

Philips sub-category	Color	Requirement	Resolution time [months]
A: LABOR			
Freely Chosen Employment			
A1.1	Red	-The facility does not use any type of forced, prison, indentured, or bonded labor.	1
A1.2	Orange	-Workers are not required to pay a deposit upon being hired.	3
A1.3	Orange	-The facility does not withhold workers' government-issued identification (passports or work permits) upon hire.	3
A1.4	Orange	-labor contracts are signed with the workers where legally required	3
A1.5	Orange	-The facility assures that its workers are free to enter and exit the facility and housing during their non-work hours except as required by law.	3
A1.6	Orange	The facility assures that its workers are free to quit their job and leave upon reasonable notice, with no penalty.	3
A1.7	Yellow	Workers are free to choose and use external medical facilities	6
A1.8	Yellow	Workers are allowed access to basic liberties	6
Child labor avoidance /young worker management			
A2.1	Red	-Workers working at the facility are equal to or above the minimum legal age.	1
A2.2	Orange	-The facility reviews, validates and keeps on file legal proof of age documentation upon hire for all potential workers.	3
A2.3	Orange	-The facility restricts the type of work performed and number of hours for workers under the age of 18 (such as a limit to the hours they can work or whether or not they can work with hazardous chemicals).	3
A2.4	Yellow	-The facility has a procedure to respond to discovery of workers below the legal age.	6
A2.5	Yellow	-the facility considers access to basic educational needs for workers below the age for compulsory education	6
A2.6	Yellow	-the facility have a clear programme for hiring, training, and promoting apprentices	6
N/A		-the facility keeps on file proof of age documentation for all workers	
Working hours			
A3.1	Red	-Workers are provided with at least one (1) day off per every seven (7) days on average	1
A3.2	Orange	-The required average hours in a work week, including overtime, over the last 12 months at this facility does not exceed 60 hours	3
A3.3	Orange	- The facility keeps reliable records of workers' standard and overtime hours	3
A3.4	Orange	- Workers are allowed legally mandated breaks	3
A3.5	Orange	-The facility has a written procedure in place to determine, manage and control overtime	3
A3.6	Yellow	-legal working hours and facility working hours communicated to all workers	6
Wages & Benefits			
A4.1	Orange	-Legal compensation for regular hours is paid to all workers	3
A4.2	Orange	-The overtime wage is calculated and paid at the premium as legally required.	3
A4.3	Orange	-There are no delays or withholding of payments to workers	3
A4.4	Orange	Disciplinary wage deductions are not permitted	3

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A4.5	Orange	-Deductions or withholdings are calculated correctly	3
A4.6	Orange	-If the facility employs contract workers, the contract workers receive legally mandated benefits in addition to their wages	3
A4.7	Yellow	-Deductions or withholdings are submitted to the appropriate government agency within the time frame specified in the applicable local labor law	6
N/A		-are wage calculations clearly communicated to workers using pay stubs or similar documentation?	
Humane Treatment			
A5.1	Red	-There is no evidence of (sexual) abuse, corporal punishment, physical coercion occurring at the facility	1
A5.2	Orange	-There is no evidence of (sexual) harassment, mental coercion, verbal abuse or intimidation occurring at the facility	3
A5.3	Orange	-the facility provides workers with written rules and regulations regarding disciplinary procedures	3
A5.4	Orange	-the disciplinary procedures are humane	3
A5.5	Orange	-disciplinary actions are tracked and consistent with the procedures	3
A5.6	Orange	-the facility have procedures to investigate reports and, if appropriate, to discipline those that commit acts of harsh or inhumane treatment against workers	3
A5.7	Orange	-managers and supervisors are trained on appropriate disciplinary measures	3
A5.8	Orange	workers permitted time off when ill or for maternity	3
Non-discrimination			
A6.1	Red	- There is 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	1
A6.2	Orange	-Facility has written policies that ban discrimination	3
Freedom of association			
A7.1	Red	-The facility respects the legal rights of workers for free association	1
A7.2	Red	- There is no evidence of unequal treatment between employee representative(s) and other workers	1
A7.3	Orange	-there are procedures and opportunities for workers to communicate openly with management regarding working conditions	3
B: HEALTH AND SAFETY			
Occupational Safety			
B1.1	Red	the facility effectively controls worker exposures to safety hazards (e.g. electrical shock hazards, forklifts, air quality, etc.)	1
B1.2	Orange	the facility implemented programs to identify, evaluate and control worker exposure to safety hazards	3
B1.3	Yellow	worker interviews reveal that production workers have a basic understanding of the workplace safety hazards, hazard control programs and safe work procedures	6
B1.4	Yellow	workers are not being disciplined for raising safety concerns	6

