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|  | Company Policy | | |
| | Document Name CODE OF CONDUCT POLICY | | |
| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

1. OBJECTIVES

It is the mutual responsibility of the management and the employees to regulate relations and settle differences in the pursuit of the company's business. There can be no success without consistency. There can be no consistency without discipline. When employees violate the rules of discipline, they jeopardize not only the interests of the employer but also their own.

It is imperative that employees maintain the norm of the conduct beneficial to the accomplishment of the company's goal. This Code of Conduct is issued to define the boundaries of permissible behavior of employees. It expresses the company's desire and concern to protect and safeguard the rights of employees.

2. SCOPE

The provisions of this Code of Conduct apply to all employees of the company regardless of status of appointment, position, and grade level. It covers all violations committed within the company premises or areas where the employee performs official duties even if such areas are physically outside of company premises.

3. DEFINITION OF TERMS:


3.1. **Due Process** – means that fair procedures have been put into place before a disciplinary action is imposed. Due process means that the employee was given the opportunity to:

- 3.1.1. Be notified in writing of his/her alleged violation
- 3.1.2. Be heard or given the opportunity to defend him/herself
- 3.1.3. Know the nature of offense
- 3.1.4. To be cross-examined and confronted face-to-face with the witnesses against him/her. This will not apply to violations not limited to sexual harassment or offenses against person. The disciplinary committee will decide if a face-to-face discussion is necessary by carefully assessing the situation and not compromising the safety of the aggrieved employee.
- 3.1.5. Be informed in writing of the decision

3.2. **Disciplinary Meeting** – The disciplinary meeting serves as a venue for:

- 3.2.1. An employee to clarify his/her claims or response to the case at hand and/or;
- 3.2.2. If the alleged violation is presumably a grave offense or sanctionable with zero tolerance or dismissal

The meeting is conducted face-to-face involving the affected parties and Human Resources. The team shall decide on performing a disciplinary meeting on a case-per-case basis except for grave/dismissal

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
| | Document Name CODE OF CONDUCT POLICY | | |
| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |


offenses not related to harassment, offenses against person or any violation that will compromise the safety of the aggrieved employee.

3.3. **Offenses** – Refers to a violation or an incident of noncompliance to a company policy, process, or regulations committed by the employee defined by its nature and number of occurrences. An offense shall be determined according to the seriousness of the committed violation as follows.

| Minor Offense | Serious Offense | Grave Offense | ZERO Tolerance Offense |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The offense does not immediately lead to loss of trust, can still be corrected, and has no direct impact on fellow employee/s and/or the company. Sanction for first offense is Written Warning. | The offense may lead to loss of trust, can still be corrected, and has a noticeable impact on fellow employee/s and/or the company. Sanction for first offense is 2 nd degree written warning | The offense leads to loss of trust, can still be corrected, and has a severe impact on fellow employee/s and/or the company. Sanction for first offense is Final Written Warning | The offense leads to loss of trust; the offense cannot be corrected and has an extreme impact on fellow employee/s and/or the company. Sanction for first offense is Dismissal. |

3.4. **Sanctions** – Refers to the penalties and other means of enforcement of disciplinary action to an employee with proven committed offenses to the company policy, processes or regulations. The following is the list of sanctions that may be imposed on any erring employee:

| Written Warning (Minor Offense) | 2 nd Degree Written Warning (Serious Offense) | Final Written Warning (Grave Offense) | Dismissal (Zero Tolerance Offense) |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|
| The initial sanction served to an employee for any Minor Offense proven committed | The initial sanction served to an employee for any Serious Offense proven committed. This is also served to an employee for a second case of similar | The initial sanction served to an employee for any Grave Offense proven committed. This is also served to an employee for a second case of similar Serious | Refers to involuntary termination of an employee from the company. -The sanction served to an employee for any Zero Tolerance Offense proven |


| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
| | Document Name CODE OF CONDUCT POLICY | | |
| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

| | | | |
|--|----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <p>Minor Offenses. It will also warn the employee that failure to improve or correct the behavior/act may lead to Final Written Warning.</p> | <p>Offenses and a third case of similar Minor Offenses. It will also warn the employee that failure to improve or correct the behavior/act may lead to dismissal.</p> | <p>committed after a due process has been observed.</p> <p>- This is also served to an employee for a second case of similar Grave Offenses committed, a third case of similar Serious Offenses committed and a fourth or habitual cases of similar Minor Offenses.</p> <p>In cases of dismissal, all the salaries and benefits that the employee is entitled to shall be forfeited upon effectivity of separation. The Company shall withhold all company benefits due to the employee except for the compensation from the remaining unpaid worked days.</p> |
|--|----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

