

Code of Conduct and Ethical Standards for Members, Officers, and Employees of UPLB Credit and Development Cooperative

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UPLBCDC VISION, MISSION AND GOALS

VISION

We envision a stable, progressive, committed and responsive cooperative enlightened and guided by cooperative values and principles, rendering effective services towards improving the quality of life of its members.

MISSION

We will provide effective services that are economically and socially beneficial to the members to improve their quality of life.

We will achieve the vision of the Cooperative through competent and dedicated officers and management staff, continuous education and trainings, entrepreneurial development, mobilization of resources, ensuring participation of members, and developing collaboration and linkage with all sectors of society.

In practicing and developing this culture, we will be a model and leader in the cooperative's socio-economic and moral development.

GOALS

Economic

- To encourage thrift and savings mobilization to create a pool of funds;
- To streamline operational procedures and generate net surplus; and
- To develop projects that will provide opportunities and benefits to members.

Social

- To collaborate/establish linkages with local government units, non-government organizations, private organizations and other sectors of society;
- To involve the members in the process of decision-making and development facilitation, like sectoral meetings and membership in special committees, and as resource persons in other social activities; and
- To enhance the stature of UPLBCDC as a model cooperative by empowering the members through its relevant socio-economic and morally uplifting programs.

Educational

- To educate officers, management staff and members through continuous seminars, trainings and workshops;
- To enhance coop information system; and
- To participate in community building programs

PREAMBLE

We, the members, officers and employees of the UPLB Credit and Development Cooperative (UPLBCDC), recognizing cooperative as an effective instrument to equity, social justice and economic development and for the attainment of self-reliance and people empowerment; shall aim to promote a high standard of conduct and ethics in cooperative affairs.

Guided by these moral precepts we , do hereby adopt and promulgate this Cooperative Code of Conduct and Ethical Standards for the members, officers and employees of the UPLBCDC.

So help us God!

CHAPTER I. GENERAL PROVISIONS

ARTICLE I. TITLE AND COVERAGE

- Section 1. **Title.** This Code shall be known as the Code of Conduct and Ethical Standards for members, officers and employees of the UPLB Credit and Development Cooperative.
- Section 2. **Coverage.** This Code shall apply to all members, officers and employees of UPLB Credit and Development Cooperative. This policy adheres to the universally accepted cooperative principles, philosophies and practices.

ARTICLE II. OBJECTIVES OF THIS CODE OF CONDUCT AND ETHICAL STANDARDS

Establish the standard of conduct and behavior expected of all members, officers and employees in the discharge of their duties and responsibilities and in their relationship with UPLBCDC, their colleagues, superiors, subordinates, members and the public.

Enhance order, discipline, efficiency, harmony, and synergy.

Provide clear and adequate guidelines in the administration of cases or situations involving disciplinary/corrective action.

ARTICLE III. DEFINITION OF TERMS

Code of Conduct – refers to a system of principles or rules of desirable action or behavior befitting any member, officer and employee of the UPLBCDC, and consequently binding upon the members, officers, and employees of UPLBCDC.

Ethical Standards – refer to the set of moral principles or values defining accepted conduct of behavior of members, officers, and employees of the UPLBCDC as established through the general consent of the members.

Trait – refers to a distinguishing quality of an individual or person

Behavior – refers to the manner of conducting oneself

Values – refers to an idea, a concept, or a mental image that is intrinsically good to an individual that serves as basis for meaningful participation in the Coop

Sanction – a punishment attached to a violation of Coop law, policies, guidelines, and directives.

Member – an individual classified as regular or associate having been accepted with all the rights and privileges as well as the obligations and responsibilities of membership as defined in the bylaws.

Officer – a member having been duly elected or appointed to assume specific authority, responsibilities, accountabilities, and liabilities as defined in the bylaws.

Employee – an individual having been issued an appointment for a particular position with well defined duties and responsibilities and receiving a regular compensation

Substantial evidence – refers to such relevant evidence as a reasonable mind might accept as adequate

to support a conclusion.

Complaint – refers to a sworn written statement charging any member, officer or employee of the cooperative with an offense or misconduct, subscribed by the complainant before any person authorized to administer oath.

Complainant – an individual who files a complaint.

Respondent – an individual subjected to a complaint.

Reply – refers to a written statement which is addressed to the answer whose purpose is to attack or deny the allegations of the respondent and his witnesses.

Summons – a written notice addressed to the respondent requiring him to answer the complaint within five days and ordering him to appear in person before the Ethics Committee on a scheduled date.

Certificate of non-forum shopping – a document indicating that the same complaint has not been filed with another court or tribunal.

Certificate of non-resolution – a decision by the Mediation and Conciliation Committee as a result of failure to reach an agreement towards an amicable settlement between conflicting parties.

Answer – Written response under oath wherein the respondent either deny or admit the allegations in the complaint, and containing plain, concise and direct statement of the ultimate facts on which the respondent relies for his defense.

ARTICLE IV. DESIRABLE TRAITS AND BEHAVIOR OF MEMBERS, OFFICERS AND EMPLOYEES

- A. **Honesty, open-mindedness and transparency** – Members, officers, and employees must adhere to the facts and at all times must not lie, steal or deceive in any way. They must be receptive to arguments and ideas and free from pretense or deceit.
- B. **Self-responsibility, social responsibility and discipline** – Members, officers and employees must extend prompt, courteous, and adequate service to all Coop members. They must be responsible for their own conduct and obligations. They must be orderly or possess prescribed conduct or pattern of behavior.
- C. **Justness and sincerity** – Members, officers, and employees must act with justness and sincerity and shall not discriminate against anyone. They must respect the rights of others, and must refrain from doing acts contrary to law, good morals, and good customs.
- D. **Solidarity** – Members, officers, and employees must work towards one goal to achieve unity and harmony in managing the affairs of the Cooperative.
- E. **Initiative and persistence** – Members, officers, and employees are encouraged to be a self-starter to initiate programs and projects for the Coop. They must also be persistent and determined to finish or support whatever projects or programs they have initiated for the Coop.
- F. **Trustworthiness** – Members, officers, and employees must endeavor to discourage wrong perception of their roles as coddler of wrong doers. They must remain true to the goals and objectives of the Cooperative.
- G. **Professionalism and integrity** – Members, officers, and employees must perform and discharge their duties with the highest degree of excellence, professionalism, and integrity. They must perform their duties with utmost devotion and dedication to duty. They must not be

capable of being false to a trust, responsibility, or pledge.