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N/A		-If the use of personal protective equipment (PPE), such as safety glasses, safety shoes and hardhats, is required to control safety hazards, it is consistently used where required	
Emergency Preparedness			
B2.1	Red	the facility adequately identified the likely types of emergencies that could affect the site and implemented appropriate preparedness and response programs to address them	1
B2.2	Red	fire detection and suppression systems are adequate for the nature of the facility's operations	1
B2.3	Red	Emergency exits, aisles and stairways are adequate in number and location, readily accessible, and properly maintained	1
B2.4	Red	the facility's program of emergency evacuation drills is adequate	1
B2.5	Red	the facility have an adequate set of written emergency response plans and procedures in the event of a release of a chemical or material which could pose a hazard to the environment	1
B2.6	Yellow	the worker interviews confirm that there has been an emergency evacuation drill for all work areas and shifts in the last 12 months	6
B2.7	Yellow	the worker interviews reveal that workers know what to do in the event of a fire or other emergency situation	6
B2.8	Yellow	workers involved in the control, clean-up and disposal of hazardous materials receive regular training on emergency response plans and actions	6
N/A		-Can the responsible person(s) adequately explain the facility's emergency preparedness and response program(s), including their responsibilities?	
Occupational Injury and Illness			
B3.1	Orange	If there were work-related injuries in the past three years, the facility did perform investigations to determine root cause(s) and implement corrective actions	3
B3.2	Orange	the facility has a process in place to provide medical treatment for injured or ill workers	3
B3.3	Yellow	injury/illness and incident data are analyzed and utilized to reduce accidents	6
B3.4	Yellow	the worker interviews reveal that they know what to do in the event they are injured or become ill on the job	6
Industrial Hygiene			
B4.1	Red	the facility has implemented appropriate controls for worker exposures to chemical, biological and physical agents that exceeded legal requirements	1
B4.2	Orange	The facility has implemented a program to identify, evaluate and control worker exposure to chemical, physical and biological agents	3
B4.3	Orange	If the use of personal protective equipment (PPE), such as respirators and hearing protection, is required to control worker exposures, it is consistently used where required	3
N/A		-Can the responsible person(s) have a clear understanding of the need for industrial hygiene sampling, including the applicable legal requirement?	
Physically demanding work			