3.5. Disciplinary Actions Monitoring – Refers to the monitoring tool used by Human Resources to keep track of the violations to the company’s Code of Conduct. It is Human Resources responsibility to always maintain the confidentiality and integrity of the information about employees.

3.6. Preventive Suspension – A suspension for a period of not more than thirty (30) calendar days, without pay, if the continued presence of the employee poses a perceived or imminent threat to, property, interest, and product of the company or the employees. Preventive suspension is imposed during the process of investigation as deemed necessary prior to determining the appropriate disciplinary action or sanction.

3.6.1. Should the employee be reinstated and proven to be not in violation, full payment of the affected salary will be given during the payday immediately following the reinstatement and closure of the case. Should the employee be ultimately terminated, no salary payment shall be made.

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
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| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

3.6.2. If a decision on the case is not reached within the 30-day period, the preventive suspension may be extended: the employee will still not be allowed to report to work, however, his/her name is reinstated in the payroll.

4. RESPONSIBILITY & PROCEDURE


4.1. Responsibilities

4.1.1. Human Resources

- (1) Evaluate and assess if the escalated incident report is a violation of Code of Conduct
- (2) Cascade Code of Conduct to new employees attending the New Hire Orientation Program
- (3) Rollout Code of Conduct to Department Managers on any update or revision of the Code of Conduct
- (4) Equip the Department Managers in facilitating discussions, coaching and counseling their team members regarding the Code of Conduct Policy
- (5) Provide guidance to Department Managers through consultations regarding the proper administration of disciplinary actions
- (6) Attend/Facilitate proper implementation of the due process
- (7) Answer questions and inquiries pertaining to the proper interpretation and application of the Code of Conduct
- (8) Document all disciplinary meetings conducted by Human Resource
- (9) Compile all disciplinary documents in the 201 files of the employee concerned
- (10) Maintain the Disciplinary Monitoring Tool of disciplinary actions for proper monitoring

4.1.2. Department Managers

- (1) Cascade Code of Conduct updates or revision to members of the team
- (2) Escalate non-compliance to the Code of Conduct of a team member to Human Resource to undergo disciplinary action
- (3) Monitor behavior and performance of his/her team in compliance with Code of Conduct
- (4) Ensure the presence of Human Resource representative in all disciplinary meetings
- (5) Issue notices and other necessary communications needed to implement the disciplinary actions
- (6) Encourage good behavior and right conduct by enforcing appropriate initiatives to maintain discipline in his/her team
- (7) Participate in disciplinary meetings together with Human Resource as required by the nature of the incident

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
| | Document Name CODE OF CONDUCT POLICY | | |
| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

- (8) Document and forward copies of signed written explanation, acknowledgement of disciplinary action and other records pertaining to disciplinary procedures to Human Resource

4.1.3. **Employees**


- (1) Always abide to the Code of Conduct and other company policies
- (2) Notify Department Managers or Human Resource on any observed violations of fellow employees
- (3) Whenever subjected to disciplinary procedures, cooperate with authorities for the expedient resolution of the cases

4.1.4. **Committee on Decorum and Discipline**

- (1) Called upon by Human Resource in cases where the nature of the employee's offense leads to a decision where no applicable guideline or policy cover such offense and/or if the offense does not present an evident guideline or criteria that it is correctable or not
- (2) Human Resource to select members of the committee
- (3) Evaluate any appeal to disciplinary actions filed by the employee
- (4) Draw fair and just settlement on cases
- (5) Recommend the appropriate disciplinary action, if needed
- (6) Recommend the review or amendment of a policy that is proven ineffective or it there are areas for improvement
- (7) Always keeps confidential information about the case once assigned as committee member.
- (8) Note that disclosure of information in disciplinary proceedings is a 201-confidentiality violation and is in of itself a grave offense warranting a final written warning to dismissal.