- H. **Loyalty and commitment** – Members, officers, and employees shall at all times be loyal to the UPLBCDC, patronize its services and encourage appreciation of the Cooperative goals and philosophies. They shall endeavor to maintain and defend UPLBCDC against adversaries. They must render services willingly without expecting extra compensation.
- I. **Equality and equity** – Members, officers, and employees shall commit themselves to promote fair and just services to everyone without discrimination or preference. They must ensure that social and economic returns are given to members corresponding to their respective investments.

ARTICLE V. UPLBCDC ETHICAL STANDARDS FOR MEMBERS AND OFFICERS

Section 1. FOR MEMBERS

Every member is expected to:

- Conscientiously exercise the rights and privileges, perform the duties, responsibilities and meet obligations;
- Provide the necessary authentic documents and full disclosure of relevant information and circumstances needed in loan transactions with the cooperative;
- Instill financial discipline; share time, resources and know-how for cooperative betterment; and
- Be open-minded, forward-looking and objectively pursues the chance to serve and assume leadership when called for.

Section 2. FOR OFFICERS

In addition to being members, the officers of the UPLBCDC are expected to:

- Adhere to highest degree of excellence, professionalism, intelligence and skills and continuously strive to achieve professional development in the performance of their duties;
- Be progressive thinking, forward-looking, innovative, imaginative, creative and analytical to be able to promulgate sound and appropriate policies and decisions;
- Inspire, motivate, and lead people;
- Observe proper decorum
- Relate harmoniously and deal with respect to fellow officers, the members and the management staff;
- Attend functions punctually and not leave the meetings or functions without excuse;
- Avoid conflict of interest by engaging in activities similar to the cooperative
- Desist from seeking elective or appointive positions in other cooperatives of the same type and level;
- Respect authority and show independence, and decisiveness; and
- Encourage cluster or small group formation of members to facilitate efficient communication and prompt delivery of service.

ARTICLE VI. DISCIPLINARY SYSTEM

For any violation of this Code, Bylaws, Policies, and Rules and Regulations of this Cooperative, the following system shall be administered and penalties herein provided shall be imposed accordingly.

Section 1. **Structure.** The System shall consist of the Conciliation and Mediation Committee and Ethics Committee created for the purpose.

- A. **Conciliation and Mediation Committee.** The Conciliation and Mediation Committee shall

attend to complaints that are behavioral in nature and shall conform with CDA Memorandum Circular No. 2007-05 which forms an integral part of this Code of Conduct and Ethical Standards.

B. THE ETHICS COMMITTEE

The Ethics Committee shall attend to complaints that are administrative in nature and shall exercise the following powers:

- Authority to hear and try the complaint;
- Power to issue summons and require the presence of the witness(es) and the production of relevant documents;
- Conduct ocular inspection and inquiries in appropriate cases;
- Recommend appropriate action for the consideration and approval by the board of directors.

B.1. Hearing Pool. The Hearing Pool shall be organized **yearly** by the Board of Directors with at least ten (10) members in good standing and preferably with legal background.

B.2. Selection and appointment of Ethics Committee members.

The Board of Directors shall draw three (3) members from the Hearing Pool to constitute the Ethics Committee.

Section 2. **Procedure.** As a general rule, due process shall be observed giving both complainant and respondent equal opportunity to be heard, present their witness(es) including documentary evidences before an impartial body.

- A. Who May File Complaints. Any member, officer and employee may file a disciplinary complaint that must be in writing and under oath.
- B. Form of Complaint. All complaints shall be in writing duly signed by the complainant under oath, specifying the person/s involved, the act/s committed and other relevant circumstances.
- C. Filing of Complaint. The complaint shall be filed with the Administrative Officer who upon receipt shall submit the same to the Chairman of the Board for action.
- D. Board Action. Within three (3) days from receipt of the complaint, the Chairman of the Board shall call a special meeting of the Board to discuss the merit(s) of the complaint. If the complaint is behavioral in nature, such complaint shall be referred to the MCC. If the complaint is administrative in nature, the BOD shall constitute the Ethics Committee whose members shall be drawn from the Hearing Pool. Correspondingly, both parties shall be notified of the Board's action.
- E. Action of the Ethics Committee

Within five days from receipt of summons, the respondent shall file his answer or counter-affidavit, and the affidavits of his witnesses if any, all under oath and copy furnished the complainant.

Failure of the respondent to file his answer or counter affidavit, and that of his witness if any, within the prescribed period shall be considered as waiver. Thereafter, the Ethics Committee shall proceed to hear the case on the basis of the evidence to be adduced by the complainant. No person shall be allowed to testify before the Ethics Committee unless he has a sworn statement previously submitted to the Ethics Committee, except resource persons who may be invited by the Ethics Committee on its own initiative.

The complainant may file his reply to the answer or counter affidavit of the respondent within five days from receipt hereof. Within five days from receipt of the reply, the respondent may file his rejoinder.

The complainant shall be required by the Ethics Committee to submit his rejoinder within five (5) working days upon receipt of the notice.

Hearing by the Ethics Committee

- a. **Summary proceedings.** The Ethics Committee shall adopt summary proceedings in resolving the complaint filed before it. The affidavit or sworn complaint of the complainant, as well as the affidavits of his witnesses, shall serve as their direct testimonies, subject to clarificatory questions by the AAC. In the same manner, the answer or counter affidavit of the respondent, and the affidavits of his witnesses, shall serve as their direct testimonies, all subject to clarificatory questions by the AAC. The AAC may allow the cross examination of the complainant and his witnesses, or of the respondent and his witnesses, only in high justifiable reasons and provided that will not unduly delay the summary proceedings. During the cross examination, questions shall be submitted to the AAC which shall propound the said questions to the party or witness concerned."
- b. **Nature of evidence required.** Mere substantial evidence shall be sufficient to reach a decision.
- c. **Submission of report to the Board of Directors.** The Ethics Committee shall submit its findings and recommendations to the Board of Directors within 30 days from receipt of the answer of the respondent. The AAC shall exert all efforts to resolve a complaint amicably through the use of alternative dispute resolution processes before proceeding to the formal proceedings except for cases not subject to amicable settlements.

