

DUCK-IL KOREA INCORPORATED
CODE OF CONDUCT and DISCIPLINE HANDBOOK

D E C L A R A T I O N

This Code of Conduct and Discipline is developed for **DUCK-IL KOREA INCORPORATED**, Philippines, and shall remain an exclusive property of the company. No provision in this handbook and expected Codes of Conduct can be waived without written permission from the Company's Managing Director, or designee. Such a waiver, if granted, applies only to the employee for whom the waiver was granted at the time of the waiver.

Please read this Code of Conduct and Discipline Handbook carefully to understand the conditions relating to the standards of behavior at work before you sign this document.

CODE OF CONDUCT and DISCIPLINE HANDBOOK ACKNOWLEDGEMENT RECEIPT

I acknowledge that I have received a copy of the DUCK-IL KOREA INCORPORATED's Code of Conduct & Discipline Handbook dated_____.

I understand that this handbook replaces any and all prior verbal and written communications regarding the company's policies on conduct, procedures and its implementing rules on disciplinary actions.

I understand that the contents in this handbook are confidential and may not be distributed in any way nor discussed with anyone who is not an employee of DUCK-IL KOREA INCORPORATED.

I have read and understand the Codes of Conduct expected by DUCK-IL KOREA INC. and I agree to act in accord with the Codes of Conduct as a condition of my employment by DUCK-IL KOREA INCORPORATED.

I understand that if I have questions or concerns at any time about the handbook on the Codes of Conduct and Discipline, I will consult my immediate supervisor, my supervisor's manager, the Human Resource Officer, or the Managing Director for clarification.

Employee Signature Over Printed Name

Date: _____

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Employee Signature Over Printed Name

Date: _____

HR COPY for 201 file

FOREWORD



Our company is founded on our commitment to the highest ethical principles and standards. Upholding these commitments is essential to our continued success. As each personnel plays a vital role in the attainment of the company's over-all objective through these commitments, it is therefore necessary to provide them with the right information they need in fulfilling their daily tasks.

The publication of this Code of Discipline is made for the benefit of every personnel in the company. While it is impossible for this code to describe every situation that may arise, many of the standards outlined in on the following pages are familiar, for they reflect the fundamental values of fairness and integrity that are part of our daily lives. The application of these standards is an extension of the values by which we are known as individuals and by which we want to be known as a company.

This company code of discipline is not designed to violate individual's freedom, rather this serves as a guide to conduct ourselves in an ethical business manner. The ultimate responsibility of maintaining our code rest with each of us, since we can do no less than to behave in a way that will continue to bring credit to our company and ourselves.

Let us all be dedicated in building our most valuable asset – our reputation. Complying with the principles and standards contained in this code is the starting point for protecting and enhancing that reputation.

Thank you for your commitment!

A handwritten signature in black ink, appearing to read 'Engalla'.

Ernesto F. Engalla Jr.
Managing Director

INTRODUCTION AND PURPOSE OF THE HANDBOOK

In a business enterprise, it is essential that workers act according to an ideal mode of behavior and conduct toward an acceptable, well-coordinated endeavor. But the fact is, in any organization, people that compose it have diverse characters and personalities, interests and attitudes toward work and even life itself. It is therefore imperative that in order to achieve such harmony at work, certain standards or norms of conduct must be established where some forms of employee discipline is instituted in order to preserve order and harmony.

Though it may be a policy for the company to preserve order and harmony through rules and regulations, and disciplinary measures may be imposed for violations of such rules, the intent is basically on the prevention of the infraction rather than the imposition of the penalty. The purpose of discipline therefore is to educate the employees in the primary standards of behavior and performance. Its aim is to correct or reform and not to penalize them.

DIKI Management has therefore the primary function of keeping the company going in a profitable manner and to be able to pursue this goal, it needs a workforce that can be brought under control to attain the company's goals and objectives.

This DUCK-IL KOREA INCORPORATED Code of Conduct and Discipline Handbook establishes policies on conduct and all contents shall be followed by all its employees as a condition of their employment at the Company. The Code of Conduct and Discipline describes the expected actions and behaviors of employees while conducting Company business.

This Handbook is not a contract of employment nor is it intended to create contractual obligations for the Company of any kind. Its primary objective is to give life and direction to the program of activities covering the needs of the organization and its human resources.

