



Dear Partners,

Signify's Vision: Brighter lives, Better world.

Sustainability is one of Signify's core strategies and has been deeply embedded into our strategy, business model, management philosophy, and product development.

To achieve the goal of sustainability, Signify teams up with its suppliers to improve their sustainability performance.

Therefore, in accordance with our "Supplier Sustainability Declaration", we would appreciate your co-operation in undertaking the following self-assessment (RBA Self-Assessment).

Meeting the set minimum Sustainability requirements is very important in the selection of new suppliers. Every supplier must comply with the minimum requirements of RBA Code of Conduct.

If you have any questions regarding the completion of this questionnaire, please do not hesitate to contact your responsible expert and purchase manager

For more information, you can go to the following webpage:

<https://www.signify.com/global/sustainability>

Yours faithfully


Signify

FACTORY INFORMATION 工厂基本信息

| | | | |
|--|-----------|---|--|
| Name of Supplier (公司名称) | | | |
| Signify Buyer 昕诺飞采购负责人 | | Signify Sustainability Expert 昕诺飞可持续发展专家 | |
| Factory Name (English) 工厂名称(英文) | | | |
| Chinese Name 工厂名称(中文) | | | |
| Address (地址) | | | |
| if more than one location, please specify 若多于一处厂址请列明 | | | |
| Contact Person 联络人 | | Contact Person's Position 联络人职位 | |
| Telephone Number 电话 | | E-mail 电邮 | |
| Products for Signify 为Signify生产产品 | | Mobile Phone 手机号码 | |
| Main Products 主要产品 | | Normal day work shift with start & end time 生产班次及上下班时间 | |
| Production capacity 产能 | | | |
| Manufactory floors 生产区域 | | | |
| Dormitory area 宿舍信息 | | | |
| Manufacturing process 生产流程 | | | |
| Certification Award 所取得的证书 | | | |
| Total number of employees under factory's business license 营业执照下的所有员工人数, 含派遣工, 临时工 | 男工 Male | | |
| | 女工 Female | | |
| Factory Area 工厂面积及建筑物 | | | |
| Had undergone a sustainability audit during recent 2 years 若曾经接受过其它机构的审核请列明 | | | |
| Had Ever Audited suppliers for sustainability? 是否有对供应商做过可持续发展审核? | | | |

Supplier Self-assessment Questionnaire (供应商可持续发展自评表)

| | | | |
|---|--|--|--|
| Supplier self-assessment team member: 供应商评估团队人员: | | Supplier Self-Assessment Date: 供应商自评日期: | |
| Signify validation expert: 昕诺飞验证人员: | | Signify validation time: 昕诺飞验证日期: | |
| Overall Audit Score / 分数 | Green(acceptable): >=90 绿色 (可接受) | | |
| 0 | Orange (need improvement): >=80 and <90 橙色 (需改进) | | |
| | Red (not acceptable): <80 红色 (不接受) | | |