Section 3. **Board Decision.** The decision of the Board shall be final and executory without prejudice to an appeal in case the penalty imposed involved the removal of a member of the BOD or expulsion of a member of the cooperative."

ARTICLE VII. JURISDICTION. The Board of Directors shall have jurisdiction over the person of the members, officers and employees.

ARTICLE VIII. ADMINISTRATIVE OFFENSES/PENALTIES. Administrative penalties are classified into grave, less grave and light penalties, depending on the nature and effect of the offense committed. If the complaint is for a grave offense, and the respondent is a member of the BOD, officer of the elective committees, supervisor in the management staff, or any employee or officer occupying sensitive positions, the BOD shall immediately impose a preventive suspension on the respondent. This preventive suspension shall not exceed thirty days.

Section 1. **Grave Offenses.** The following are grave offenses wherein dismissal shall be imposed:

- Dishonesty
- Gross neglect of duty
- Grave misconduct
- Being notoriously undesirable
- Conviction of crime involving moral turpitude
- Falsification or tampering of documents
- Vicious conduct resulting to physical or mental incapacity or disability

- Disgraceful and immoral conduct
- Inefficiency and incompetence in the performance of duties
- Act inimical, injurious or prejudicial to the best interest of the cooperative
- Willfully and knowingly assent or vote to patently unlawful act;
- Gross negligence or bad faith in directing the affairs of the cooperative
- Acquire any personal or pecuniary interest in conflict with their duty
- Attempts to acquire or acquires in violation of his duty, any interest or equity adverse to the cooperative in respect to any matter which has been reposed in him in confidence.
- By virtue of his office, acquires for himself an opportunity which should belong to the cooperative.
- Illegal use of confidential information.
- Violation of existing laws, policies, guidelines and administrative issuances

Section 2. **Less Grave Offenses.** The following are less grave offenses with their corresponding penalty of suspension of rights (right to be elected, to vote and be voted upon) and privileges except the right to receive interest on deposits, share capital and patronage refund for six (6) months with partial disqualification to hold office or seek elective or appointive position for six (6) years for the first offense and termination from membership or employment as the case may be for **repetition of the same offense or** commission of another offense.

- Simple neglect of duty
- Simple misconduct
- Gross discourtesy in the course of duties
- Habitual drunkenness

Section 3. **Light Offenses.** The following are light offenses with corresponding penalty:

- Discourtesy in the course of duty
- Violation of reasonable office rules and regulations
- Willful failure to pay just debt
- Failure to act promptly on letters and request within fifteen (15) days from receipt
- Failure to attend to the members who wants to avail himself of the services of the cooperative
- Failure to act or institute appropriate sanction(s) against erring officers and staff

OFFENSE	ADMINISTRATIVE PENALTY
First	Reprimand
Second	Partial or temporary disqualifications to hold office or to seek elective or appointive position for the second offense
Third	Suspension of rights and privileges for six (6) months with total or permanent disqualifications to hold office or seek elective or appointive positions for the third offense

Section 4. **Imposition of Preventive Suspension.** Preventive suspension is not a punishment or penalty but is considered to be a preventive measure. Preventive suspension as a measure is imposed by the Board to give the respondent the opportunity to defend himself. During the suspension, he shall not be allowed to receive his salary and other benefits. If found innocent, he shall be paid with all salaries and benefits due to him. In case of conviction, the appropriate penalty shall be imposed and all other benefits will be forfeited. It shall be imposed if the charge against such officers or employees involves the following:

- Dishonesty
- Oppression
- Grave misconduct

- Neglect in the performance of duty,
- Violation of the existing Cooperative laws, UPLBCDC Bylaws and Policies

Section 5. **Nature of Warning.** Warning shall not be considered a penalty. The purpose of warning is to apprise a party of the existence of danger of which he is not aware to enable him to protect himself against it, and where the party is aware of the danger, the warning will serve no purpose and is unnecessary, and there is no duty to warn against risks which are open and obvious.

Section 6. **Lightest Penalty.** Reprimand shall be the lightest penalty. Reprimand is a public and formal censure or severe reproof, administered to a person at fault by his superior officer or by a body or organization to which he belongs.

Section 7. **Gravest Penalty.** Termination of membership and employment shall be the gravest penalties imposable.

ARTICLE IX. FILING OF CASES IN COURT. The penalties herein provided shall be imposed upon violation of this Code, **Coop Laws and directives**, Articles of Cooperation **and** Bylaws, Policies and Rules and Regulations of this cooperative without prejudice to the filing of civil and criminal cases in the regular court.

CHAPTER II. CODE OF CONDUCT FOR EMPLOYEES

ARTICLE I. COVERAGE. This Code of Conduct and Ethical Standards for Employees shall be applied and enforced uniformly and impartially to all employees of UPLBCDC, regardless of rank and position. All employees are, therefore, required to read this Code and understand its principles, purposes and objectives; abide by its rules and regulations and cooperate with UPLBCDC in its implementation in order to achieve efficiency, effectiveness, harmony and synergy for the good of all.

ARTICLE II. ETHICAL STANDARDS FOR EMPLOYEES.

Every employee as a Cooperative member of UPLBCDC is expected to:

1. Be loyal to UPLBCDC, the membership, and the causes for which this organization exists. He must protect at all times its interest by conducting business affairs and work performance above board. Fairness, honesty and good faith must characterize his actions in the performance of his work and his dealings with the members and the public.
2. Protect with zeal and caution confidential knowledge or privilege communications obtained during his tenure at UPLBCDC and afterwards relating to data on services, business strategies, processes, systems or other important or relevant information.
3. Engage only in such private activities or businesses that are not diametrically opposed to the business interest of the UPLBCDC.
4. Exercise utmost discretion in accepting personal favors or gifts from individuals or entities seeking or doing business with UPLBCDC and refuse any gifts or favors which may be considered as bribe.
5. Seek clearance from Management prior to engaging in outside work or assuming simultaneous positions in other companies.