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B5.1	Orange	the facility effectively controls worker exposures to the hazards of physically demanding work (e.g. use of mechanical lifting aids, power hand tools, process automation, etc.)	3
B5.2	Yellow	the facility implements an adequate program to identify, evaluate and control worker exposure to physically demanding work, such as manual handling, heavy lifting, highly repetitive tasks, and other physically demanding jobs to prevent work-related injuries	6
B5.3	Yellow	the worker interviews reveal adequate efforts by the facility to control ergonomic hazards, including training for workers	6
Machine safeguarding			
B6.1	Red	Points of operation and other potentially dangerous parts are properly guarded. isolated and maintained	1
B6.2	Red	workers operate machinery safely, including proper use of machine safeguards and emergency stop switches	1
B6.3	Orange	the facility has a machine safeguarding program	3
B6.4	Orange	the responsible person can explain the applicable legal requirements and regulations for machine safety	3
B6.5	Orange	Maintenance records verify that safety devices are included in a routine preventative maintenance program	3
Dormitory and canteen			
B7.1	Red	Dormitories well maintained, with respect to exit facilities	1
B7.2	Orange	Dormitories are clean and well maintained, including adequate heat, ventilation, and lighting facilities	3
B7.3	Orange	canteens (cafeterias) clean, well maintained, and managed in compliance with local health regulations	3
B7.4	Yellow	the facility ensures that food service workers have received necessary health checks/certificates and training to help prevent transmission of communicable disease	6
B7.5	Yellow	workers provided with clean toilet facilities and access to potable water	6
N/A		-Do worker interviews reveal that dormitories provide worker with sufficient space?	
C: ENVIRONMENTAL			
Environmental permits and reporting			
C1.1	Red	- the site operations are in compliance with environmental permit/license conditions	1
C1.2	Orange	- All environmental permits/licenses are current	3
C2.1	Yellow	-the facility made progress in reducing or eliminating pollution, waste and conserving resources	6
Hazardous substances			
C3.1	Red	hazardous waste is categorized, handled, stored, transported and dispositioned using licensed vendor per local legislation	1
C3.2	Orange	-the responsible person is able to explain the legal requirements for waste classification, handling, labeling, storage, transportation, disposition and how they are implemented at the site.	3
C3.3	Orange	-chemical and waste storage areas designed and maintained to prevent leaks and inadvertent mixing of incompatible materials	3
C3.4	Orange	-hazardous chemicals or substances are labeled properly	3

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C3.5	Orange	-the facility audited/evaluated their vendor(s) to verify that waste is handled, stored and disposed of in accordance with local regulations, permit conditions and contract requirements	3
C3.6	Yellow	-interviews of workers who work with chemicals or hazardous wastes show that they have been trained on the hazards of the materials and the precautions needed to protect their health and safety	6
C3.7	Yellow	- interviews of workers who work with chemicals or hazardous wastes show that they are provided with chemical safety information in the form of labels, signs, chemical/material safety data sheets	6
Waste water and solid waste			
C4.1	Red	- the discharged wastewater / stormwater meet the discharge limits for regulated constituents	1
C4.2	Orange	-the responsible person is able to describe the legal requirements for the disposal and/or recycling of solid waste and how's it's implemented at the site	3
C4.3	Orange	-the responsible person is able to describe the applicable legal requirements for wastewater / stormwater monitoring and treatment	3
N/A		-indicate the types of solid waste generated	
N/A		-indicate how solid water is managed	
Air emissions			
C5.1	Red	- the air emissions meet the discharge limits for regulated constituents	1
C5.2	Orange	-the responsible person is able to describe the applicable legal requirements for air emissions monitoring and treatment	3
Product content restrictions			
C6.1	Red	the operations conform to product content legislation, regulation and customer requirements (e.g. restricted substances)	1

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D: MANAGEMENT SYSTEMS			
Company Commitment			
D1.1	Red	-If the facility has been subject to any labor regulatory actions where monetary penalties were assessed, or where formal corrective actions were mandated by the issuing government agency, the violations have been corrected or are on track for correction	1
D1.2	Red	-If the facility has been subject to any environmental regulatory actions where monetary penalties assessed, or where formal corrective actions mandated by the issuing government agency, have the violations been corrected or are they on track for correction	1
D1.3	Red	-If the facility has been subject to any health and safety regulatory actions where monetary penalties assessed, or where formal corrective actions mandated by the issuing government agency, have the violations been corrected or are they on track for correction	1
D1.4	Orange	-the labor policy statement is appropriate for the nature of the facility's operations	3
D1.5	Orange	-the ethics policy statement is appropriate for the nature of the facility's operations	3
D1.6	Orange	-the environmental, health & safety policy statement appropriate for the nature of the facility's operations	3
Management Accountability and responsibility			
D2.1	Orange	-the facility periodically assesses the status of the labor and ethics management system in order to identify improvement opportunities	3
D2.2	Orange	-the facility periodically assesses the status of the environmental, health & safety management system in order to identify improvement opportunities	3
D2.3	Yellow	-the facility management representative has documented responsibility and authority for assuring and facilitating compliance with labor and ethics laws, regulations and codes	6
D2.4	Yellow	-the facility management representative has documented responsibility and authority for assuring and facilitating compliance with environmental, health & safety laws, regulations and codes	6
D2.5	Yellow	-the facility has appropriately defined and documented labor and ethics responsibilities and authorities for managers, supervisors and workers	6
D2.6	Yellow	-the facility has appropriately defined and documented environmental, health & safety responsibilities and authorities for managers, supervisors and workers	6
Legal and Customer Requirements			
D3.1	Orange	-the responsible person has a good understanding of the labor and ethics laws, regulations and customer requirements that apply to the facility's operations	3
D3.2	Orange	-the responsible person has a good understanding of the environmental, health & safety laws, regulations and customer requirements that apply to the facility's operations	3
D3.3	Yellow	-the facility has implemented a system to identify, monitor and understand applicable labor and ethics laws, regulations and customer requirements	6