| Self-assessment Checklist ID 自评检查条款 | Self-assessment Questionnaire 自评问题描述 | Answer 答案类型 (Yes/No 是非 Single Choice 单选 Tick Box 打勾) | Evidence required (policy, procedure, statistic table, testing report, certificate, government approval, photos) 所需证据如政策、程序、统计表、测试报告、证书、政府批文、照片等 | Supplier self-assessment score 供应商自评分数 |
|--|---|--|--|---|
| A) Labor 劳工 | | | | 0 |
| A1.1 Forced Labor 强迫劳动 | A1.1.1 | Are there policy or procedure preventing use of forced, prison, indentured, bonded, trafficked or slave labor? 工厂是否建立了有效的政策和程序防止任何形式的强迫劳工、监狱工、契约工或债务工、奴役工和人口贩卖工? | | 0 |
| | A1.1.2 | Are employees prohibited to leave from the factory site when off duty or during their weekly day off? 工人是否可以自由离开工厂在正常下班时间以及周末休息时间? | | 0 |
| | A1.1.3 | Are employees free to resign from their employment at any time with reasonable notice, no penalty? 工人如有合理的理由是否可以自由离职, 并且无任何处罚? | | 0 |
| A1.3 Labor Contract 劳工合同 | A1.3.1 | What percentage of your employees have signed labor contract within one month after joining your company? 工厂与新入职的工人一个月内签订劳动合同的比例是多少? | Remark: labor contract signed in between organisation (factory) and workers. | 0 |
| A1.4 Freely Chosen Employment 自由择业 | A1.4.1 | Are employees required to lodge deposit upon employment? 工人受聘时是否需要缴纳押金? | | 0 |
| | A1.4.2 | Upon hiring, are original employees' IDs or other government issued identifications originals kept as part of the employee HR files? 工人受聘时, 工厂人事部是否有保留工人的身份证原件或者其他政府签发的身份证明原件作为员工人事档案的部分材料? | | 0 |
| A2.1 Child Labor 童工 | A2.1.1 | Are there policies or procedures prohibiting or preventing use of child labor? 工厂是否建立了政策和程序防止和避免使用童工? | | 0 |
| | A2.1.2 | Does the facility keep photo-copies of government issued ID documents from all employees to verify their age? 工厂是否保留所有工人的身份证明材料的复印件识别和确认工人的年龄信息? | [Provide document]: The most updated employee name list with name, birth date, on-board date, working position etc. [提供文件]: 最新的员工花名册包含员工姓名, 出生日期, 入职日期和工作岗位。 | 0 |
| | A2.1.3 | What is the age of the youngest employee at your facility? 工厂里最小年龄的工人是几岁? | | 0 |
| A2.4 Young workers 未成年工人 | A2.4.1 | Are there any workers under age of 18 working in the facility? 工厂里有没有年龄低于18岁的工人? | Yes [Provide document]: If Yes, provide list of workers younger than 18 [提供文件]: 如果是, 请提供小于18周岁的未成年工名单 | 0 |
| | A2.4.2 | Have you identified all work positions that are unsuitable for young workers at your facility? 工厂是否有识别不适合未成年工的所有工作岗位? | If yes, list all relevant working positions 如果是, 请提供这些岗位的名称 | 0 |
| | A2.4.3 | Is there any limit on young worker's daily working hours (e.g. overtime, work shifts, etc.)? 工厂是否有限制未成年人的工作时间 (比如: 加班时间, 轮班等)? | | 0 |
| | A2.4.4 | When does the facility provide free health check for young workers? 工厂何时为未成年工提供免费的健康体检? | | 0 |
| A3.1 Working Hours 工时 | A3.1.1 | What's the maximum weekly working hours for any employee over past 3 months at your facility? 工厂在最近的三个月中, 所有工人一周内最长的工作时间是多少? | [Complete the form]: Filled-in working hour data collecting form enclosed here. [填写表格]: 请填写此处所附的工时信息收集表  | 0 |
| | A3.1.2 | What is the percentage of employees with weekly working hours less than 60h? 周工时不超过60小时的工人比例是多少? | | 0 |
| A3.2 Working Days 工作日 | A3.2.1 | What is the maximum continuous working days over past 3 months at your facility? 工厂在最近的三月中, 工人连续工作的最长天数是多少? | | 0 |
| | A3.2.2 | What's the % of employees without one day off per week over past 3 months? 工厂在最近的三个月中, 无法安排每七天休息一天的工人比例是多少? | | 0 |
| A4.1 Wages 工资 | A4.1.1 | Do you know your minimum wage per hour according to local regulations? 工厂是否清楚当地最低的工资标准? | Please specify hourly minimum wage. It Depends on region & category of worker. 请注明每小时的最低工资标准 | 0 |
| | A4.1.2 | For extended working hours during working days, do you know the minimum overtime payment per hour? 针对正常工作日的加班时间, 工厂是否清楚每小时加班工资支付标准? | Please specify hourly minimum OT wage - 2 times hourly basic rate. 请注明平时每小时的最低加班工资标准 | 0 |
| | A4.1.3 | For weekend working hours, what percentage of basic salary is paid? 针对周末加班时间, 工厂应该支付基本工资多少? | | 0 |
| | A4.1.4 | When will employees get last months' pay? 工人何时能获得上个月的工资? | [Provide document]: Please provide wages records for 10 sampling workers, and Payment slip or bank transfer note [提供文件]: 提供10名不同部门的一线员工的前两个月的工资和银行转账单据 | 0 |
| | A4.1.5 | Is part of payment to workers withheld by the facility to be paid at end of the employment or end of year? 工厂是否有扣留工人的部分工资或者在年底发放工资? | | 0 |