6. Behave in a manner befitting a gentleman or a lady. Extend to members and fellow employees all the courtesies and considerations and support needed.
7. Always strive to achieve pro-active win/win rather than selfish solutions to problems and situations.
8. Observe/Adhere to/Implement office rules and regulations, procedures and schedules for efficiency and expediency of service.
9. Provide efficient, expedient and non-discriminatory or preferential treatment to all.
10. Perform efficient service based on the precept of accountability, transparency, responsibility and liability commensurate to just remuneration and incentive.

ARTICLE III. ADMINISTRATION AND ENFORCEMENT OF THIS CODE OF CONDUCT FOR EMPLOYEES

All penalties provided in this Code of Conduct for Employees shall be imposed in writing by the Manager, as recommended by the Section Chief concerned, after a careful review of the case. When the penalty to be imposed is suspension exceeding five (5) working days or dismissal, the action shall require approval of the Board of Directors.

All records pertaining to offenses and penalties shall be kept in the employee's 201 File.

ARTICLE IV. GUIDELINES ON DISCIPLINARY ACTION

Section 1. *Aggravating Circumstances.* Aggravating circumstances are those that tend to increase the seriousness/gravity of the offense and merit a higher degree of disciplinary action. The presence of any of the following circumstances will aggravate the infraction:

- Employee has been guilty of multiple or habitual infraction.
- Employee has caused the UPLBCDC or the membership great damage or loss.
- Employee was motivated by a reward or a promise of a reward in the commission of the offense.
- Employee has benefited from the offense.
- Employee occupies a position of trust and confidence such as those entrusted with safeguarding UPLBCDC funds and property.
- Employee has a very poor performance record.
- Employee is under the influence of drugs or alcohol when he committed the offense.
- Employee has taken advantage of emergency situations.
- Employee has premeditated the commission of the offense, and
- Employee has imposed his position upon a subordinate to commit an offense.

Section 2. *Mitigating Circumstances.* Mitigating circumstances are those that tend to lessen the seriousness/gravity of the offense and merit a lower degree of disciplinary action. The presence of any of the following circumstances will mitigate the infraction:

- Employee has been in the service of UPLBCDC for five (5) years without any violation.
- Employee has a very satisfactory performance record for the past two rating periods.
- Employee has not caused substantial damage or loss.
- Employee did not benefit from the offense.
- Employee admitted the offense spontaneously.
- Employee did not have the intent to defraud.
- Employee erred in his judgment (mistake of the mind rather than a mistake of the heart).

- Employee followed a questionable order of a superior or under threat, intimidation or duress, and
- Employee was provoked to commit the offense.

Section 3. *Rule Where Two or More Circumstances are Present.* Every additional mitigating circumstance shall serve to decrease the penalty to the next lower degree while every additional aggravating circumstance shall serve to increase the penalty to the next higher degree; provided however, that the penalty imposed for the infraction under the Table of Penalties shall in no case be exceeded.

Article V. PROCEDURES ON DISCIPLINARY ACTION

The Manager shall be responsible to the Board of Directors for the implementation of the policy on discipline by applying the following procedures:

Section 1. *Form of Complaint.* All complaints shall be in writing duly signed by the complainant under oath specifying the person/s involved, the act/s committed and other relevant circumstances.

Section 2. *Filing of Complaint.* The complaint shall be filed with the Administrative Officer who, upon receipt shall submit the same to the Board for action.

Section 3. *Board Action.* Within three (3) days from receipt of the complaint, the Chairman of the Board shall call a special meeting to discuss the merit/s of the complaint. If the complaint is behavioral in nature, such complaint shall be referred to the Mediation and Conciliation Committee.

If the complaint is administrative in nature involving grave and less grave offenses, the Board shall create the Administrative Action Committee (AAC) whose members shall be drawn from the Hearing Pool. Correspondingly, both parties shall be notified of the Board's action.

Section 4. A complaint is administrative in nature if it involves a violation of the UPLBCDC Articles of Cooperation and By-Laws, policies, rules and regulations, guidelines, CDA directives, RA 9520 and other Coop laws. All other complaints shall be considered behavioral in nature.

Section 5. All complaints against the Manager and the supervisors shall be acted upon by the Board of Directors.

Section 6. Complaints between and among employees that are behavioral in nature shall be resolved at their own level before referring the same to the Board of Directors for appropriate action.

Section 7. *Investigating an Offense.* The immediate superior of an erring employee acts as investigator. He must begin administrative investigation as soon as possible and not later than five (5) days from the time he has knowledge of the offense.

He shall give a written notice to the employee clearly informing him of the infraction charged against him and of the date, time and place of the investigation. All proceedings of the investigation shall be recorded in writing and properly filed.

He shall inform the Manager of the investigation and seek assistance if necessary.

In the course of the investigation, the following procedure shall be followed:

- The investigator presents the charge to the employee and asks if he admits committing the offense. If he admits, the investigation may be considered closed and the appropriate disciplinary action adopted.

- If he denies the offense, the investigator and then the employee's representative question him further.
- The investigator and the employee or his representative in turn presents their witness (es). After the testimony of each witness, the opposing party or his representative may ask further questions.
- The investigator may then present further evidence or witnesses only on new matters raised by the employee.
- The Manager, through the investigator; or the Board of Directors, through the Manager, as the case may be, must notify the employee of the decision as soon as possible, and not later than thirty (30) days from the end of the investigation.

Section 8. Exceptions. The foregoing procedure does not apply when the charge is absence without permission or tardiness. In the case of absence without permission or tardiness, it is sufficient that the employee is given the opportunity to explain his side in writing.

To ensure neutrality, objectivity and impartiality, no immediate supervisor may act as investigator if he is a witness to the offense; if he is involved in the case, or if he is personally related to the one under investigation. In such circumstances, the next higher level of management shall act as investigator.

An investigator may confine the employee to a particular work area to ensure his availability for administrative investigation. This is not a form of disciplinary action but a step prior to or during the investigation proper.

The Manager, particularly where the applicable penalty is suspension for more than five (5) days or dismissal, or if the case is complicated, or the impartiality of the supervisor is doubtful or questioned shall endorse the case to the Board of Directors for appropriate action.