DUCK-IL KOREA INCORPORATED

CODE OF CONDUCT and DISCIPLINE HANDBOOK

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II. THE COMPANY

OUR VISION STATEMENT

To be globally recognized as reliable partner, technology leader, and workforce's company of choice that promotes customer's business success, green environment and positive impact to the community.

OUR MISSION STATEMENT

A dynamic customer- focused organization, committed for continues improvement that delivers high quality products.

QUALITY POLICY

Duck-II is committed to deliver quality products and services and is driven to exceed our Customer's expectations through Innovation, continuous improvement and teamwork.

III. CODE OF CONDUCT

The Code of Conduct creates a set of rules on what is expected of every employee in maintaining a high ethical, yet professional standards in the discharge of his/her duties and responsibilities. Every employee is expected to familiarize themselves with the code and is thereby subject to all policies, rules and regulations while under the employment of DUCK-IL KOREA, INCORPORATED (DIKI).

3.1. INDIVIDUAL CONDUCT

- 3.1.1. Every DIKI employee of a particular department/section must be guided
In accordance with the agreed standards and policies set by management.
- 3.1.2. Tactfulness and professionalism must be maintained at all times when dealing
with clients, suppliers, co-employees or superiors to promote good welfare of
the company.
- 3.1.3. Every employee must uphold integrity to the tasks and responsibilities entrusted
to him by his immediate superior or by Management.
- 3.1.4. He/she must seek to uphold only that which is excellent and beneficial to
the company's goodwill and reputation.

- 3.1.5. Any acts of indecency or illicit relationship that endangers the goodwill and reputation of the company is highly intolerable and shall be subject to the disciplinary action under this Code.
- 3.1.6. A DIKI employee represents the company. He/she is expected to act decently regardless of place or event and should avoid any personal conflict of interest that might be of prejudice towards the company nor expose it to public reproach or ridicule.
- 3.1.7. He/she must always uphold the laws not only of the company but also to the community he/she belongs.
- 3.1.8. An employee must observe confidentiality of any company documents and information entrusted to him or her.

3.2. PROFESSIONAL WORK ETHICS

- 3.2.1. Any confidential record should not be brought out of the office / company premise without any written instructions or approval from the management.
- 3.2.2. Each Department must be independent in its function, performance of duties and responsibilities. Employees must observe and respect boundaries, jurisdictions and limitations pertaining to documents, information and decisions from departments to where they do not belong. They should refrain from interfering unless requested.
- 3.2.3. Employees are expected to perform their individual duties and responsibilities assigned to them by their department and that their contribution is as important as the rest for the department to attain their goal.
- 3.2.4. A healthy relationship among employees is a great advantage for the company to perform well. Any conflict of interest or grievances must be resolved in the most professional manner and at the soonest possible.

3.3. COLLABORATIVE WORK ETHICS

- 3.3.1. Ideas and suggestions from our employees are given value so that the practice of open line communication is highly encouraged.
- 3.3.2. We believe in the essence of teamwork. Employees' accomplishments or contributions to the success of the team should be recognized and given due credit by his superior.

3.4. RELATIONS TO OTHERS AND THE PUBLIC

- 3.4.1. We place great importance to our clients, suppliers, the business sectors and other companies that we relate to. DIKI employees are expected to be sensitive but professional in dealing with their needs or requests.
- 3.4.2. Clients / suppliers must always be treated with courtesy and kindness.
- 3.4.3. Our clients place us where we are right now. Practice tact with Patience.
- 3.4.4. Always put our clients' interest your priority. Attend to every detail with propriety.

IV. DISCIPLINARY MEASURES

4.1. Policy

The Company considers the maintenance of discipline as a matter of fundamental importance to the protection and welfare of employees and furtherance of Company objectives. It is expected that employees shall follow Company rules and regulations, hence, violation of any provision under this code constitutes ground for disciplinary actions.

- 1. All employees must acquaint themselves with all Company policies, rules and regulations pertaining to their positions, duties and responsibilities. They are to conduct themselves properly in their relations toward each other, with the Company, and with the public.
- 2. All decisions regarding disciplinary actions shall be at the sole discretions of the Company. The standard violations for every disciplinary action written in this handbook follow a progressive disciplinary procedure and the company reserves the right to implement discipline in accordance with the grievousness of such offense incurred by the offending employee. The company therefore, may, for violation of any existing rules and regulations and as guided under Article 272 of the New Labor Code as a just cause for termination, impose on its erring employees the disciplinary actions commensurate with the gravity of the offenses committed.

