled, stored, transported and disposed using government-approved/licensed vendors as per local laws. 工厂是否使用由政府认可的有资质的供应商对包括危险废弃物在内的有害物质进行分类、标示、处理、储存、运输以及清理？
	C3.2	YELLOW	Workers who work with hazardous substances are provided adequate and effective training. 工厂是否对危险岗位的工人进行有效培训？
	C3.3	YELLOW	Waste vendor(s) have been Audited to verify that waste is handled, stored and disposed of in accordance with local regulations, permit conditions and contract requirements. 工厂是否审核负责废弃物处理的供应商来保证废弃物都以当地法规要求，依照合同被处理、储存、清理？
C4) Wastewater and Solid Waste 废水及固体废弃物	C4.1	ORANGE	Solid waste is managed and disposed of in accordance with applicable legal requirements. 工厂是否按照法规要求恰当地处理固体废弃物？
	C4.2	RED	Effluent discharges (industrial/process wastewater, sewage and storm water) meet the discharge limits for regulated constituents. 工厂的工业废水，生活污水以及雨水的排放是否满足当地法规要求。
C5) Air and Noise Emission 空气&噪声排放	C5.1	RED	Air emissions meet the discharge limits for regulated constituents. 工厂的气体排放是否达到国家规定的排放标准？
	C5.2	ORANGE	Environmental noise levels are within regulatory limits. 工厂的噪声是否达到国家规定标准？
C6) Product Content Restrictions 产品含量控制	C6.1	YELLOW	An effective program is in place to meet legal and customer requirements for product content as a formal part of their procurement and manufacturing processes including effective processes, procedures and records are in place to measure or document the chemical composition of products. 工厂是否建立一个有效的程序以满足法律和客户对产品的要求，该程序作为正式采购和制造流程的一部分，包括有效流程、程序和记录产品化学成分的文件。
	C6.2	YELLOW	Effective processes and procedures are in place to request and obtain relevant chemical composition information from their suppliers, including certificates and analytical reports. 工厂是否建立程序和流程来要求供应商提供化学品成分信息，资质证书和检测报告？
<b>D) Ethics 道德</b>			
	D1.1	ORANGE	Adequate and effective Code of Business Ethics or Standards of business conduct, endorsed by senior management is established. 工厂是否建立了有效的商业道德规范标准，并由高级管理层颁布？



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D1) Business Integrity 廉洁经营	D1.2	YELLOW	<p>All workers/employees are provided adequate and effective communication/training on the code of ethical conduct. 工厂是否所有的员工都经过了商业道德规范标准的培训？</p>
	D1.3	ORANGE	<p>Effective procedures to monitor ethics performance is in place. 工厂是否有程序文件监控商业道德的执行？</p>
	D1.4	YELLOW	<p>Business ethics/integrity procedures are communicated effectively to all subcontractors, suppliers, business partners and relevant parties. 工厂是否与承包商，供应商，商业伙伴以及其他相关方进行了商业道德/保密程序的沟通？</p>
	D1.5	ORANGE	<p>An effective risk assessment process to determine vulnerabilities and prioritize corruption risks taking into account business circumstances (country of operations, stakeholders ...) is established. 工厂是否建立一个有效的风险评估法，根据商业运作环境（国家，股东等）来解决需要优先考虑的问题？</p>
	D1.6	ORANGE	<p>Employees who refuse to participate in bribery or facilitation payments are supported by the business and will not suffer demotion, penalty or other adverse consequences even if this action may result in the enterprise losing business. 工厂是否会对拒绝参加贿赂或拒绝收受不恰当金钱的员工给与支持，即便会使得公司丢掉生意，员工也并不会因此受到降级处罚或其他负面影响？</p>
	D1.7	ORANGE	<p>Records of employees declaring any personal interest or conflict of interests that may influence their judgment are kept and available. 工厂是否记录并保留员工因担心利益冲突而发出的个人声明。</p>
D2) No Improper Advantage 无不正当收益	D2.1	ORANGE	<p>Effective and written policy that ensures gifts to or from suppliers and customers is not excessive in cost and frequency and hospitality, expenses or promises as such that may compromise the principles of fair competition or constitute an attempt to obtain or retain business for or with, or direct business to, any person, or to influence the course of the business or governmental decision-making process is established. 工厂是否有书面政策，确保供应商赠送和赠与客户的礼物不超过规定的价值和频次。并且有相关程序来指导员工处理：任何可能危及到公平竞争或导致影响业务的接待、花费和承诺，或能影响到政府决策的行动的相关人员？</p>
	D2.2	ORANGE	<p>Effective procedures for addressing its workers or agents suspected of making or accepting improper offers of payments or gifts and attempted bribery in all forms, the appropriate investigation and subsequent sanctions are applied are in place. 工厂是否建立有效的程序来处理涉嫌提供或接受任何形式的款项或礼品贿赂的员工和代理商，并进行有效的审查和制裁？</p>