Section 9. Determining Disciplinary Action. To determine appropriate disciplinary action to be adopted, the investigator shall perform the following:

Determine and gather all pertinent information regarding the case.

Evaluate all facts of the case and all relevant information including the employee's point of view.

Apply disciplinary action taking into account aggravating and mitigating circumstances and the Table of Penalties. The disciplinary action(s) in the table are the maximum prescribed.

Section 10. Imposition of Preventive Suspension. Preventive suspension is not a punishment or penalty but is considered as a preventive measure. Preventive suspension as a measure is imposed to give the respondent the opportunity to defend himself. Preventive suspension shall be imposed as follows:

- For grave or serious offenses or for offenses with corresponding penalty of suspension for more than five (5) working days.
- For non-supervisory personnel, it shall be imposed by the Manager; for supervisory personnel or section heads and the manager, it shall be imposed by the Board of Directors.
- During the preventive suspension, the employee shall not be allowed to receive his salary and

other benefits. If found innocent, he shall be paid all salaries and benefits due him. In case of conviction, the appropriate penalty shall be imposed and all salaries and benefits due shall be forfeited.

- Any action to contest the preventive suspension shall be addressed to and acted upon by the Board of Directors.

ARTICLE VI. OFFICE RULES AND REGULATIONS

Section 1. Work Schedule

SERVICE is UPLBCDC business. Employees are expected to work 40 hours per week. Work day starts on Monday and ends on Friday. Changes or deviations in the work schedules may occur when necessary and cannot be avoided due to certain causes such as leave of absence, business exigencies and emergencies.

It is necessary for the immediate supervisor to know the employees' whereabouts during working time. All employees shall remain in their respective places of assignment unless their specific task requires them to go to other sections.

Section 2. Meal Breaks

As a general rule, meal break is for one hour. In cases where continuous working hours have to be maintained and employees cannot go on meal breaks all at one time, the department head or supervisor may schedule a staggered meal break for employees in his department.

Section 3. Coffee Breaks

Employees are granted a 15-minute coffee break in the morning and another 15 minutes in the afternoon at schedules prepared by the supervisor or department head.

Section 4. Time Records and Time Cards

Time records and time cards are more than a legal requirement. Keeping of an accurate time record is necessary in the computation of hours and the salary due to every employee. Every employee except those exempted by the BOD should therefore see to it that his time entries are always accurate. For employees on a project basis as well as those who are on the field, the time record shall be in the form of a Project Time Utilization Report (PTUR).

Section 5. Attendance and Punctuality

By maintaining an excellent attendance rate, our cooperative can operate with a fewer people at a lower cost to the benefit of the entire membership. It is therefore important for all employees, whether he punches a time card or not, to be in his office or designated workplace. The following rules shall be followed and observed by all employees.

Section 6. Absenteeism

1. Unnecessary and unauthorized absences must be avoided. If it is necessary for the employee to be absent from work, he must secure prior permission from his superior (e.g. Supervisor, Manager) at least one day in advance and accomplish an Application For Leave of Absence form for approval.
2. Any unauthorized absence shall be considered as absence without leave (AWOL) and the employee shall not receive any pay for the day(s) he has been on AWOL and his absence not

be allowed to be charged against his vacation leave credits. Every AWOL of an employee shall be considered in his periodic performance appraisal and shall be reflected in his 201 file.

3. Should an employee fail to secure prior permission to be absent due to some emergency, illness, accident or other compelling reasons, he must inform his superior (e.g. supervisor, manager) as soon as possible but not later than one (1) hour after the start of his work schedule through telephone, telegram, or message sent through another person. Upon his return to work, he must explain the cause of his absence and fill up the appropriate request for leave form. In the event that an employee cannot contact any of his superiors, notice of his inability to report for work must be communicated to the personnel officer.

Section 7. Tardiness

1. Tardiness is disrespect for your co-workers' and other people's time. It delays result, causes loss of precious time, and upsets the overall schedule of operation. That is why working at UPLBCDC starts at a fixed and specified time and all employees are expected to be at their working place/station on the designated time.
2. Any employee who is late without valid reason for more than three (3) times in a given month or anyone who incurs an aggregate of more than thirty (30) minutes in the same period will be subjected to disciplinary action as herein provided.
3. An employee's tardiness record shall be considered in his periodic performance appraisal and shall be reflected in his 201 file.
4. Tardiness during typhoons, floods, general transport strike or inclement weather may be excused as determined by the Manager.
5. Tardiness shall be deducted proportionally from the employee's salary.

Section 8. Undertime

Undertime means abandonment of work for a particular work day or shift earlier than the specified quitting time. Like tardiness, undertime is a violation of these rules. Should undertime be unavoidable and necessary in the judgment of management, an employee may be given the permission upon prior written request for request to undertime and only upon approval of his superior. Undertime should be deducted from the salary of the employee while unauthorized undertime shall be noted down in the employee's 201 file for the purposes of disciplinary action and evaluation of the employee's performance.

Section 9. Malingering

Sick leave privileges are provided by UPLBCDC to all employees who are actually ill. Malingering therefore is not encouraged for being dishonest and counter productive. Sick leave with pay shall be given to qualified employees provided that he notifies his immediate superior of his inability to come to work due to illness within the first day of his absence. Failure on his part to give the proper notification shall be considered absence without leave (AWOL) and no payment of sick leave benefit shall be made.

Upon his return to work, the employee must secure and present a medical certificate from his attending physician for sickness which lasted five (5) days or more.

UPLBCDC likewise is not precluded to conduct home visit to verify reports of inability of employees to report for work on account of sickness.

Section 10. Overtime

Under certain circumstances and where work can not be completed during ordinary working days, an employee may be asked to render overtime work.

Rendering of overtime work shall be authorized/approved by the management and shall be paid additional premium required by law.

Section 11. Employees Work Duties and Responsibilities

Every employee is expected to render a "fair day's work" for a "fair day's pay". UPLBCDC employed him because of his qualifications for his job, it is therefore his responsibility to discharge the various duties and functions of his job efficiently and to the best of his ability.

It is also expected to follow instructions and orders of superiors and to always ensure that his work is not neglected or abandoned. Gross and habitual neglect of one's duties as well as willful disobedience to orders of his superior are just causes for disciplinary action and/or dismissal from employment.