3. Imposition of disciplinary actions shall always be governed by fairness, justice and equality. Existing labor laws and implementing rules shall always be observed in cases of suspension and dismissal.

4. The Company gives the Supervisor the responsibility to discipline the employees under him. However, in performing this function, coordination with his Department Head and the HRD Manager must be complied.

5. In cases of multiple violations of company rules at the same time, one penalty that shall measure the gravity of such offense being put together will be imposed.

6. Ignorance or unfamiliarity of the provisions on disciplinary Actions shall not excuse any violation.

4.2. Implementing Procedures on Disciplinary Penalties

1. As a general rule, whether an employee is found to have committed an offense against the company's established authority, policy procedures, rules and regulations, an INCIDENT REPORT (IR) should be initiated and filed by his immediate supervisor or Department Head;

2. All Incident Reports shall be endorsed to the HRD department for appropriate disciplinary management;

3. For offenses that require verbal warning only, the Supervisor must:

1. prepare 2 copies of an IR
2. discuss the IR with the offending employee
3. after discussion, let the employee sign the 2 copies
4. give the original copy to the employee and the duplicate to HRD for filing purposes

4. For offenses committed beyond verbal warning: The supervisor / manager of the employee committing an offense must submit to HRD the duly accomplished forms:

- a. INCIDENT REPORT (IR), prepared by the supervisor and duly signed by
the employee who committed the offense
- b. Q & A Incident Investigation (Q&A) – where an offense requires investigation

5. Upon receipt of the (IR, (and Q&A if required), HRD shall:

1. Prepare 2 copies of NOTICE OF DISCIPLINARY ACTION (NODA), based on
the IR (and Q&A, if any) submitted by supervisor of the employee
under discipline;

2. Present NODA to supervisor for verification and notification;
3. Let the employee sign the NODA, give the original copy to the concerned employee, and retain the duplicate for attachment to the MEDA;
4. prepare 2 copies of the MEMORANDUM ON EMPLOYEE DISCIPLINARY ACTION (MEDA), based on the NODA received from the supervisor;
5. present the prepared MEDA to the supervisor for notification;
6. attach the verified NODA to the notified MEDA;
7. submit the verified NODA and the notified MEDA to the manager for approval and
8. endorse the approved MEDA (with the attached NODA) to the supervisor

6. If the infraction or violation was committed within the company premise but outside the employee's work area or unit, any employee witness may immediately report the incident to the HR Officer;

7. If the infraction involves conflicts between or among employees, HRD shall conduct Q & A separately between the involved employees;

8. The HR Officer shall inform the supervisor of his/her employee's infraction and prepare an IR, schedule and conduct a separate Q&A INCIDENT INVESTIGATION (Q & A) comprising of the following employees:

- a. concerned employee
- b. the employee's immediate supervisor;
- c. anyone who witnessed the incident

9. HRD shall submit the NODA with recommendation based on the gathered evidences and Q&A findings to the employee's supervisor and shall be subject to approval by the employee's Department Head;

10. Once approved, HRD shall prepare 2 COPIES of the MEMORANDUM ON EMPLOYEE DISCIPLINARY ACTION (MEDA) based on he approved NODA and shall be served immediately to the offending employee by his immediate supervisor;

11. Supervisors are expected to personally discuss the MEDA with the offending employee and shall fill up the portions under ACTION/S TAKEN and return the duplicate completed MEDA copy to HRD for filing purposes

4.3. Definition of Terms

a. VERBAL WARNING or CORRECTIVE COUNSELLING

An oral admonition given to the employee for an infraction of a rule and warning him that repetition of these offenses will be dealt with more severely.

b. WRITTEN REPRIMAND

A written warning given to the employee's repetition if an offense in which a verbal warning had been previously given, or commission of a more serious offense which requires stronger disciplinary action than a verbal reprimand and warning the employee that a repetition of the same offense will subject him to suspension.

c. SUSPENSION

A temporary lay-off without pay, served in writing and warns the employee that a repetition of the same offense shall mean dismissal. PREVENTIVE SUSPENSION is a temporary lay-off without pay of not more than thirty (30) days which may be imposed upon during the investigation of a serious infraction of Company rules or policy.