4.2. **POLICY/PROCEDURE**

Each employee shall always perform and abide by the Code of Conduct. Whenever the employee performs his/her duties inside or outside of the office, interacts with other employee/s, customer/s, supplier/s, where the company has business dealings, these things must be kept in mind. The Policy is binding in all activities where employees interact specially when there is potential harm to professionalism, quality of work or any work-related outcome; all client interactions; all business conducted outside the office regardless of whether the activities fall within paid time or otherwise.

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
| | Document Name CODE OF CONDUCT POLICY | | |
| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

4.2.1. Code on Professional Relations

- (1) Employees shall respect fellow employees' views, religion, faith, race and gender and shall practice professionalism and objectivity in dealing with others.
- (2) Employees shall foster peace, camaraderie, and a harmonious working environment.

4.2.2. Code on Company's Property, Resources and Assets

- (1) Employees shall ensure that all company property and issued assets are protected, safeguarded, and used accordingly and properly. These include any company property information, products and alike shall be taken care of accordingly.
- (2) The employee is accountable to all assets that are in their care and are accountable to the declared value of the asset they sign accountabilities for

4.2.3. Code on Company's Interest and Reputation

- (1) Employees shall keep the best interest of the company over the above his/her own. Any action that may bring disrepute to the company's name and reputation should be avoided.
- (2) Employees shall perform their assigned duties as effectively and efficiently and help the company attain its business goals and objectives.
- (3) It is the Company's policy that the employee's social media presence is their private domain. However, when company identifiable information is available on the said employee's publicly available profile, this policy shall apply in force
- (4) Defamation and disrepute shall be managed on a case-to-case basis and must be supported by actual harm to the company's reputation or image

4.2.4. Code on Company's Health and Morale


- (1) Employees shall take care of their health and well-being while the company provides services and programs to assist the employees regarding health and morale concerns.
- (2) All health concerns specifically when communicated to HR shall be managed in the strictest confidence

4.2.5. Code on Company's Office Safety and Security

- (1) Employees shall observe, always practice, and maintain safety and security in the office. This also includes employees who are working offsite or at home.

4.2.6. Code on Work Ethics

- (1) Employees shall live the implied values of integrity and honesty. An employee shall be transparent in all activities. Conflicts of interests are avoided.
- (2) Employees shall conduct himself/herself in a manner befitting a highly respectable company.
- (3) Employees of higher rank and level in the company represent the company to its employees, thus, they should always uphold their position properly and professionally.

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
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| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |


4.3. DISCIPLINARY ACTIONS MANAGEMENT

- 4.3.1. An employee who is found violating any of the rules and regulations of the company is entitled to due process. All disciplinary meetings must be done in private and with strict confidentiality. The disciplinary meetings must be documented from the Notice to Explain Memo up to the issuance of the disciplinary action or non-sanctionable closure document. All disciplinary documents must be filed in the employee's 201 file.
- 4.3.2. Disciplinary actions must be corrective and constructive rather than punitive (punishment). The choice of what disciplinary action to take must be commensurate to the infraction committed. Counseling session/s will also be conducted to correct the employee if a violation has been committed.
- 4.3.3. Successive and multiple violations of the same policy sanctionable by Minor or Serious Offenses during the 6-month period from the first violation committed shall be penalized one (1) degree higher. Zero Tolerance Offense shall apply for violations committed during 1-year period from the first violation committed resulting to Grave offenses.
- 4.3.4. Where a single act constitutes two or more offences, the disciplinary action for the more serious offense will be applied. However, both offenses will be on record and shall be kept in the employee's 201 file.
- 4.3.5. The cleansing period for Minor and Serious offenses is six (6) months and one (1) year for Grave offenses. This means that if the prior Minor or Serious offense occurred over six (6) months or Grave offense over one (1) year before committing a similar offense, the prior sanction cannot be used to convert the present offense to a higher-level sanction.
- 4.3.6. An employee may file an appeal if there is a newly found data or material that will support the claim of the employee. Human Resource must decide within three (3) working days from the receipt of the appeal. If no decision has been made within the prescribed period because of the need to reinvestigate, the employee will be informed of the matter through a written letter. The decision will be referred to the Committee on Decorum and Discipline.
- 4.3.7. A limitation period shall apply to all reports of violation. No punitive action may be taken against an offense that is unreported for over 30 days.
- 4.3.8. A limitation on the principle of double jeopardy shall apply. No employee may be cited for the same incident twice. Where multiple policies are violated in a single incident, the procedure and sanction for the heavier violation shall apply

4.4. CORRECTIVE ACTION PROCESS

- 4.4.1. The corrective action process is triggered when an Incident Report (IR) is sent to Human Resources.