| | | | | | | |
|--|--|---|---------------------------------|---|--|---|
| A4.3 Benefits 福利 | A4.3.1 | Are all employees provided on-job injury insurance at the facility? 工厂是否为所有在职员工提供工伤保险? | | | 0 | |
| | A4.3.2 | What percentage of employees are provided with social insurance scheme? 工厂提供社会保险的工人比例是多少? | | | 0 | |
| A5.1 Humane Treatment 人道待遇 | A5.1.1 | What disciplinary action is applied at your facility? 工厂实施的记录处分包括: | | | 0 | |
| | A5.1.2 | Is there any channel for workers to complain about unfair disciplinary action? 工厂是否为工人提供不公平纪律处分的申诉渠道? | | | 0 | |
| A6.1 Non-Discrimination 反歧视 | A6.1.1 | Is there any requirement on age, gender, marital status, etc. on candidates when they apply for open positions at your facility? 工厂在招聘过程中, 对候选人是否有年龄, 性别, 婚姻状态等方面的要求? | | | 0 | |
| | A6.1.2 | Are there tests of hepatitis B and pregnancy included in pre-employment health check for new employees? 工厂在新入职员工的健康体检中, 是否有安排乙肝检测和孕检? | | If yes, please specify. - No evidences 如果是, 请注明。 | 0 | |
| A7.1 Freedom of Association 自由结社 | A7.1.1 | Is there any documented policy on respecting of employees' legal rights of free association? 工厂是否有书面的政策保护和尊重工人自由结社的法律权利? | | | 0 | |
| B) Health and Safety 健康安全 | | | | | 0 | |
| B1.1 Occupational Safety licenses and permits 职业安全证书及许可 | B1.1.1 | How many buildings are there in the facility? (workshop buildings, Warehouse, dormitory, etc.) 工厂是否包含以下几类建筑物? 如有, 请勾选。 | Please input how many? 请填写几幢 | | 0 | |
| | | <input type="checkbox"/> Workshops 生产车间 | | | | |
| | | <input type="checkbox"/> Warehouses 仓库 | | | | |
| | | <input type="checkbox"/> Office buildings 办公楼 | | | | |
| | | <input type="checkbox"/> Dormitories 宿舍楼 | | | | |
| | <input checked="" type="checkbox"/> Others, please specify 其他请说明 | | | | | |
| B1.1.2 | Has the facility obtained valid construction safety certificates or property certificates for all buildings? 工厂是否具备所有建筑物在有效期内的建筑结构安全合格证或者房产证? | | | [Provide document]: Please attach photocopies of your certificates for all buildings [提供文件]: 请提供所有建筑物的竣工验收合格证明或者房产证复印件 | 0 | |
| B1.2 Occupational Safety Hazards Control 职业安全危险源控制 | B1.2.1 | Has the facility properly controlled potential risks in electrical shock, gas safety and other potential occupational risks such as holes in the floor, guardrails for high platforms, etc. 工厂是否适当地控制电能, 气体安全和其它潜在的职业风险, 比如地面无坑洞, 平台有护栏等? | | | 0 | |
| | B1.2.2 | Has the facility provided personal protective equipment (safety glasses, helmets, facial masks, gloves) to workers exposed to potential hazards? 工厂是否提供个人防护用品(安全眼镜, 头盔, 面罩, 手套等)为暴露在潜在风险中的工人? | | | 0 | |