d. PREVENTIVE SUSPENSION

A temporary lay-off without pay of not more than thirty (30) days which may be imposed upon during or while the investigation of a serious infraction of Company rules or policy is ongoing.

e. DISMISSAL

The termination of an employee for cause. Company benefits due to a dismissed employee are forfeited

f. GRIEVANCE

Any employee's discontent or dissatisfaction concerning terms and conditions of employment or management decisions in connection therewith.

g. ESPIONAGE

Any act or attempt of spying to obtain secret information or other information considered as "CONFIDENTIAL" for personal gain or malicious intent.

h. SABOTAGE

An employee's deliberate action aimed at weakening another entity through subversion, obstruction, disruption or destruction. In a workplace setting, it is the conscious withdrawal of efficiency generally directed at causing some changes in workplace conditions.

i. **BREACH**

An infraction, violation or transgression committed by the employee as of a law, trust, faith or promise.

10.4. TABLE OF OFFENSES AND DISCIPLINARY MEASURES / PENALTIES

See appendix A

A **Committing MULTIPLE OFFENSES** (either MINOR or MAJOR) under the Code and served at the same period of time The higher disciplinary measure shall be carried out and accorded to the offender

B **Committing any MAJOR OFFENSE** under the Code of Conduct and Discipline for Five (5) times in a year DISMISSAL

TABLE OF OFFENSES AND DISCIPLINARY MEASURES / PENALTIES

SEC	OFFENSE	1st	2nd	3rd	4th	5th	6th	7th	8th
01	Tardiness (Reporting for work late)	Verbal Warning	First Written Warning	Final Written Warning	1 day Suspension Without Pay	3 days Suspension Without Pay	6 days Suspension Without Pay	10 days Suspension Without Pay	Dismissal
02	INCOMPLETE UNIFORM (No ID while reporting to work or removing of uniform while not yet time for dismissal)	Verbal Warning	First Written Warning	Final Written Warning	1 day Suspension Without Pay	3 days Suspension Without Pay	6 days Suspension Without Pay	10 days Suspension Without Pay	Dismissal

SEC	OFFENSE	1st	2nd	3rd	4th	5th	6th	7th	8th
04	ABANDONMENT FROM WORK (leaving assigned workplace without informing &/or approval from supervisor OR leaving workplace before end of work schedule)	Written Warning with Explanation	2 Days Suspension Without Pay	3 Days Suspension Without Pay	6 Days Suspension Without Pay	9 Days Suspension Without Pay	12 Days Suspension Without Pay	15 Days Suspension Without Pay	30 Days Suspension Without Pay
05	ABSENCE WITHOUT APPROVED LEAVE (AWOL) (Being absent without informing or filing a leave of absence)	First Written Warning	3 days Suspension Without Pay	6 days Suspension Without Pay	9 days Suspension Without Pay	15 days Suspension Without Pay	Dismissal		
06	FAILURE TO REPORT TO WORK AFTER SUSPENSION	First Written Warning	3 days Suspension Without Pay	6 days Suspension Without Pay	9 days Suspension Without Pay	15 days Suspension Without Pay	Dismissal		
07	INSUBORDINATION (Fighting, arguing, not following supervisor's instructions)	First Written Warning	3 days Suspension Without Pay	6 days Suspension Without Pay	9 days Suspension Without Pay	15 days Suspension Without Pay	Dismissal		
08	NEGLIGENCE (Resulting to loss and/or destruction of Company properties / assets)	6 Days Suspension Without Pay plus payment/reimbursement of the cost for loss/damage	12 Days Suspension Without Pay plus payment/reimbursement of the cost for loss/damage	Dismissal					
09	INTOXICATION (Reporting to work drunk or intoxicated with alcoholic beverages)	15 Days Suspension Without Pay	Dismissal						