Incident reports are employee functions and are not exclusive to management. All employees are accountable to upholding our culture and our values.

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
| | Document Name CODE OF CONDUCT POLICY | | |
| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

4.4.2. Once an Incident Report is received, Human Resource will promptly determine if there is sufficient ground to issue a Notice to Explain (NTE) to the concerned employee/s.

4.4.3. If there is sufficient ground, the Immediate Supervisor of the employee will draft the Notice to Explain (NTE) for HR's review and approval. The Notice to Explain contains a detailed narration of the incident and must include the following:

- (1) Nature of the violation (including date, place and people involved)
- (2) Seriousness of the offense (the extent it affects the company operations, employees and assets)
- (3) Due date of the expected response of the employee
- (4) Waiver (should the employee fail to submit explanation)
- (5) Advise of preventive suspension period (if necessary)


4.4.4. Once the Notice to Explain has gone through review and approval of Human Resource, the Immediate Supervisor discusses and issues the Notice to Explain (Human Resource will issue for terminable cases) to the employee and forwards the fully signed notice to Human Resource for tracking, recording and safekeeping.

4.4.5. The employee is given five (5) working days from receipt of the Notice to Explain to respond in writing to the allegations. A disciplinary meeting will be conducted by Human Resource if:

- (1) The employee cited another person involved of the mishap but was not initially reported by the Immediate Supervisor in his/her Incident Report letter.
- (2) Additional information is requested from the concerned employee or clarification of the incident is required.
- (3) The nature of offense falls under Grave or Zero Tolerance sanctions, except for violations related to sexual harassment or offenses against person where a face-to-face discussion might compromise the safety of the aggrieved employee.

4.4.6. After thorough review of the facts and findings presented from the written explanation, disciplinary meeting (if any), Human Resource will decide on the case.

4.4.7. Human Resource will communicate the decision to the Immediate Supervisor. The Immediate Supervisor will draft the Notice of Decision (NOD) for Human Resource's review and approval. The Notice of Decision must include a detailed narration of the

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
| | Document Name CODE OF CONDUCT POLICY | | |
| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

incidents, facts, and circumstances that served as basis for the charge against the employee, the specific causes or grounds for corrective action, the case findings, and the decision of Human Resource on the case.

4.4.8. Once the Notice of decision has gone through review and approval of Human Resource, the Immediate Supervisor discusses and issues the Notice of Decision (Human Resource will issue for grave and terminable cases) to the employee and forwards the fully signed notice to Human Resource for tracking, recording and safe keeping.

4.4.9. Should the employee refuse to sign the documents, the Immediate Supervisor or Human Resource must get a witness to sign on the document indicating that the *“Employee Refuses to Sign”*. Refusal of the employee to sign the document does not waive the decision on the case.

4.4.10. The Committee on Decorum and Discipline will be formed in cases where the nature of the employee’s offence leads to dismissal. The committee shall be composed of the following:


- (1) Human Resource Representative
- (2) Any manager not in direct working relations with the erring employee
- (3) Any employee whose rank or position level is the same as the erring employee.

The following shall be considered in selecting the members of the Committee on Decorum and Discipline:

- a. No record of Disciplinary Action on the time of investigation.
- b. Any employee with regular employment status and at least 2 years tenure in the organization.
- c. Any employee not in the same brand/pillar/department of the erring employee; and
- d. Any manager who does not have a direct working relationship with the Immediate Supervisor of the erring employee.

4.4.11. If the case merits dismissal or termination, the concerned Immediate Supervisor with the presence of a Human Resource Representative shall meet with the employee in private and let the employee know that she/he is to be dismissed.