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D3) Disclosure of Information 信息公开	D3.1	ORANGE	Business activities are reported in accordance with local laws and regulations. 工厂是否按照当地法规报道自己的商业行为？
	D3.2	RED	No evidence of record falsification or misrepresentation. 工厂是否有伪造记录或编写虚假的证据？
D4) Intellectual Property 知识产权	D4.1	ORANGE	Effective procedures to ensure the protection of intellectual property (their own and that of their customers) are established. 工厂是否建立有效程序来保护自己和客户的知识产权？
D5) Fair Business Advertising and Competition 公平交易、广告和竞争	D5.1	YELLOW	An effective program to ensure advertising statements are not false or misleading and meet fair business and advertising legal requirements is in place. 工厂是否有方案以确保广告内容不具有虚假或误导，并符合公平交易和广告的法律要求？
	D5.2	ORANGE	Effective and written policy prohibiting collusion is established and communicated to workers, employees and business partners. 工厂是否有书面政策禁止共谋勾结，并将此政策通告工人、雇员和商业伙伴？
	D5.3	YELLOW	A formal and effective process to protect customer information is established. 工厂是否有正规流程去保护客户数据？
D6) Protection of Identity 身份保密	D6.1	ORANGE	A way to confidentially report suspected ethical misconduct is available to <b>workers and protects them from retaliation or other consequences.</b> 工厂是否给工人提供渠道保密地检举可疑的非道德行为，并保护工人不被报复？
	D6.2	ORANGE	A way to confidentially report suspected ethical misconduct is available to <b>employees of suppliers and protects them from retaliation or other consequences.</b> 工厂是否给供应商的员工提供渠道去保密地检举可疑的非道德行为，并保护检举的员工？
D7) Responsible Sourcing of Minerals 在采购矿物时秉承负责任的态度	D7.1	ORANGE	A policy to reasonably assure that purchasing of the 3TG minerals does not directly or indirectly finance armed groups that are of serious human rights abuses in the Democratic Republic of Congo or surrounding countries with an effective procedures to establish and monitor responsible sourcing of minerals and capable of making the due-diligence measures available upon request from customers. 工厂是否有政策来保证钽、锡、钨和黄金的采购不是直接或间接从刚果共和国或者其邻国的武装组织手中获取，同时监控金属采购使其满足客户要求？
D8) Privacy 隐私	D8.1	YELLOW	A formal and effective process to protect privacy is established. 工厂是否建立保护隐私的程序文件？
D9) Non-retaliation 杜绝打击报复	D9.1	ORANGE	Effective procedures to ensure non retaliation are established and communicated. 工厂是否建立有效的程序，来反报复和履行保密义务？

# Philips EICC Audit Question List 2013

G) General 概述			
G1) EICC Code	G1.1	ORANGE	Management demonstrates a good understanding of and commitment to the EICC Code of Conduct/requirements has integrated the EICC code/requirements into facility procedures and communicated this effectively to all levels of employees and workers. 管理层明白供货商行为守则 / 电子工业行为准则要求和已经应用电子工业行为准则要求在工厂的作业中。