SEC	OFFENSE	1st	2nd	3rd	4th	5th	6th	7th	8 th
11	GAMBLING (Gambling /or act of participating during working hours or inside the company premises)	6 days Suspension Without Pay	12 days Suspension Without Pay	Dismissal					
12	FIGHTING AND ALTERCATION (With co-employees)	12 Days Suspension Without Pay	15 Days Suspension Without Pay	30 Days Suspension Without Pay	Dismissal				
13	SLEEPING ON THE JOB OR LOITERING WHILE ON DUTY	Written Warning	2 days Suspension Without Pay	6 days Suspension Without Pay	12 days Suspension Without Pay	Dismissal			
14	DISRESPECT/DISORDERLY CONDUCT (Against Customers, Suppliers, Company partners and/ or Officers and co-worker)	3 Days Suspension Without Pay	6 Days Suspension Without Pay	15 Days Suspension Without Pay	Dismissal				
15	UNAUTHORIZED POSTING AND REMOVAL OF INFORMATION ON THE NOTICE BOARD	Written Warning with Explanation	3 Days Suspension Without Pay	6 Days Suspension Without Pay	15 Days Suspension Without Pay	Dismissal			
16	INTENTIONAL WASTE OF SUPPLIES & MATERIALS OR ABUSE OF TOOLS & EQUIPMENT (including the use of company's property for non-work related purposes)	Written Warning	3 days Suspension Without Pay	6 days Suspension Without Pay	12 days Suspension Without Pay	30 days Suspension Without Pay	Dismissal		

SEC	OFFENSE	1st	2nd	3rd	4th	5th	6th	7th	8th
17	MALICIOUS USE OF COMPANY NAME FOR PERSONAL GAIN	15 Days Suspension Without Pay	Dismissal						
18	FALSIFICATION OF DAILY TIME RECORD ENTRIES (Including punching another employee's time card)	6 days Suspension Without Pay	12 days Suspension Without Pay	30 days Suspension Without Pay	Dismissal				
19	DISHONESTY, DECEPTION OR FRAUD (Stealing, cheating, misuse and/or unauthorized use of company assets /properties and/or funds)	Dismissal							
20	INDUSTRIAL SABOTAGE (sharing of confidential information about the company and/or company documents to other people and/or business competitors)	Dismissal							
21	UNAUTHORIZED ACCESS TO COMPANY PREMISES /FILES (malicious entry in designated "RESTRICTED AREAS /FOR AUTHORIZED PERSONNEL ONLY"; access to confidential files)	Dismissal							

SEC	OFFENSE	1st	2nd	3rd	4th	5th	6th	7th	8th
22	INTENTIONAL FALSIFICATION /COPYING AND/ OR CHANGING OF COMPANY RECORDS/DOCUME NTS FOR MALICIOUS INTENT	Dismissal							
23	BRIBERY (Soliciting / accepting bribes in exchange for any favor from clients, suppliers or others that may influence the concerned employee's decision)	Dismissal							
24	BREACH OF TRUST (Any employee action that results to the company's loss of trust towards the concerned employee)	Dismissal							
25	THEFT	Dismissal							
26	SELLING, BRINGING, USE AND/OR ENTICING OTHERS TO USE ANY PROHIBITED DRUGS INSIDE THE COMPANY PREMISES	Dismissal							
27	CARRYING CONCEALED WEAPONS INSIDE COMPANY PREMISES	Dismissal							

SEC	OFFENSE	1st	2nd	3rd	4th	5th	6th	7th	8th
28	COMMITTING AND/OR ENTICING OTHERS TO COMMIT ANY CRIMINAL OFFENSES AGAINST OTHERS AND THE LAW	Dismissal							
29	INDECENT/VULGAR ACTS INSIDE THE COMPANY PREMISES (including any abusive, threatening or use of profane language in the presence of co-workers and / clients, suppliers and visitors)	Dismissal							
30	WILLFUL DISREGARD OF, OR REFUSAL TO COMPLY WITH COMPANY RULES	3 Days Suspension Without Pay	6 Days Suspension Without Pay	9 Days Suspension Without Pay	12 Days Suspension Without Pay	15 Days Suspension Without Pay	30 Days Suspension Without Pay	Dismissal	
31 A	CCAR /PRODUCTION NOTICE (Records will be back to zero every year)	Verbal Warning	Written Warning	1days Suspension w/o Pay	2days Suspension w/o Pay	3days Suspension w/o Pay	4days Suspension w/o Pay	5days Suspension w/o Pay	Dismissal