| B2.1 Fire Safety Licenses and Permits 消防安全证书和许可 | B2.1.1 | Has the facility valid fire safety certificates (approvals) for all buildings (e.g. workshops, warehouse, office buildings, etc.)? 工厂是否可以提供所有建筑物(车间, 仓库, 办公楼等)有效的消防验收报告? | | | [Provide document]: If yes, please provide documents of fire final approvals and certificates [提供文件]: 如果是, 请提供所有的消防验收报告或者备案证明 | 0 |
| B2.2 Fire Fighting Facilities and Equipment 消防设备和器材 | B2.2.1 | Is the facility equipped with proper type (type A,B,C,D, E, F) and sufficient fire fighting extinguishers, fire hydrants, fire detection and alarm system according to fire laws and regulations? 工厂是否按照消防法规的要求为不同类型的建筑物安装和配备合适充足的灭火器, 消防栓, 火灾探测和灭火系统? | | | 0 | |
| | B2.2.2 | Has the facility ensure all fire equipment in valid status (such as free of block, and in proper height, hydrant with fire hose and nozzles, etc.) 工厂是否定期检测所有的消防器材是否有效(比如消防设施无堵塞, 合适的高度, 消防栓水带喷嘴齐全)? | | | 0 | |
| B2.4 Fire Exits and Emergency Lights 安全出口和应急灯 | B2.4.1 | Has the facility at least 2 emergency exits on each work area and ensured unblocked passageways 工厂是否保证每个工作区域至少2个安全出口并且疏散通道无阻塞? | | | 0 | |
| | B2.4.2 | Has the facility installed self-luminous fire exit signs and emergency light on all relevant fire exits, above the exit door and in evacuation staircases? 工厂是否为所有相关的紧急出口, 逃生楼梯安装了充足的自发光标识和应急灯? | | | [Provide document]: If yes, please attach photocopies of your fire exits signs and emergency lights. - Yes they are self luminated [提供文件]: 如果是, 请提供现场的安全出口, 疏散指示标识和应急灯照片 | 0 |
| B2.6 Fire Drill 消防演习 | B2.6.1 | What percentage of employees were included in fire drills in recent one year? 工厂在最近的一年中, 消防演习包含的员工的比例是多少? | | | [Provide document]: Please provide the evacuation plan and the fire drills records including all workshops and dormitories. - This also doen in regular intervals [提供文件]: 请提供覆盖所有车间和宿舍的消防疏散图以及消防演习记录。 | 0 |
| B3.3 First Aid 急救 | B3.3.1 | What percentage is the first aiders coverage at the facility? 工厂获得急救员证书的急救员的覆盖比例是多少? | | | 0 | |
| B4.1 Occupational Hazards Test and Evaluation 职业风险监测和评估 | B4.1.1 | Has the facility identified potential risks on occupational hazards during operation? 工厂是否有识别工作过程中存在的潜在的职业风险因素? | | | If yes, please describe your occupational hazards such as dust, noise, chemical aerosols, high temperature, mercury, etc., 如果是, 请指出工厂存在的职业风险因素比如粉尘, 噪音, 化学烟雾, 高温, 汞等 | 0 |
| | B4.1.2 | How often have test and evaluation been done on all relevant occupational hazards and internal air quality? 工厂检测和评估所有相关职业风险因素和内部空气质量的频率是多少? | | | [Provide document]: Please provide the photocopy of testing report [提供文件]: 请提供检测报告复印件 | 0 |
| B4.2 Occupational Health Check and Risk Control | B4.2.1 | What kind of occupational health checks are provided to workers on hazardous positions? 工厂为那些在危险岗位的工人提供了什么种类的职业健康体检? | | | [Provide document]: Please provide health check summary report and name list for occupational health check [提供文件]: 请提供职业体检总结报告以及参加体检的员工名单 | 0 |