4.4.12. All disciplinary action memo issued to the employee must be signed by all involved parties and shall be filed in the employee’s 201 file.

| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
|  | Company Policy | | |
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4.4.13. HR may at any point cease or suspend the disciplinary action process should it deem the best interests of the Company and the employee are addressed in counseling rather than disciplinary action

4.4.14. Responsibility for follow through shall rest on the Management team and shall document the same through coaching logs to be submitted to HR

4.5. MITIGATING AND AGGRAVATING CIRCUMSTANCES

Although this Code dictates penalties for offences ranging from Written Warning to Dismissal, the following shall be considered in determining appropriate disciplinary action:

- (1) Employee's performance and employment record
- (2) Employee's past disciplinary record
- (3) Extent of harm, damage or injury caused by the offense
- (4) Degree of adverse of offense in efficiency, morale, discipline and external relationship or reputation of the company
- (5) Past similar cases
- (6) Labor Laws

4.6. ADMINISTRATION AND AMENDMENT

4.6.1. Human Resource shall ensure that all disciplinary actions are following the requirements of the Philippine Labor Code.

4.6.2. The company reserves the right to amend, alter, modify or change these rules as the times warrant with proper notice or publication. All policies, rules and regulations shall be reviewed and updated as frequently as the company may require especially when driven by the following:

- (1) Issuance of new or revised labor laws
- (2) Issuance of new or revised company laws and policies
- (3) Validated observations of Human Resource, Management and Employees.


| | | | |
|-----------------------------------------------------------------------------------|------------------------------------------------|------------------------------|-----------------|
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| Issuer: Peggy Blanch Pangilinan | Effectively Date: 05-Apr-2021 | Version 01 HRMEMO2021-001 | No of pages: 22 |

Table of Offenses and Sanctions

| Rule No. | Nature of Offense | Offense | Sanctions per offense | | | |
|------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|-----------------------|----------------------------------------|-----------------------|-----------|
| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| <i>I. Offense Against Company Interest and Reputation</i> | | | | | | |
| 1 | Any non-compliance with approved company policies, standard procedures and work instructions that lead to company or employee dissatisfaction | Minor | ✓ | ✓ | ✓ | ✓ |
| 2 | “No call, no show” or AWOL (Absence without leave); Overstaying a leave of absence | | | | | |
| | 2.a. 1-2 days | Minor | ✓ | ✓ | ✓ | ✓ |
| | 2.b. 3 days or more | Grave | | | ✓ | ✓ |
| 3 | Failure to present medical certificate after 2-days of sick leave | Minor | ✓ | ✓ | ✓ | ✓ |
| 4 | Failure to report for critical overtime work after having agreed to work, without a valid and justifiable reason | Serious | | ✓ | ✓ | ✓ |
| 5 | Habitual failure to log-in time system; or repeated failure to log-out on time system or to register time of departure after work or to return to work after a break, without valid reason | Minor | ✓ | ✓ | ✓ | |
| 6 | Violation of Timeliness and Punctuality Policy | Minor | ✓ | ✓ | ✓ | ✓ |



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Effectively Date: 05-Apr-2021

Version 01
HRMEMO2021-001

No of pages: 22

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|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|-----------------------|----------------------------------------|-----------------------|-----------|
| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 7 | Abandonment of work; leaving company premises or work assignment during work hours without proper authorization from supervisors or the absence from your workstation on a committed period of presence; not returning from break of lunch; excessively prolonged unauthorized breaks more than 2 hours; failing to meet client appointments without due notification to a POC, Manager and Client | Grave | | | ✓ | ✓ |
| 8 | Absence from work without proper notification, call, or email to immediate supervisor | Minor | ✓ | ✓ | ✓ | ✓ |
| 9 | Habitual unauthorized absences exceeding the allowable monthly leave credits for at least six (6) consecutive months during the year. Unauthorized absences – leaves not filed, disapproved for justifiable reasons, not filed within the prescribed justifiable reasons | Grave | | | ✓ | ✓ |
| 10 | Malingering or pretending to be ill and/or giving false excuses for an absence | Grave | | | ✓ | ✓ |



