

Republic of the Philippines
DEPARTMENT OF LABOR AND EMPLOYMENT
 Regional Office No. _____



Labor Laws Compliance Assessment Checklist

Authority No. _____
 Date of First Assessment _____
 Date of Follow-up Assessment _____

Instructions: This checklist shall be accomplished by the Labor Laws Compliance Officer (LLCO) with the participation of the duly authorized representative of employer and worker. Please put a check (✓) mark in the appropriate column to indicate compliance with labor standards.

Part I GENERAL INFORMATION

Name of Establishment				<input type="checkbox"/> Head Office <input type="checkbox"/> Branch	Address (Barangay - City/Municipality - Province - FO - Region) <input type="checkbox"/> within economic zone			GEO Code
Owner/President/Manager				<input type="checkbox"/> Registered in PJN <input type="checkbox"/> Vacancies Posted in PJN	Kind of Business/Economic Activity/Principal Product			PSIC Code
Contact No/s.		Email Address:		Kind of Ownership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Cooperative				
Age Group	Female	Male	Total	No. of Shifts: _____	Authorized Capitalization/Paid-up Capital (As of the latest date of audit)			
below 15				Schedules	Total Assets (as of the latest date of audit)			<input type="checkbox"/> BMBE
15-17 yrs				No. of Workers/Shift	Status:			
18-24 yrs					<input type="checkbox"/> Open <input type="checkbox"/> Cannot be Located <input type="checkbox"/> Others			
25-59 yrs					<input type="checkbox"/> Closed <input type="checkbox"/> Moved Out			
60-65 yrs					Special Industry			
TOTAL					<input type="checkbox"/> Check if the establishment is Contractor/Subcontractor			
No. of Regular:	No. of Managerial:			<input type="checkbox"/> Construction <input type="checkbox"/> Janitorial Agency				
No. of Probationary:	No. of Supervisory:			<input type="checkbox"/> Security Agency <input type="checkbox"/> Service Provider				
No. of Fixed-Term:	No. of Rank and File:			<input type="checkbox"/> Recruitment Agency <input type="checkbox"/> PRPA: <input type="checkbox"/> BPO				
No. of Casual:	TOTAL:			<input type="checkbox"/> Manning Agency <input type="checkbox"/> Industry <input type="checkbox"/> Educational Institution				
No. of Regular-Seasonal:				<input type="checkbox"/> Bus Company <input type="checkbox"/> Domestic				
No. of Contractors' employees deployed:				<input type="checkbox"/> Sugar Mill <input type="checkbox"/> Biofuel Plant <input type="checkbox"/> Coco-Diesel				
Special Workers	No. of Learners:			<input type="checkbox"/> Sugar Planters' Association <input type="checkbox"/> Sugarcane				
No. of PWDs:	No. of Trainees under DTS:			<input type="checkbox"/> Sugar Planters' Cooperative <input type="checkbox"/> Molasses-Based				
No. of Aliens Employed:	No. of Trainees under DTP:							
No. of Bus Drivers:	No. of SPES Beneficiaries:							
No. of Conductors:	No. of Job Start Beneficiaries:							
No. of Apprentices:	No. of Trainees under YE-YE:							
No. of Unions: _____								

Name of Union	Local or Independent? (L or I?)	SEBA (Y or N?)	Supervisory or Rank-and-File (S or R?)	No. of Members
1				
2				
3				

with Collective Bargaining Agreement:
 Yes No

No. of Contractors engaged: _____	Name of Contractors:	Office Address	Registered?		No. of employees deployed to Principal
			Yes	No	

No. of Principal Employers: _____	Name of Principal Employers:	Office Address	No. of employees deployed to Principal

Productivity or Performance-Based Pay Schemes, if any
 monetary

Facilities Provided
 meals lodging Others, specify _____

Type of Workplace:
 Non-hazardous Hazardous Highly-hazardous

Type of Visit:
 Joint Assessment Compliance Visit OSHS Investigation SAVE
 1st assessment from SEaA Referral Imminent Danger Disabling Injury
 Follow-up assessment Complaint Filed Dangerous Occurrence Plain View

Date of Last Assessment/Visit/Investigation: _____ Name of Employer's Representative: _____ Name of Employees' Representative: _____