An employee is not supposed to loiter around during office hours or leave his working place to attend to personal matters without first securing permission from his superior. He should also refrain from interfering with or disturbing his co-employees at work.

Because our coop is seen by the public through the image the employees project, every employee is expected to wear the prescribed uniform/working attire and the proper grooming and professional appearance.

Section 12. Relationship with Superiors and Co-Employees

Every employee is expected to give due respect and courtesy to his superiors by recognizing their authority as members of our coop's supervisory or managerial staff or volunteer officers. He is also expected to get along with his co-employees by following simple rules of courtesy and proper office decorum. In order to maintain and preserve goodwill and excellent relationships with those he works with everyday, an employee shall not:

- a. Quarrel with his co-employee nor engage him in a fight within UPLB premises at any time. Any conflict or misunderstanding should always be settled in a peaceful pro-active manner. Should an employee be unable to resolve his differences with his co-employee, he should always refer the matter to his superiors.
- b. Threaten, intimidate or coerce his co-employee or interfere with his work. He should avoid using profane, obscene or abusive language.
- c. Engage his superior in an unnecessary exchange of invectives, unpleasant and harsh remarks or violent confrontation. If he should have certain differences with his immediate superior, he should bring this to the attention of higher authority.
- d. Forget that serious misconduct by any employee shall be a valid cause for disciplinary action and/or dismissal from employment.

Section 13. Trust and Confidence

The relationship between the cooperative and its employees regardless of rank and position is of necessity founded on mutual trust and confidence. The act of UPLBCDC in hiring the employee is a clear demonstration of management's faith in his honesty, integrity and trustworthiness. When an employee commits an act of dishonesty or breach of trust, he gives cause to the organization to lose trust and confidence in him and justifies his termination from employment. Therefore it is incumbent upon every UPLBCDC employee not to destroy this trust and confidence reposed upon him by the cooperative by

committing any act of dishonesty and fraud, falsification or other acts inimical to the interest of UPLBCDC and the general membership.

Section 14. Preservation of UPLBCDC's Assets

Every officer or employee to whom any property, equipment or furniture of the UPLBCDC is assigned for safekeeping or use shall take care of it as if it were his own. Upon receipt of such property, he shall acknowledge such receipt by signing the space in the property control register across the particular property is issued. Such signature, as stated in the property control register, shall be understood to mean:

1. The receipt of the property in good working condition;
2. The acceptance of accountability for the property;
3. A commitment on his part for his responsibility and answerability for all deterioration other than normal wear and tear, for all losses/damages other than those arising from force majeure or fortuitous events, and for all losses/damages caused by his negligence or fault;
4. A commitment on his part to take good care of the property;
5. An undertaking on his part to report promptly all losses/damages/deterioration or need for check-up, repair or maintenance; and
6. A promise to return the property when no longer needed or in use or when another has been appointed or elected to take his place.

Every employee shall also apply the same degree of care and responsibility for any other property handled even if not assigned to him.

Section 15. Security and Order

It is the coop's concern to protect all employees, their property and possessions while they are at work. To ensure that this objective is met, reasonable security procedures that provide optimum protection with minimal amount of inconveniences to the employees are adopted. These procedures may include routing frisking, inspection of bags, attaché cases, and/or parcels/packages before coming in or going out of UPLBCDC. No person will be allowed to take away documents, parcels or other property from the coop without the proper authorization. Any employee who refuses to be frisked or have his belongings inspected shall be meted out disciplinary action as herein provided.

Likewise, to maintain security and order, the following acts are strictly prohibited inside the UPLBCDC premises at all times and non-observance or violation thereof shall be subject to corresponding corrective measures.

1. Carrying of firearms and/or other deadly weapons whether licensed or not inside UPLB premises. In case of licensed firearm(s), the employee shall deposit his firearm to the security detachment before entering UPLBCDC premises;
2. Drinking liquor or taking prohibited drugs or entering the UPLBCDC premises while drunk or under the influence of liquor or prohibited drugs;
3. Gambling, including solicitations and/or collection of bills inside UPLBCDC premises;
4. Staying within the UPLBCDC premises beyond regular office hours unless authorized in writing to do so;

5. Non-wearing of UPLBCDC Identification Cards within UPLBCDC;
6. Taking out of UPLBCDC property (ies) without prior documentation/authorization.

Section 17. Transfers and Reassignments

UPLBCDC management, in consultation with officers and/or employees concerned, has the prerogative to transfer an employee from one work location to another including transfers from one responsibility center, unit or team to another, or from one work assignment to another as may be deemed necessary in the exigencies of the service. Refusal to comply with instructions of management regarding transfers and reassignment shall be considered serious disobedience to orders.

In the exercise of such prerogative, the following consideration shall be taken into account:

1. The transfer will be effected such that the qualifications, skills, and training of the employee are put to more effective use.
2. The transfer will encourage a reasonable increase in the flexibility and competence of key employees.
3. The transfer will meet operational needs like retrenchment, contraction or expansion of operations and specific requirement of a particular job.
4. Those arising from the temporary absenteeism of an employee because of vacation leave, sick leave, and the like; and
5. Those required to meet unusually peak loads in one department.

Section 18. Human Relations

It is the policy of UPLBCDC that all staff and employees should enjoy a work atmosphere free from all forms of discrimination, intrigue and harassment. Employees in accepting to work with coop are expected to be effective and efficient in their work and management, in return, is expected to promote a happy family atmosphere. Engaging in activities which are disruptive of coop operations and productive interrelationships, such as gossiping, intriguing against honor and selling personal goods inside company premises are strictly prohibited. On the other hand, sexual harassment infringes on an employee's right to a comfortable working environment and undermines the integrity of the employment relationship. No employee therefore, male or female, should be subjected to unsolicited and unwelcome sexual overtures, whether verbal or physical.