SEC	OFFENSE	Amount (Php)	1st	2nd	3rd	4th	5th	6th	7th
31 B	CCAR resulting to damage with an amount incurred (Records will not be back to zero it will continue until Dismissal)	3K > 9K	1-day Suspension w/o Pay	3days Suspension w/o Pay	6days Suspension w/o Pay	9days Suspension w/o Pay	12days Suspension w/o Pay	Dismissal	
		10K > 15K	3days Suspension w/o Pay	6days Suspension w/o Pay	9days Suspension w/o Pay	Dismissal			
		15K > 25K	6days Suspension w/o Pay	9days Suspension w/o Pay	12days Suspension w/o Pay	Dismissal			
		25K > 50K	9days Suspension w/o Pay	12days Suspension w/o Pay	Dismissal				
		50K and above	12days Suspension w/o Pay	15days Suspension w/o Pay	Dismissal				

4.4.1. SPECIAL PROVISIONS ON DISCIPLINARY ACTIONS

SECTION	OFFENSES	DISCIPLINARY ACTIONS
A	Committing MULTIPLE OFFENSES (either MINOR or MAJOR) under the Code and served at the same period of time	The higher the disciplinary measure shall be carried out and accorded to the offender
B	Committing any MAJOR OFFENSE under Code of Conduct and Discipline for Five (5) times in a year	DISMISSAL

V. TERMINATION OF EMPLOYMENT

Termination of employment is the discharge or dismissal of an employee at the instance of the employer. It may be used where the employee's record over a period of time shows clearly that no amount of warning and other disciplinary actions have impressed the employee with the errors of his ways.

5.1. Policy

Every employment in the Company, whether for an indefinite or a definite period, and regardless of the employment status and rank or position of the employee, is subject to termination in accordance with section of this handbook or upon the occurrence of any of the just and authorized causes as enumerated in the Labor Code.

5.2. Enforcement of Termination

Termination of Employment through Company initiated action must be supported with written records of offenses or penalties incurred by the concerned employee and the actions taken by management. The employee's immediate supervisor must discuss the recommendation for termination with HRD together with the company Legal counsel before any actions shall be taken. HRD shall be responsible for the processing and filing for the action on termination.

Only the Country Manager or its designee shall have the authority to terminate any employment.

VI. EFFECTIVITY

This Code of Conduct and Discipline Handbook shall take effect upon approval by DIKI management and its contents shall remain valid and implementing until further revision shall have been approved. All future amended policies, rules and regulations in lieu of the approved parts inclusive within this handbook shall be filed under APPENDIX IV: AMENDED POLICIES, RULES & REGULATIONS.

APPENCICES
 APENDIX I
 Company Forms
 (APENDIX A) SAMPLE
INCIDENT REPORT NOTIFICATION (IRN)

To be completed in DUPLICATE by the Supervisor of the involved employee / HRD Officer as soon after the incident occurred. This report should be submitted to HRD for further investigation and or documentation needed for the appropriate action. It shall be used in support of any Q & A required. In the event of any serious injury (an injury requiring medical treatment) copies of the incident report must be forwarded to HRD for claims purposes (if available).

INSTRUCTION: Please fill in the appropriate item/s needed in this report notification

Report prepared by: Contact details:	Date prepared: Department/ Section:
Date of Incident:	Time of Incident:
Type of Event: <i>working day, breaktime, work-related trip, etc</i>	
Location: <i>where the incident took place</i>	
Type of Incident: <i>accident / Injury, physical /verbal altercation, damage to property, theft, fire, etc.</i>	
Incident Details:	
External Involvement: <i>Were authorities or other agencies notified at the time? If so who, by whom, and how? Did they then take a role in managing the incident? If appropriate have the Insurers been notified?</i>	
Final Outcome: <i>What was the final outcome of the incident? When was it resolved?</i>	
Future Prevention: <i>Can this incident be prevented? If so, how?</i>	
Supplementary Information: <i>This section can include a list of attachments, such as a map, witness statements etc.</i>	
Employee's verbal explanation regarding the infraction committed as discussed with Supervisor: ACTIONS TAKEN by Supervisor:	

PREPARED & DISCUSSED WITH: EMPLOYEE / EMPLOYEE'S SUPERVISOR

 HRD / Supervisor's Name & Signature

 Date

.....
 I agree that the contents and findings written in this IRN have been thoroughly discussed to me by my Supervisor / HRD and that I understand that the consequence/s of the error I had committed shall ensue to a higher disciplinary action/s in the future.