Part II-A.1 GENERAL LABOR STANDARDS COMPLIANCE INDICATORS												
COMPLIANCE INDICATORS	1st assessment						Follow-up assessment					
	Complying			Required Correction			Corrected					
	YES	NO	N/A	Amount	Workers Involved		Schedule of Correction	YES	NO	Date	Workers Benefited	
					Total	F					Total	F
Remarks/ Status												
Access Pursuant to Art.128 of LCP												
Records Keeping (<i>Employment records e.g. payrolls, DTR kept at workplace for at least 3 yrs.</i>)												
Minimum Wage												
Basic Wage Pay												
Cost of Living Allowance (COLA), if applicable												
Facility Evaluation Order, if applicable												
Piece Rate/Production Standard Order, if applicable												
Time of Payment of Wages (<i>wages shall be paid not less than once every 2 weeks or twice a month at intervals not exceeding 16 days</i>)												
Meal Period (<i>not less than one hour time-off for regular meals, which is not compensable. Shorter meal period of not less than 20 minutes may be given provided that it is credited as compensable hours of work and subject to certain conditions</i>)												
Night Shift Differential pay (<i>not less than 10% of regular wage for each hour of work performed between 10pm - 6am</i>)												
Overtime Pay (<i>additional 25% of hourly rate for work performed on ordinary day; additional 30% for rest day, special or regular holiday</i>)												
Weekly Rest Periods (<i>not less than 24 consecutive hours after every six (6) consecutive normal workdays</i>)												
Holiday Pay (<i>with pay even if unworked; work on regular holiday shall be paid additional 100% of daily rate; work on regular holiday falling on employee rest day shall be paid 200% plus 30% thereof</i>)												
Premium Pay for Special Day (<i>no work no pay; work on special days shall be paid regular wage plus at least 30%; special day work falling on employee's scheduled rest day shall be paid additional 50% of daily rate</i>)												
Premium Pay for Rest Day (<i>additional 30% of daily rate for work performed on rest days; additional 50% for work performed on a rest day which is also a special day; additional 30% of the regular holiday rate of 200%</i>)												
Service Charge (<i>collected by most hotels, restaurants and similar establishments. 85% shall be distributed equally among the rank-and-file employees and 15% for management to answer for losses and breakages and for distribution to managerial employees at the discretion of management.</i>)												
Service Incentive Leave pay (<i>five days with pay per year for those with at least one year of service; commutable to its money equivalent if not used within one year</i>)												
Non-Interference in the Disposal of Wages and Allowable Deductions (Art. 113-115 of the LCP and Labor Advisory No. 11, S.2014)												
13th Month Pay (P.D. 851) (<i>not less than 1/12 of total basic salary earned within calendar year. Does not include COLA and other benefits not integrated as part of basic salary. To be paid not later than 24 December of each year.</i>)												
Separation Pay (<i>where termination is due to authorized causes-Art. 283 & 284 of LCP</i>)												

Part II-A.1 GENERAL LABOR STANDARDS COMPLIANCE INDICATORS													
General Labor Standards (GLS)	1st assessment						Follow-up assessment						
	Complying			Required Correction			Corrected						
	YES	NO	N/A	Amount	Workers Involved		Schedule of Correction	YES	NO	Date	Workers Benefited		Remarks/ Status
					Total	F					Total	F	
Retirement Pay (R.A. 7641/R.A. 8558) (<i>distinct and separate from SSS benefits</i>) <i>Optional - age 60 but not more than 65 & 5 years of service, Compulsory - age 65 & 5 years of service</i>													
Maternity Leave (R.A. 8282) (<i>60 days for normal delivery/ 78 days for cesarian section; benefit for first 4 deliveries, abortion/miscarriage</i>)													
Paternity Leave (R.A. 8187) (<i>seven days with pay including allowance for the first 4 deliveries; not convertible to cash</i>)													
Parental Leave for Solo Parent (R.A. 8972) (<i>not more than 7 working days every year</i>)													
Leave for Victims of Violence Against Women and their Children (R.A. 9262) (<i>10 days with full pay</i>)													
Special Leave for Women (R.A. 9710) (<i>2 months of leave with full pay based on her gross monthly compensation due to gynecological disorder surgery</i>)													
Social Security Act of 1997 (R.A.8282 as amended) <i>Registration and Remittance</i>													
Coverage													
Remittance													
Home Development Mutual Fund Law of 2009 (R.A. 9679 as amended) <i>Registration and Remittance</i>													
Coverage													
Remittance													
National Health Insurance Act of 1995 (R.A. 7875 as amended) <i>Registration and Remittance</i>													
Coverage													
Remittance													