ARTICLE VII. EMPLOYEES OFFENSES AND DISCIPLINARY ACTIONS

Section 1. Table of Penalties. The following are the types of offenses and the corresponding disciplinary actions:

TYPES OF OFFENSES	CATEGORY	DISCIPLINARY ACTION
Type A	Light Offenses	
	First Infraction	Written reprimand to suspension of two (2) working days
	Second Infraction	Suspension of three (3) to five (5) working days

	Third Infraction	Suspension of six (6) to fourteen (14) working days
	Fourth Infraction	Suspension of fifteen (15) working days or dismissal
Type B	Less Grave Offenses	
	First Infraction	Suspension of ten (10) to fourteen (14) working days
	Second Infraction	Suspension of fifteen (15) to thirty(30) working days or dismissal
Type C	Grave Offense	Dismissal

All penalties of suspension shall be without pay.

Where the offense committed resulted in the loss of any amount to the UPLBCDC, said amount shall be refunded plus reasonable interest.

Section 2. Multiple and Simultaneous Offenses. In case an employee commits two or more offenses simultaneously on one occasion, he shall receive the corresponding penalties for each offense.

1. Any employee who has been issued a written warning for five (5) time within one (1) calendar year for various offenses shall be dismissed from the employment and membership
2. Any employee who commits subsequent offense(s) after suspensions for three (3) times in one (1) calendar year shall similarly be dismissed. An aggregate of three (3) suspensions given to an employee within the calendar year, regardless of the nature of the violations of the Code and number of days of suspension involved warrants dismissal after any subsequent offense within the period covered.

Section 3. Dishonesty and other Immoral Acts

- a. Theft or robbery from the UPLBCDC, from other employees or from members or customers. (C)
- b. Falsification of UPLBCDC reports, vouchers, checks, receipts, time records or other personnel records. (C)
- c. Indecent or immoral conduct within the premises regardless of whether or not within office hours. (C)
- d. Misuse, defacement, or damaging of any property of the UPLBCDC or of co-employees or members. (C)
- e. Removal or destruction of schedules, signs, rules and regulations, notices, letters, announcements or other such materials posted by management on the Bulletin Board for the information and/or guidance of the employees or members. (A)
- f. Making of false or malicious statements concerning the good name of UPLBCDC officials and products, or revealing, or giving out, without authority confidential information concerning operations or trade secrets of the UPLBCDC. (C)
- g. Fraudulent statements of any nature in applications for employment, or any official

document submitted to UPLBCDC are strictly prohibited and are punishable by suspension or dismissal as the case may be depending on the circumstance of the violation. (C)

- h. Any participation in the commission of the offenses outlined in the preceding sections. (A)
- i. Engaging in operations that are competitive with UPLBCDC. (C)
- j. Using Coop time, premises, vehicles, tools, equipment, or materials for personal benefit or business or buying or selling personal goods inside Coop premises. (A)
- k. Unauthorized possession or use of any UPLBCDC property, equipment or materials. (C)
- l. Unauthorized possession of master key or duplicate key which can open Coop Lockers, drawers, desks, cabinets, rooms or offices. (C)
- m. Unauthorized acceptance, directly or indirectly, of any sum of money, commission, offer or promises, in consideration of any act, decision or service connected with the performance of the employee's duties. (C)
- n. Entering into arrangement with suppliers or members/customers to obtain "kickbacks" or other preferential treatment. (C)
- o. Entering into arrangement with member(s) to obtain, partially or fully, loan proceeds for himself. (C)
- p. Engaging in any immoral practices or offering to members or customers or co-employees services which are immoral in nature or engaging in any conduct which violates morality. (C)
- q. Padding chits or invoices, deliberate overcharging, using paid invoice belonging to other members/customers, using unauthorized invoices, and other similar acts of dishonesty. (C)

Section 4. Criminality.

- a. Conviction by final judgment of any criminal offense under the law.(C)
- b. Possession of prohibited drugs or intoxicating liquor inside the premises; using or consuming prohibited drugs or liquor while on the job or reporting for duty under the influence of prohibited drugs or liquor.(C)
- c. Possession, directly or indirectly, of firearms, explosives or other deadly weapons such knives, darts, bolos, balisongs, and the like unless with prior management consent and as required by the nature of the job.(C)
- d. Attempting to bring firearms or explosives or deadly weapons into the premises or work area. (C)
- e. Committing any act of sabotage on the UPLBCDC, its members, properties, and/or services.(C)

Section 5. Destroying Goodwill and Violating Orderliness

- a. Insulting, threatening, or fighting with a member or co-employee within Coop premises or during working hours.(C)

- b. All employees are required to be respectful, courteous, and civil to UPLBCDC members and guests. The management highly expects every employee to treat them as Very Important Persons (VIPs). Use, therefore, of disrespectful, offensive, or scurrilous or obscene language in addressing or speaking or quarreling with them is strictly prohibited. (C)
- c. Failure to cooperate in harmony with other employees or making false, vicious or malicious statements regarding other employees or use of profane or obscene language in addressing other employees. (A)
- d. Smoking is strictly prohibited inside the UPLBCDC building. (B)
- e. Drinking of liquor (including beer) during working hours in the Coop premises is strictly prohibited except during Coop authorized functions. (C)
- f. Reporting for work or performing work under the influence of liquor.(C)
- g. Encouraging, coercing, bribing or otherwise inducing any employee to engage in any practice in violation of these rules. (C)
- h. Solicitation. (Employees should not, without permission of management, solicit, for any purpose, before, during or after working time in the Coop premises. (A)
- i. Violation of health and safety rules and regulations or common safety practices, or jeopardizing, through negligence or carelessness, the safety of another person or placing the Coop or member's property in jeopardy, damage or loss. (A)
- j. Failure to immediately report a personal injury or property destruction or damage occurring within the premises. (A)
- k. Poor housekeeping (dirty or disorderly workplace), or littering, or spitting in the UPLBCDC premises or improper use of comfort rooms or lavatories. (A)
- l. Failure to be personally clean, properly attired and groomed. (A)
- m. Refusal to serve members who ask for service , making false or malicious statements regarding members/visitors, using discourteous or obscene language in addressing members/visitors. (C)
- n. Making malicious, derogatory or false statements regarding the good name of UPLBCDC and its services. (C)
- o. Giving false testimony to any investigation or inquiry conducted in relation to incidents within UPLBCDC and affecting UPLBCDC interests. (C)
- p. Performing work in the UPLBCDC premises other than the officially assigned duties. (All work performed at Coop time or in Coop premises must be for the benefit of the same, unless otherwise authorized). (A)
- q. Wasteful use of power, resources or supplies. (Example, unnecessary lights and running water from taps that are not being used must be turned off. Supplies such as paper napkins, ball pens, clips, etc. must not be used wastefully and unnecessarily). (A)
- r. Entering the storeroom or other restricted areas without authority. (A)
- s. Failure to wear the proper uniform prescribed by management. (A)