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|---|--------|---|-----|---|---|
| 职业健康体检和风险控制 | B4.2.2 | What actions has been taken to the abnormal results? 如果体检结果异常的话, 工厂会采取什么措施? | | | 0 |
| B6.1 Special Work Permits 特殊作业许可 | B6.1.1 | Have relevant special equipment (such as Forklift, Crane, Elevator, Pressure Vessels, Boilers, Etc.) been registered and tested by regulatory authorities? 工厂的特种设备(如叉车、行车、货梯、压力容器和锅炉等)是否到政府监管部门登记和测试? | | | 0 |
| | B6.1.2 | Do all employees operating special equipment hold the valid certificates such as electrician, welding, forklift, boiler, etc.? 工厂所有特种作业人员(比如电工, 电焊工, 叉车工, 压力容器操作工等)是否持证上岗? | | | 0 |
| B6.2 Machine Safeguards 设备安全防护 | B6.2.1 | Has the moving parts such as links, belts, gears, wheels and couplings, etc. been properly covered and protected? 工厂所有的传动部分如链条, 皮带, 齿轮, 联轴节是否有防护罩并被恰当的保护? | | | 0 |
| | B6.2.2 | Are relevant safety instructions and/or warning signs readily accessible near working stations with machine safety risks? 工厂是否有相关的安全说明或者警示标识可以在机械安全隐患的工作岗位获得的? | | | 0 |
| B7.1 Canteen Sanitary 食堂卫生 | B7.1.1 | Does the facility provide canteen to employees? 工厂是否提供餐厅? | Yes | | 0 |
| | B7.1.2 | Are valid hygiene permit of canteen and healthy check certificate for operators in place in facility? 工厂是否具备餐饮卫生许可证以及食堂的工作人员是否具备健康证? | | | 0 |
| | B7.1.3 | How long does the facility maintain food samples after each meal? 工厂食堂每餐的食物留样保存多久? | | Remark: Please fill "N/A" here if India doesn't has this requirement | 0 |
| B7.2 Dormitory 宿舍 | B7.2.1 | Does the facility provide dormitory to employees? 工厂是否提供员工宿舍? | | | 0 |
| | B7.2.2 | Are there dormitories located in the same buildings as warehouse or workshops? 工厂的宿舍是否与仓库或者车间在同一栋建筑物内? | | | 0 |
| | B7.2.3 | Are the dormitory provided by the facility clean, safe, and well maintained according to local housing standard? 工厂提供的宿舍是否干净, 安全并且按照当地的住房标准很好的被维护? | | | 0 |
| B8.1 Health and Safety Communication 健康与安全沟通 | B8.1.1 | Is Health and Safety information (including training) clearly communicated to workers?工厂是否与员工沟通了健康安全的相关信息以及提供了培训? | | [Provide document]: Please provide H&S training plan and training program with materials and training records. [提供文件]: 请提供健康安全培训计划和培训记录以及相关的培训教材. | 0 |
| C) Environment 环境保护 | | | | | 0 |
| C1.1 Environmental Permits 环境许可 | C1.1.1 | Has the facility applied Environmental Impact Assessment for all production process and changes (such as new project construction, building re-construction, Production expansion or re-layout, etc.)? 工厂目前的环境影响评价报告是否覆盖所有新建、改建和扩建的项目? | | [Provide document]: EIA reports or approvals by local authority for all phases [提供文件]: 覆盖所有项目的环评批复复印件 | 0 |
| | C1.1.2 | Does the facility follow 3 simultaneous process and get environmental final approval from local EPB (Environmental Protection Bureau) for all production process and changes? 工厂所有涉及到列出的新建、扩建与改动项目是否都经过环保“三同时”验收? | | [Provide document]: Final approval letter from local EPB [提供文件]: 当地环保部门的环保三同时验收报告 | 0 |
| | C1.1.3 | Does the facility have the permit for pollution discharge from environmental authorities when required? 工厂是否获得环保部门的排污许可证? | | | 0 |
| C1.2 Environmental Reporting 环境报告 | C1.2.1 | Has the facility ever been disclosed by government, media and environment NGOs due to violation of environmental laws and regulations?工厂是否由于环境违规事件被政府, 媒体和环保NGO曝光? | | | 0 |
| | C1.2.2 | Has the facility taken corrective actions? 工厂是否执行了改进行动? | | [Provide document]: Please provide the name list of your key suppliers with the screen records from NGO website [提供文件]: 请提供关键供应商名单并附上这些供应商在NGO网站上查询到的环境表现 | 0 |
| | C1.2.3 | Has the facility cleaned violating records from blacklist on website of NGOs, Environmental Bureaus, etc.? 工厂是否已经清除了NGO (如: 中国的NGO IPE)网站上曝光的环境违规记录? | | [Provide document]: Please provide the corrective evidences you provided to IPE and the remove records from IPE website [提供文件]: 请提供针对违规记录的整改证据和环境违规记录已撤除截屏 | 0 |
| C3.1 Chemicals Management 化学品管理 | C3.1.1 | How does the facility store chemicals? 工厂是否安全恰当的存储化学品? | | [Provide photo]: Photos of chemical storage [提供照片]: 化学品现场存储照片 | 0 |
| | C3.1.2 | Does the facility have complete chemical list and relevant MSDS which are updated annually? 工厂是否有完整的化学品使用清单和相关的化学品的最新版本的化学品安全技术说明书? | | [Provide document]: Copies of chemical list with MSDS No. [提供文件]: 包含MSDS编号的化学品清单 | 0 |
| C3.2 Hazardous wastes management 危废管理 | C3.2.1 | Has hazardous wastes (e.g. paint buckets, engine oil, rechargeable batteries) been properly categorized, stored and labeled? 工厂是否恰当的对现场危险废弃物(比如废油桶, 废机油, 废充电电池等)进行分类, 储存和明确的标识? | | | 0 |
| | C3.2.2 | Has hazardous waste been transported and disposed by government-approved or licensed vendors as per local laws?工厂是否按照当地的法规将危险废弃物交给有资质的单位运输和处理? | | [Provide document]: Contracts, License and HW (hazardous waste) Transfer sheets [提供文件]: 危废处理合同, 危废处理资质和转移联单复印件 | 0 |
| | C4.2.1 | What is the origin of the waste water at your facility? 工厂产生的废水是否包含以下几类? 如有, 请勾选。 | | | |
| | | <input type="checkbox"/> Industrial waste water 工业污水 | | | |
| | | <input type="checkbox"/> Domestic waste water 生活污水 | | | |