EMPLOYEE'S NAME & SIGNATURE / Date

APPENDIX B

SAMPLE

QUESTION & ANSWER PROCESS FORM Q &A

QUESTION & ANSWER PROCESS FORM (Q & A)

NAME OF EMPLOYEE BEING INVESTIGATED _____ DATE OF Q & A _____

POSITION: _____ TIME ENDED: _____

REPORTING TO: _____ DEPT/ BRANCH: _____

DAY / DATE / PLACE OF OCCURENCE: _____

- Other person/s involved aside from the employee?

- What happened? Please narrate the incident. (use another sheet if necessary) _____

- Any witnesses who can verify your story? YES / NO. If yes, who?

- Do you know the violation/s for this case? YES / NO. If yes, please tell me what violation/s had you committed.

If no, (state his violation/s using the CCD Handbook)

- Do you agree to your violation? YES / NO. If yes, then please affix your signature on this paper.
If no, why do you disagree?

I understand and agree that I have committed the above offense/s and that my violation/s against Company policies, rules and regulations was/were clearly discussed to me by my superior /HRD.

Employee's Name & Signature
Name & Signature / Department

WITNESSED BY:

Name & Signature

Position

Investigator's Name & Signature

Name &

Signature / Department

APPENDIX C

SAMPLE

NOTICE OF DISCIPLINARY ACTION FORM (NODA)

This confidential memo is to be filed by HRD upon receipt of IR (Q & A, if any) from the Supervisor of the concerned employee.

TO : _____

Employee's name

FROM: _____

Supervisor's Name & Title

DATE : _____

RE : UNAUTHORIZED LEAVE OF ABSENCE

TYPE OF OFFENSE: SECTION 03: ABSENCE WITHOUT

LEAVE (AWOL)

LEVEL OF DISCIPLINARY ACTION : 1ST OFFENSE , WRITTEN WARNING

IMPACT OF ACTION ON SECTION/DEPARTMENT:

CO-WORKERS PERFORMING YOUR LOAD

STATEMENT OF EXPECTATIONS & ANY FOLLOW UP (IF ANY):

TO FILL UP LOA AND SEEK APPROVAL FIRST PRIOR TO ABSENCE

CONSEQUENCE OF FUTURE BEHAVIOR: 2nd OFFENSE, 3 DAY SUSPENSION WITHOUT PAY

Prepared by : HRD

ACKNOWLEDGEMENT OF RECEIPT:

Employee's Name & Signature / Date

**Supervisor's Name
& Signature / Date**

cc: Department File

APPENDIX D

SAMPLE

MEMORANDUM ON EMPLOYEE DISCIPLINARY ACTION (MEDA)

SAMPLE MEDA

This disciplinary memo serves to: 1) document a warning regarding poor performance or unacceptable behavior on the part of a specific employee, 2) to document the employer's attempts to rectify the problem and all the steps taken and 3) it documents consequences and/or discipline to be taken as a result of the behavior. This disciplinary memo may also include an inference to future consequences such as loss of their job if the problem is not rectified.

IMPORTANT: MEDA is to be prepared in *DUPLICATE* by HRD upon receipt of an acknowledged/notified / approved NODA.

Memo on Employee's Disciplinary Action (MEDA)

Date:

To: [Employee Name]

From: [Your name and title]

RE: [Infraction Detail]

This memo serves as written notice to [employee name]. [Company name] has made the decision to take disciplinary action regarding [specific infraction or performance issue].

Paragraph 2: Mention any prior disciplinary issues along with actions taken or warnings given.

Paragraph 3: [Company name] has decided to [disciplinary action] [employee name].

(Explain what action will be taken in detail. For example if the employee is suspended the memo could say something like: DIKI Company has decided to suspend Mr. ADC without pay for a period of one week. The suspension will be effective immediately.)

Prepared by:

Approved by:

HRD

MANAGING DIRECTOR

☐ MEDA DISCUSSED BY SUPERVISOR TO EMPLOYEE

☐ ACTIONS TAKEN BY SUPERVISOR

I acknowledge that this MEDA had been thoroughly discussed to me by my Superior and that I fully understand the content and accept the disciplinary action/s given as the consequence/s of my violation/s to the company's policies, rules & regulations.