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Version 01
HRMEMO2021-001

No of pages: 22

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| | | | Written Warning | 2nd Degree Written Warning | Final Written Warning | Dismissal |
| 11 | Failure to follow notification period (before two hours of official shift) to Workforce and/or Supervisor on sudden leave | Minor | ✓ | ✓ | ✓ | ✓ |
| 12 | Absenteeism – not more than two (2) in a month or three (3) in a quarter (unplanned and the 92% staffing levels are affected) | Minor | ✓ | ✓ | ✓ | ✓ |
| 13 | For Probationary Employees, unauthorized absenteeism should not be more than five (5) absences in six months | Zero Tolerance | | | | ✓ (Subject to non-regulariation) |
| 14 | Deliberately registering the time of another employee or allowing others to alter one's log in/out | Grave | | | ✓ | ✓ |
| 15 | Deliberately violating the confidentiality of pay, sharing pay related documents or 201 file documents with unauthorized persons | Grave | | | ✓ | ✓ |
| 16 | Sleeping while on duty | Minor | | ✓ | ✓ | ✓ |
| 17 | Unauthorized disclosure of confidential information which include but not limited to Company or employment records, trade secrets, formula, financial operation statements and other company documents to other companies or persons, whether competitor or not | Zero Tolerance | | | | ✓ |



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Version 01
HRMEMO2021-001

No of pages: 22

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| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 18 | Carelessness or negligence in work resulting in interruption or delays of work activities or company damages | Serious | | ✓ (Payment of total damage Cost) | ✓ (Payment of total damage Cost) | ✓ (Payment of total damage Cost) |
| 19 | Poor performance of duties and responsibilities three (3) months consecutive or four (4) fails against 2 quarters | Serious | | ✓ | ✓ | ✓ |
| 20 | Failure to meet performance expectation and/or defined job requirements as agreed in the Scorecard | Serious | | ✓ | ✓ | ✓ |
| 21 | Failure to successfully meet performance improvement plan in a given quarter | Zero Tolerance | | | | ✓ |
| 22 | Neglecting to perform regularly assigned or requested task resulting in service failure, client or customer complaint | Serious | | ✓ | ✓ | ✓ |
| 23 | Falsification or plagiarism of company records or documents and/or submitting falsified documents for whatever reason | Zero Tolerance | | | | ✓ |
| 24 | Engaging in competitive operations or business like those of the company | Zero Tolerance | | | | ✓ |



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Version 01
HRMEMO2021-001

No of pages: 22

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| 25 | Making false statements at the time of application and failure to declare pertinent information; or evidence of misrepresentation arising from the process thereof before regularization period. | Zero Tolerance | | | | ✓ |
| 26 | Making public false, vicious, or malicious statements concerning the Company or any employee, that dishonors or discredits the company or employee. | Grave | | | ✓ | ✓ |
| 27 | Indirect and direct payment, request, offer or receipt of advance in order to obtain retain undue business interest or abuse of power for private advantage from third-party suppliers, customers or clients | Grave | | | ✓ (Dismissal-if it results to substantial material damage or injury to the employee or Company) | ✓ |
| 28 | Improperly using any Company confidential information or disclosing such information without prior authorization by the company | Grave | | | ✓ (Dismissal-if it results to substantial material damage or injury to the employee or Company) | ✓ |
| 29 | Deliberately or willfully providing or copying confidential, sensitive information to our competitor for self-gain | Grave | | | ✓ (Dismissal-if it results to substantial material damage or injury to the employee or Company) | ✓ |



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Version 01
HRMEMO2021-001

No of pages: 22

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| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 30 | Buying, selling, distribution or display of pornographic visuals within company premises | Grave | | | ✓ | ✓ |
| 31 | Failure to disclose to management gifts received other than of nominal value in connection with one's work, depending on the position | Minor | ✓ | ✓ | ✓ | ✓ |
| 32 | Willful or intentional neglect of duty with intent to deceive, fraud, or unduly gain | Zero Tolerance | | | | ✓ |
| 33 | Did not report a witnessed grave violation | Grave | | | ✓ | ✓ (Dismissal of all parties involved) |
| II. Offense Against Person (Professional Relationship) | | | | | | |
| 34 | Any action that can be considered discriminating, insulting, harassing, coercive, shaming, or disruptive towards any employee or officials of the company. Action, words, jokes, or comments based on an individual's sex, race, color, origin, age, religion, disability, or any other unlawful harassment | Serious | | ✓ | ✓ | ✓ |
| 35 | Uttering or gesturing vile, provocative, obscene, or vulgar, abusive words that are directly offending or harassing an employee or client within company premises or extensions or in a public forum | Minor | ✓ | ✓ | ✓ | ✓ |