## Philips EICC Audit Question List 2013

New Audit Checklist ID	Default Color	New Requirements
E0	No Color	<p>Does the facility have credible, accredited third-party certified (valid) management systems for:</p> <p>A) Labor (e.g. SA8000)            B) Health &amp; Safety (e.g. OHSAS18001)            C) Environment (e.g. ISO14001)            D) Ethics</p> <p>工厂是否有有资质的第三方审核后颁发的相关体系证书：</p> <p>A) 劳工（如：SA8000）            B) 健康&amp;安全（如：OHSAS18001）            C) 环境（如：ISO14001）            D) 道德</p>
<b>E1) Company Commitment 公司的承诺</b>		
E1.1	No Color	<p>Adequate and effective policies/codes that are endorsed by executive management, covering: A) Labor B) Health &amp; Safety C) Environment and D) Ethics.</p> <p>工厂是否有由管理层颁布的政策，包括</p> <p>A) 劳工            B) 健康&amp;安全            C) 环境            D) 道德</p>

## Philips EICC Audit Question List 2013

<b>E2) Management Accountability &amp; Responsibility 管理职责与责任</b>		
E2.1	No Color	<p>Responsibilities and authorities are adequately and effectively defined and assigned for all employees/workers (senior managers to workers) for implementation of management systems, and for compliance with laws, regulations and codes pertaining to: A) Labor B) Health &amp; Safety C) Environment and D) Ethics.</p> <p>工厂是否为全体工人指派了相关的责任人和负责方（如高级经理）来贯彻管理体系和合规性，包括：                      A) 劳工                      B) 健康&amp;安全                      C) 环境                      D) 道德</p>
E2.2	No Color	<p>An adequate and effective management review and continuous improvement process for A) Labor, B) Health &amp; Safety, C) Environment and D) Ethics performance and management systems is established.</p> <p>工厂是否对管理体系建立和合规性进行复查包括：                      A) 劳工                      B) 健康&amp;安全                      C) 环境                      D) 道德的持续改进措施</p>

## Philips EICC Audit Question List 2013

E3) Legal and Customer Requirements 法律和客户要求		
E3.1	No Color	<p>An adequate and effective compliance process to monitor, identify, understand and ensure compliance with applicable laws and regulations and customer requirements pertaining to: A) Labor B) Health &amp; Safety C) Environment and D) Ethics is established. 工厂是否有效地监督，识别，理解和保证自身符合法律法规的要求以及客户的要求：包括：</p> <p>A) 劳工 B) 健康&amp;安全 C) 环境 D) 道德</p>
E4) Risk Assessment and Risk Management 风险评估和风险管理		
E4.1	No Color	<p>An adequate and effective risk management process to identify, assess, and minimize/mitigate/control its risks in the areas of: A) Labor B) Health &amp; Safety C) Environment and D) Ethics is in place. 工厂是否建立有效的风险管控方法来识别，管控并且降低/减轻在</p> <p>A) 劳工 B) 健康&amp;安全 C) 环境 D) 道德方面存在的风险</p>
E5) Improvement Objectives 改进目标		
E5.1	No Color	<p>An adequate and effective performance management process for A) Labor, B) Health &amp; Safety, C) Environment, and D) Ethics, including setting performance (improvement) objectives and targets, developing and implementing improvement plans, regularly reviewing progress toward achieving targets, and making appropriate adjustments if needed is in place. 工厂是否在</p> <p>A) 劳工 B) 健康&amp;安全 C) 环境 D) 道德方面有有效做法，包括：制定目标，持续改善计划，定期检查以及根据其发展做出的相应调整</p>