- t. Failure to issue receipts for every collection from members/customers.(C)
- u. Failure to comply with any memorandum which is necessary to properly implement any mandatory provision of this Code. (B)

Section 6. Disturbing Peace and Order

- a. Fighting in the UPLBCDC compound. This offense includes provoking or instigating, threatening, intimidating coercing another employee within the premises. (C)
- b. Refusal to leave his place of work or the premises when required to do so by his supervisor or another Coop officer as disciplinary measure. (C)
- c. Engaging in horseplay, running, scuffling or throwing things while working or while in the premises. (A)
- d. Refusal to comply with or evasion of security requirements. (B)
- e. Gambling or collecting bets for jueteng, lotto, lotteries and the like within the premises. (A)

Section 7. Offenses Against UPLBCDC Management and Supervisory Personnel

- a. Unauthorized disclosure of confidential information concerning UPLBCDC. (C)
- b. Threatening, intimidating, assaulting, coercing or challenging any member of the Coop to a fight or insulting any member of management or any supervisor. (C)
- c. Use of disrespectful, impolite or insulting, obscene language in addressing or speaking with members, supervisors or Coop officers. (B)
- d. Insubordination, like:
 - Refusing to cooperate with supervisor, manager, or duly authorized officer. (B)
 - Refusing to accept work, change of shift or work locations assigned by a supervisor or the management, or refusal to otherwise cooperate with management. (C)
 - Refusing to acknowledge receipt of penalty slips or memorandum. (C)
- e. Working overtime without permission of the supervisor or superior officer. (The employee shall receive no pay for such unauthorized work). (A)
- f. Undertaking sideline and part time jobs during office hours, unless reported and approved in writing by the management. (the employee concerned will be asked to give up either job or face the prospect of dismissal from UPLBCDC. (C)
- g. Refusal or deliberate failure to disseminate Coop policies, work rules, procedures, standards, and the like by an employee charged to do so. (C)
- h. Failure of a supervisor or employee who has knowledge of any violation of this Code to take steps to prevent or to report the same. (C)

Section 8. Violation of Coop Laws, Policies, Rules and Regulations

- a. Violation of CDA and other government regulatory agency directives and administrative issuances. (C)

- b. Violation of UPLBCDC Articles of cooperation and By-Laws, policies, Guidelines, rules and regulations issued by the Board of Directors and/or the General Assembly. (C)

Section 9. Inefficiency, Negligence and Violation of Work Standards

- a. Gross negligence and/or gross inefficiency which results in injuries to persons or losses and damages. (B)
- b. Negligence and/or inefficiency causing damage or loss to the Coop of P500 or less. (A); P501 to P1000 (B); more than P1000 (C)
- c. Failure to meet performance targets for three consecutive rating periods. (C)
- d. Violations of rules on attendance shall be penalized as follows:

Unexcused Absences:

No. of times absent /month:

- 1 to 2 (A)
- 3 to 4 (B)
- 5 and above (C)

- e. Violations of rules on punctuality within the calendar year shall be penalized as follows:

Tardiness of:

More than 30 Mins/mo. or	: 1 st offense	Corrective interview and warning
	: 2 nd offense	Written reprimand
4-6 times/mo.	: 3 rd offense	5 working days suspension*
	: 4 th offense	15 working days suspension*
	: 5 th offense	Dismissal
7-9 times/mo.	: 1 st offense	5 working days suspension*
	: 2 nd offense	10 working days suspension*
	: 3 rd offense	15 working days suspension*
	: 4 th offense	Dismissal
10 times or more/mo.	: 1 st offense	7 working days suspension*
	: 2 nd offense	15 working days suspension*
	: 3 rd offense	30 working days suspension*
	: 4 th offense	Dismissal

** All penalties of suspension shall be without pay*

- f. Loitering, loafing, lingering, and the like. (A)
- g. Reading or eating while on duty. (Reading materials pertaining to an employee's work or of materials provided by UPLBCDC are excluded from this rule. (A)
- h. Sleeping while on tour of duty. (A)
- i. Failure to punch IN or OUT on the time card/record before and after work. (A)
- j. Failure, without valid reason, to submit DTR for signature. (A)

- k. Deliberately timing in/out on the time card/record book for another employee; or unauthorized altering of time card. (C)
- l. Deliberately slowing down, hindering or limiting pf work output. (C)
- m. Loitering within the UPLBCDC premises (wasting time or leaving place of work during working hours) without permission from the supervisor. (A)
- n. Reporting for work with a serious or communicable disease which may endanger other employee's health. (B)
- o. Failure to report for overtime work after having been duly advised and scheduled to work without good reason; or working overtime or staying after office hours without authorization. (A)
- p. Failure to follow instruction of superior in connection with his work. (B)
- q. Malingering or feigning illness to avoid assigned work. (C)
- r. Failure to comply with prescribed procedures relative to borrowing/withdrawal of UPLBCDC-owned properties or other properties for which the Coop may be held liable for damage or losses. (C)
- s. Reckless misuse of Coop equipment including reckless driving of Coop vehicles. (C)
- t. Tampering with, taking down or removing from designated location fire extinguishers/equipments, or sounding false fire or other alarm. (C)

CHAPTER III. MISCELLANEOUS AND FINAL PROVISIONS

Article I. Miscellaneous Provisions

Section I. Amendment. This Code may be amended by a majority vote of the members of the Board of Directors.

ARTICLE II. EFFECTIVITY. This Code shall take effect upon approval by the Board of Directors and ratification of the General Assembly

Article III. Separability Clause. If any of the provisions of this Code is declared invalid by a competent court, the other provisions shall remain in force.

Article IV. Repealing and Amending Clause. All Board resolutions, rules and regulations, guidelines and practices which are inconsistent with any of the provisions of this Code are hereby repealed or amended accordingly.