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Version 01
HRMEMO2021-001

No of pages: 22

| Rule No. | Nature of Offense | Offense | Sanctions per offense | | | |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-----------------------|----------------------------------------|-----------------------|-----------|
| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 36 | Threatening, intimidating, or coercing any employee, such that his/her life, any part of his/her body, or property is endangered causing serious distress | Grave | | | ✓ | ✓ |
| 37 | Selling, soliciting, or collecting contributions for any purpose of personal or commercial gain within company premises or extensions, without proper authorization from the Management | Minor | ✓ | ✓ | ✓ | ✓ |
| 38 | Gross insubordination to superiors in the performance of their duties (gross insubordination means refusing to follow work-related instructions given by superior/s) | Grave Offense | | | ✓ | ✓ |
| 39 | Engaging in any unauthorized business or commercial activities for personal gain during working hours | Minor | ✓ | ✓ | ✓ | ✓ |
| 40 | Engaging in unauthorized gambling, lottery or any game of chance, betting and collecting bets in any type of game of chance within the company | Minor | ✓ | ✓ | ✓ | ✓ |



Company Policy

Document Name

CODE OF CONDUCT POLICY


Issuer:
Peggy Blanch Pangilinan

Effectively Date: 05-Apr-2021

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| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 41 | Prejudicial behavior towards clients or customers evidenced by verified and confirmed complaint depending on sizable business and revenue loss | Grave | | | ✓ Payment of total revenue loss | ✓ Payment of total revenue loss |
| 42 | Actions that lead to the defamation, libel, slander about any employee, company, or client | Grave | | | ✓ | ✓ |
| 43 | Any act of discourtesy, insult or use of foul language towards a co-employee, immediate supervisor, or manager | Minor | ✓ | ✓ | ✓ | ✓ |
| 44 | Any action (including but not to limited to verbal, physical, virtual comments using public social media) that instigates a fight/commotion or is found offensive by another party | Serious | | ✓ | ✓ | ✓ |
| 45 | Making indecent proposal to any co-employee; commission of malicious or scandalous acts within company premises or extensions or even company sponsored events or activities | Grave | | | ✓ | ✓ |
| 46 | Harassment (verbal, physical, mental, or sexual); Harassing, threatening, intimidating, or coercing another employee, a customer, or employees, at any time, including on or off duty period | Grave | | | ✓ | ✓ |

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|-----------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|-----------------------|----------------------------------------------------------------------------------------------------------------------------|---------------------------|---------------------------|
| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 47 | Following the fraternization policy, inappropriate conduct in the office vicinity or in an official event such as holding hands, embracing each other, kissing, lovers quarrel, or other public displays of affection or other behaviors that make others uncomfortable or are outside of professional behavior. | Grave | | | ✓ | ✓ |
| 48 | Using of one's authority/power or position over a subordinate or co-employee for personal gain | Minor | ✓ | ✓ | ✓ | ✓ |
| 49 | Fighting, instigating a fight, inflicting or attempting to inflict bodily injury or another within company premises or extensions; or in case it is committed elsewhere, the image of the company is put at stake (both individuals will pay damages but no violation on the defendant) | Serious | | ✓ (Dismissal if it results to substantial material damage or injury to the employee or Company plus payment of damages) | ✓ (payment of damages) | ✓ (payment of damages) |
| III. Offenses Against Company Property | | | | | | |
| 50 | Stealing of any office or employee equipment, material, cash, or property | Zero Tolerance | | | | ✓ |
| 51 | Deliberate withdrawal or removal of company assets or records from Company premises or extensions for unauthorized purposes | Serious | | ✓ (Dismissal if it results to substantial material damage to the employee or Company) | ✓ | ✓ |
| 52 | Using Company's time, materials, and equipment to do unauthorized work or personal activities | Minor | ✓ | ✓ | ✓ | ✓ |