EMPLOYEE'S NAME & SIGNATURE / DATE

Signed In My Presence:

SUPERVISOR'S NAME & SIGNATURE / DATE

APPENDIX II

COMPANY and NATIONAL HOLIDAYS

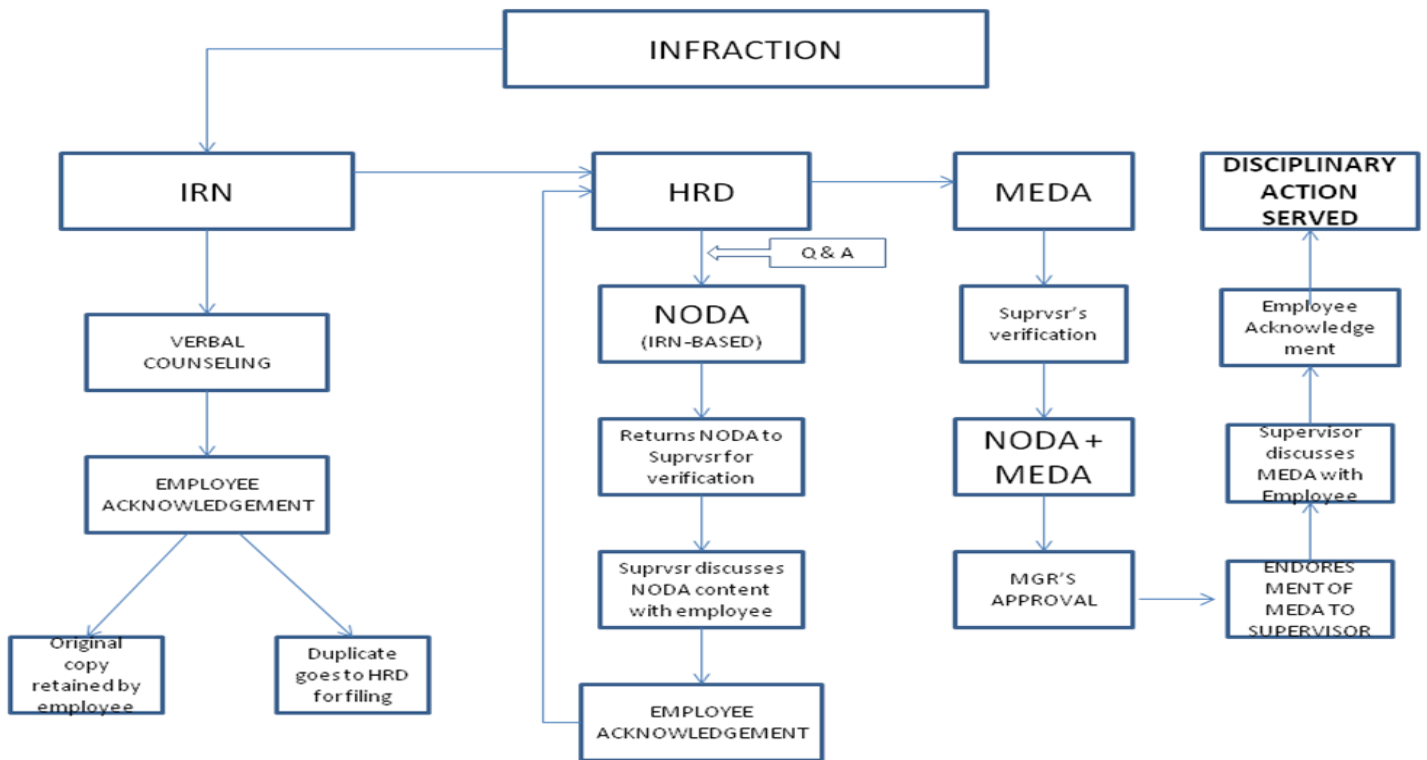
A. Company Holidays

B. National Holidays

New Year's Day
Maunday Thursday
Good Friday
Araw ng Kagitingan
Labor Day
Independence Day
Eidul Fitr
Ninoy Aquino Day
National Heroes Day
Eidul Adha
All Saints Day
Bonifacio Day
Christmas Day
Rizal Day

APPENDIX III

FLOW CHART OF IMPLEMENTING PROCEDURES ON DISCIPLINARY ACTIONS



APPENDIX IV

AMENDED POLICIES, RULES & REGULATIONS