## Philips EICC Audit Question List 2013

<b>E6) Training 培训</b>		
E6.1	No Color	<p>An adequate and effective training process is established for all employees/workers on all policy/procedures/job related aspects and performance targets related to A) Labor, B) Health &amp; Safety, C) Environment, and D) Ethics.</p> <p>工厂是否针对                      A) 劳工                      B) 健康&amp;安全                      C) 环境                      D) 道德的程序，政策制定的目标对全体员工进行相关的培训</p>
<b>E7) Communication 沟通</b>		
E7.1	No Color	<p>An adequate and effective worker/employee, supplier and customer communication/reporting process about A) Labor, B) Health &amp; Safety, C) Environment, and D) Ethics policies, practices and performance is established.</p> <p>工厂是否向工人，雇员，客户进行                      A) 劳工                      B) 健康&amp;安全；                      C) 环境                      D) 道德的执行情况进行通报</p>
<b>E8) Worker Feedback and Participation 工人反馈和参与</b>		
E8.1	No Color	<p>An adequate and effective worker grievance/complaint process whereby workers can confidentially communicate work-related grievances or complaints without fear of reprisal or intimidation is established.</p> <p>工厂是否为员工提供了有效的申诉渠道，并且员工不必担心通过此渠道会遭到报复。</p>

## Philips EICC Audit Question List 2013

E8.2	No Color	<p>An adequate and effective worker consultation/participation process whereby management solicits and encourages worker feedback and participation for improvement via various channels is in place.</p> <p>工厂是否向员工提供了可以咨询和参与持续改善平台，并且管理层也鼓励员工参与其中。</p>
<b>E9) Audits and Assessments 审核与评估</b>		
E9.1	No Color	<p>An adequate and effective Audit process to periodically assess conformance with the EICC Code including compliance with applicable laws and regulations pertaining to: A) Labor B) Health &amp; Safety C) Environment and D) Ethics.</p> <p>工厂是否定期检查自身在法规符合性以及 EICC 条款在与</p> <p>A) 劳工 B) 健康&amp;安全 C) 环境 D) 道德方面的一致性</p>
<b>E10) Corrective Action Process 校正措施</b>		
E10.1	No Color	<p>Has established an adequate and effective corrective actions process to rectify and close non-conformances with the EICC Code including legal non-compliances identified via internal or external Audits, assessments, inspections, investigations and reviews, covering A) Labor B) Health &amp; Safety C) Environment and D) Ethics.</p> <p>工厂是否有针对 EICC 或者法规的内审，外审在</p> <p>A) 劳工 B) 健康&amp;安全 C) 环境 D) 道德中发现的不符合项制定相应的整改计划</p>



## Philips EICC Audit Question List 2013

E10.2	No Color	<p>Violation have been corrected or are on track for correction, where monetary were assessed, or where formal corrective actions were mandated by the issuing government agency for A )Labor B) Health &amp; Safety C) Environment D) Ethics.</p> <p>工厂是否对违规行为进行纠正，或者正在纠正，并且按照国家关于</p> <p>A) 劳工 B) 健康&amp;安全 C) 环境 D) 道德的强制条款进行整改</p>
<b>E11) Documentation &amp; Records 文件和记录</b>		
E11.1	No Color	<p>Adequate and effective documentation and records for A) Labor, B)Health &amp; Safety, C)Environment, and D)Ethics management systems are maintained and appropriate levels of access to ensure privacy are implemented.</p> <p>工厂是否有效保存和维护与</p> <p>A) 劳工 B) 健康&amp;安全 C) 环境 D) 道德 相关的管理体系文件来保证文件的机密性。</p>
<b>E12) Supplier Responsibility 供应商责任</b>		
E12.1	No Color	<p>The EICC Code requirements have been communicated to the next tier suppliers.</p> <p>工厂是否将 EICC 的相关条款与第二级供应商进行沟通。</p>
E12.2	No Color	<p>An effective process to ensure that the next tier suppliers implement the Code is implemented.</p> <p>工厂是否有效保证第二级供应商遵守 EICC 的相关条款。</p>