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| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 53 | Misuse of company property or those of another employee resulting in damage or destruction of property | Serious | | ✓ (Payment of damages) | ✓ (Payment of damages) | ✓ (Payment of damages) |
| 54 | Substituting company materials or equipment with another of inferior quality or lesser value | Zero Tolerance | | | | ✓ |
| 55 | Malversation or corruption of company funds such as but not limited to the following: filling of questionable reimbursements, incorrect and untimely liquidations, etc.) | Zero Tolerance | | | | ✓ |
| 56 | Robbery, theft, pilferage and embezzlement of funds or its attempt in any form or manner | Zero Tolerance | | | | ✓ |
| 57 | Engaging in unauthorized selling of company property for personal benefit or financial gain | Zero Tolerance | | | | ✓ |
| IV. Offenses Against Security and Safety | | | | | | |
| 58 | Violation of electronic communication (e-mail, internet, intranet, etc.) for any abusive use or personal gain or for personal recreation | Minor | ✓ (Manager can request to limit access to online privileges) | ✓ (Manager can request to limit access to online privileges) | ✓ (Manager can request to limit access to online privileges) | ✓ (Manager can request to limit access to online privileges) |
| 59 | Buying, selling, distribution or usage, possession of unprescribed, illegal drugs within office premises or extensions | Zero Tolerance | | | | ✓ |
| 60 | Reporting for work and entering company premises while under the influence of prohibited drugs or alcohol or illegal substances | Grave | | | ✓ | ✓ |



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| | | | Written Warning | 2 nd Degree Written Warning | Final Written Warning | Dismissal |
| 61 | Pleading guilty to or being convicted of any criminal act under the law | Zero Tolerance | | | | ✓ |
| 62 | Deliberately or willfully damaging Company property/assets or another employee's property | Grave | | | (Dismissal -if it results to substantial material damage or injury to the employee or Company) | ✓ |
| 63 | Drinking alcohol during office hours, except during company organized events | Grave | | | ✓ | ✓ |
| 64 | Possession of firearms, dangerous or deadly weapons within company premises | Zero Tolerance | | | | ✓ |
| 65 | Failure to report a personal accident within the company premises leading to injury and accident of a third party | Serious | | ✓ | ✓ | ✓ |
| V. Offenses Against Health and Morale | | | | | | |
| 66 | Smoking within company premises at any time or in areas identified as "non-smoking" | Serious | | ✓ | ✓ | ✓ |
| 67 | Not reporting a serious contagious illness/disease which may endanger the life of the employees | Grave | | | ✓ | ✓ |
| 68 | Professional clothing, grooming and cleanliness are required while on company premises. A business casual dress code is established to allow employees to work comfortably in the workplace. Yet, we still want to project a professional image to our clients, | Minor | ✓ | ✓ | ✓ | ✓ |

| | | | |
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| AXADRA | Company Policy | | |
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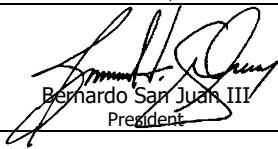
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| | potential employees, and visitors. Casual clothing that is not suitable in the office include clothing that works well in the beach, workouts, and sports (eg. slippers, open toed shoes for men, sleeveless tops, revealing tops, etc). Also, any clothing that has words, terms, or pictures that may be offensive to others. | | | | | |
| 69 | Bringing or attempting to bring alcoholic beverages in office premises | Serious | | ✓ | ✓ | ✓ |
| 70 | All other acts of dishonesty or deceit causing damage to the company or public health or morale (eg. spreading false statements about the company, rude social media sharing affecting company reputation, etc.) | Grave | | | | ✓ |

5. Related documents/Forms

- 5.1. Notice to Explain
- 5.2. Written Explanation
- 5.3. Notice of Decision

REVISION HISTORY

| Version No. | Version Date | Description of Revision | Originator |
|-------------|--------------|-------------------------|-----------------------|
| 1.0 | | Approved Version | Bernardo San Juan III |

| | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| Prepared and Reviewed By:  Peggy Blanch Pangilinan Princess Irish Palmares HR & Admin Manager Compensation & Benefits Specialist | Approved by:  Bernardo San Juan III President |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|