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D3.4	Yellow	-the facility has implemented a system to identify, monitor and understand applicable environmental, health & safety laws, regulations and customer requirements	6
Risk Assessment and Risk Management			
D4.1	Orange	-Has the facility adequately identified its labor practices and business ethics risks and implemented appropriate procedural controls	3
D4.2	Orange	-Has the facility adequately identified its environmental, health & safety risks and implemented appropriate procedural controls	3
D4.3	Yellow	-the facility implemented a process for labor and ethics risk assessment and risk management that is adequate for the scope and nature of the operations	6
D4.4	Yellow	-the facility implemented a process for environmental, health & safety risk assessment and risk management that is adequate for the scope and nature of the operations	6
Performance Objectives			
D5.1	Orange	-the facility regularly review its progress toward achieving its labor and ethics objectives and make appropriate adjustments if they are off track	3
D5.2	Orange	-the facility regularly review its progress toward achieving its environmental, health & safety objectives and make appropriate adjustments if they are off track	3
D5.3	Yellow	-the facility implemented an appropriate process for establishing labor and ethics performance objectives, targets and implementation plans	6
D5.4	Yellow	-the facility implemented an appropriate process for establishing environmental, health & safety performance objectives, targets and implementation plans	6
D5.5	Yellow	-the worker interviews reveal that workers are aware of the labor and ethics performance objectives relevant to them	6
D5.6	Yellow	-the worker interviews reveal that workers are aware of the environmental, health & safety performance objectives relevant to them	6
Training			
D6.1	Orange	-the facility provide appropriate training for managers on how to implement its labor and ethics policies, procedures and improvement objectives	3
D6.2	Orange	-the facility provide appropriate training for managers on how to implement its environmental, health & safety policies, procedures and improvement objectives	3
D6.3	Orange	-the facility provide appropriate training for workers on how to implement its labor and ethics policies, procedures and improvement objectives	3
D6.4	Orange	-the facility provide appropriate training for workers on how to implement its environmental, health & safety policies, procedures and improvement objectives	3
D6.5	Yellow	-worker interviews reveal that labor and ethics training is actually being delivered as stated	6
D6.6	Yellow	-worker interviews reveal that environmental, health & safety training is actually being delivered as stated	6
N/A		-what type of training does the facility provide to its workers?	