| | | | | | |
|---|---|--|--|--|---|
| C4.2 Waste Water Management 废水管理 | | <input type="checkbox"/> A and B | | | |
| | C4.2.2 | Are wastewater treatment plants or facilities periodically maintained, monitored according to regulated procedure? 工厂的废水处理站或废水处理设施是否定期按照规定的程序维护和监控? | | | 0 |
| | C4.2.3 | How often does the facility have waste water tested? 工厂监测废水的频率是多久? | | | 0 |
| C5.1 Air Emissions Management 废气管理 | C5.1.1 | Are air emissions (Powder coating, Die casting, Organic chemical, Boiler, Acid Pre-treatment, Electro-plating, Metal processing, wood process, etc.) ventilation and treatment equipment well maintained and functional during work? 工厂的通风设备和废气处理设施(如粉末喷涂或喷漆、压铸、有机溶剂、锅炉、酸洗前处理、电镀、金属或木材加工等)是否维护良好并且很好的运作? | | | 0 |
| | C5.1.2 | How often does the facility have air emissions tested? 工厂监测废气的频率是多久? | | | 0 |
| D) Ethics 商业道德 | | | | | 0 |
| D1.1 Business Integrity 廉洁经营 | D1.1.1 | Has the facility implemented a written ETHICS code of conduct or business integrity policy which is endorsed by senior management that includes all the EICC Code elements?工厂已执行的由高级管理层颁布的道德规范标准或商业行为守则是否包含以下内容?如有, 请勾选。 | | [Provide document]: Code of Business Ethics or Standards of business conduct [提供文件]: 道德规范标准和商业行为准则复印件 | 0 |
| | | <input checked="" type="checkbox"/> Business Integrity 廉洁经营 | | | |
| | | <input checked="" type="checkbox"/> No Improper Advantage 无不正当收益 | | | |
| | | <input type="checkbox"/> Disclosure of Information 信息公开 | | | |
| | | <input type="checkbox"/> Intellectual Property 知识产权 | | | |
| | | <input checked="" type="checkbox"/> Fair Business Practices and Competition 公平交易 | | | |
| | | <input checked="" type="checkbox"/> Protection of Personal Information and Company Data 身份保密 | | | |
| | <input checked="" type="checkbox"/> Responsible Sourcing of Minerals 冲突金属矿物 | | | | |
| | <input checked="" type="checkbox"/> Others, please specify 其他请说明 | | | | |
| D1.3 Ethics performance monitor 商业道德执行 | D1.3.1 | Does the facility have procedures to monitor ethics performance per different risk level identified? 工厂是否有程序文件监控商业道德的执行? | | | 0 |
| D1.5 Risk assessment 风险评估 | D1.5.1 | Has the facility established an effective risk assessment process to determine vulnerabilities and prioritize corruption risks taking into account business circumstances(country of operations ,stakeholders ...)?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? | | [Provide document]: Risk assessment matrix and control procedure [提供文件]: 风险评估模型和控制程序 | 0 |