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N/A		-are skill tests (demonstration of competency) required for workers with critical environment-related and occupational health & safety-related jobs, such as wastewater treatment plant operators or hazardous waste handlers?	
Communication			
D7.1	Orange	-the facility adequately communicates information about its labor and ethics performance, practices and expectations to workers	3
D7.2	Orange	-the facility adequately communicates information about its environmental, health & safety performance, practices and expectations to workers	3
D7.3	Orange	-the facility adequately communicates information about its labor and ethics performance, practices and expectations to suppliers and customers	3
D7.4	Orange	-the facility adequately communicates information about its environmental, health & safety performance, practices and expectations to suppliers and customers	3
D7.5	Yellow	-Did worker interviews reveal that labor and ethics communication is effective	6
D7.6	Yellow	-Did worker interviews reveal that environmental, health & safety communication is effective	6
Worker feedback and participation			
D8.1	Orange	-the facility assesses worker understanding of labor and ethics practices and conditions and obtains their feedback	3
D8.2	Orange	-the facility assesses worker understanding of environmental, health & safety practices and conditions and obtains their feedback	3
D8.3	Yellow	-worker interviews reveal that management does solicit feedback on labor and ethics practices and conditions as described	6
D8.4	Yellow	-worker interviews reveal that management does solicit feedback on environmental, health & safety practices and conditions as described	6
D8.5	Yellow	-If the facility encourages worker participation in labor/employment activities such as worker committees, the facility can verify worker participation	6
D8.6	Yellow	-If the facility encourages worker participation in Environmental and Health & Safety activities such as work area inspections, incident investigations or EHS committees, the facility can verify worker participation	6
Audits and assessments			
D9.1	Orange	-the labor and ethics audits are adequate evaluations of regulatory compliance and conformance with customer and other requirements	3
D9.2	Orange	- the environmental and health & safety audits are adequate evaluations of regulatory compliance and conformance with customer and other (e.g. ISO 14001, OHSAS 18001) requirements	3
D9.3	Yellow	-the facility performed a labor and ethics audit within the past two years	6
D9.4	Yellow	-the facility performed an environmental and health & safety audit within the past two years	6
Corrective action process			
D10.1	Orange	-the facility's corrective action process for labor and ethics issues is adequate	3
D10.2	Orange	-the facility's corrective action process for environmental and health & safety issues is adequate	3
D10.3	Yellow	-the issues identified in the facility's recent labor and ethics audits or self-evaluations been corrected or on track for completion	6

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D10.4	Yellow	-the issues identified in the facility's recent environmental and health & safety audits or self-evaluations been corrected or on track for completion	6
D10.5	Yellow	-the facility takes preventative action to stop a recurrence of the same or similar labor and ethics problems	6
D10.6	Yellow	-the facility takes preventative action to stop a recurrence of the same or similar environmental and health & safety problems	6
Documentation and records			
D11.1	Orange	-the facility maintains adequate labor and ethics management system documents and records needed to ensure regulatory compliance and conformity to company and customer requirements	3
D11.2	Orange	-the facility maintains adequate environmental and health & safety management system documents and records needed to ensure regulatory compliance and conformity to company and customer requirements	3
D11.3	Yellow	-confidentiality and privacy are adequately protected and maintained for individual worker files	6
E: ETHICS			
No improper advantage			
E2.1	Orange	The facility has written regulations prohibiting all workers and management from soliciting or accepting kickbacks, bribes, commissions or other unlawful payments for the purpose of receiving favorable treatment, contracts or sales from others.	3
E2.2	Orange	-The facility has a written "gift giving" policy that ensures gifts to or from suppliers and customers is not excessive in cost or frequency.	3
E2.3	Orange	-The facility has procedures for addressing its workers or agents suspected of making or accepting improper offers of payments or gifts.	3
Disclosure of information			
E3.1	Red	-The facility is reporting its business activities in accordance with local laws and regulations	1
Intellectual property			
E4.1	Red	-the facility have procedures to ensure the protection of intellectual property (their own and that of their customers)	1
Fair business, advertising and competition			
E5.1	Red	-the facility have written policy prohibiting collusion	1
E5.2	Orange	-The facility has a program to ensure advertising statements are not false or misleading and they meet fair business and advertising legal requirements	3
Protection of identity			
E6.1	Orange	-the facility provide workers with a way to confidentially report suspected ethical misconduct	3
Community engagement			
E7.1		-The facility has a charitable programme and provides donations to support local or regional charities.	
E7.2		-The facility identifies opportunities and encourages workers' involvement in volunteer activities in the communities in which they work and live.	