Part II-A.2 GENERAL LABOR STANDARDS COMPLIANCE INDICATORS													
COMPLIANCE INDICATORS	1st assessment						Follow-up assessment						
	Complying			Required Correction			Corrected			Remarks/ Status			
	YES	NO	N/A	Amount	Workers Involved		Schedule of Correction	YES	NO		Date	Workers Benefited	
					Total	F						Total	F
Flexible Work Arrangements (Dept. Advisory No. 2, Series of 2009)													
Agreement													
Notification to DOLE													
Apprenticeship Program (Art.71 of the LCP and TESDA Circular No. 16, s. 2004)													
Certificate of Registration from TESDA													
Not more than 20% of the total regular employees													
Allowance - 75% of the prevailing minimum wage													
Learnership Program (duly approved by TESDA)													
Not more than 20% of the total regular employees													
Wage/Salary Rate - not less 75% of the applicable minimum wage													
Mandatory absorption of trainees under Learnership Program													
Dual-Training System (TESDA Circular No. 31, s. 2012)													
Training duration is based on the approved Training Plan													
Allowance - it shall, in no way, start below 75% of the applicable minimum daily wage for the number of days actually spent by the student/trainee in the establishment for in-plan training. (Note: Under DTS 30% goes to the trainee while 70% goes to the Training Institution).													
Insurance coverage is provided for each trainee													
Alien Employment Permit (D.O. No. 97, s. 2009 as amended by D.O. No. 120, s. 2012)													
Persons with Disability (PWD) Accessibility in support of BP 344													
Provisions for Night Workers (R.A. 10151 and D.O. 119-12) (Health-Assessment, Mandatory Facilities, etc.)													
Family Welfare Program (FWP) (Mandatory for large establishments/establishments employing 200 or more workers)													
With free planning services to workers (Art. 134, Labor Code)													
With at least any 2 (two) dimensions of the nine other dimensions of the FWP (D.O. 56-03)													
With Family Welfare Committee (FWC) or similar body organized to implement FWP activities (D.O. 56-03; DOLE Advisory No. 3-09)													
Lactation Station (R.A. 10028)													
With designated area for lactation station in the workplace													
With facilities such as refrigerator/cooler, table and chair, sink with running water or access to washing facilities													
Observes Lactation Equivalency Guide if a designated area for workplace lactation station is not feasible due to peculiar workplace circumstances													
With workplace breastfeeding policy													
Observes lactation period													
With Certificate of Exemption issued by DOLE for qualified establishments (D.O. 143, s. 2015)													
Protection against workplace gender-based													
With CODI or Committee on Decorum and Investigation (RA 7877)													
Anti-Sexual Harassment policy in place (R.A. 7877)													
Copy of RA 7877 posted/available for information in the workplace													
Awareness-raising activities on the problem of violence and the elimination of all forms of violence against women and children (R.A. 10398)													

Part II-B OCCUPATIONAL SAFETY AND HEALTH STANDARDS COMPLIANCE INDICATORS											
COMPLIANCE INDICATORS	1st assessment						Follow-up assessment				
	COMPLYING			REQUIRED CORRECTION			CORRECTED				Remarks/ Status
	YES	NO	N/A	Remarks	Workers Involved	Schedule of Correction	YES	NO	Date	Workers Benefitted	
Registration of Establishments (Rule 1020, OSHS)											
No Imminent Danger Situation (condition that could cause death or serious physical harm) (Rule 1012.02, OSHS)											
Fire Safety Inspection Certificate (FSIC) issued by BFP											
Fire Protection Equipment/Facilities (Rule 1940, OSHS)											
Fire extinguishers (inspected monthly)											
Fire hoses (properly mounted, accessible and maintained)											
Fire detection devices (installed and functional)											
Emergency Exits (2 per floor with no obstructions) (Rule 1943.03, OSHS)											
Adequate Aisles/Passageways (sufficient width and height and with signs and markings) (Rule 1060, OSHS)											
Proper Office Spacing (between workers and machines)(Rule 1062, OSHS)											
Good Housekeeping (conditions of floors, walls and storage rooms) (Rule 1060&1150, OSHS)											
Materials Handling and Storage (appropriate labels, dotting and storage)(Rule 1150&1095, OSHS)											
Waste Disposal System (waste receptacle and its removal; drainage system)											
Work Environment Measure (maintenance of WEM monitoring report)(Rule 1077, OSHS)											
Adequate Lighting (in Work Areas, in aisles and passageways) (Rule 1075.01, OSHS)											
Noise Pollution Control (provide appropriate PPE or isolation of work area)(Rule 1075.01, OSHS)											
Proper Ventilation (provision of natural or artificial air supply)(Rule 1076.01, OSHS)											
Radiation Exposure Control (provide PPE, examination of work area)											
Airborne Contaminant Control (provide PPE, improve technical process, improve ventilation) (Rule 1072.03, OSHS)											
Personal Protective Equipment (provision and appropriate training) (Rule 1080, OSHS)											
Provide Machine Guarding (railing or casing of moving parts) (Rule 1200, OSHS)											
Hazardous Materials (Rule 1090, OSHS)											
Hazardous Work Processes (Rule 1120, OSHS)											
Personal Facilities (Rule 1060.01, OSHS)											
a. Separate toilet for males and females											
b. Supply of potable water											
c. Washing facilities											
Safety and Health Organization (according to number of employees) (Rule 1045, OSHS)											
Safety Personnel (OSHS Rule 1033 OSHS as amended by DO 16 s.2001)											
a. Trained Safety Officer											
b. Accredited Safety Practitioner											
Health Personnel (Rule 1963.02, OSHS)											
a. Certified First-aid											
b. Trained Nurse											
c. Trained Physician											
d. Dentist											
Medical Facilities (treatment room, clinic, hospital)(Rule 1963.02, OSHS)											
a. Treatment Room											
b. Clinic											
c. Hospital											
Emergency Medicines											
Pre-employment/Pre-placement Physical Examination (Rule 1967.01, OSHS)											
Continuing training on OSH											
Administrative Reports on OSH											
a. Minutes of Meeting of SHC (at least once a month)											
b. Employee's Work Accident/Illness Exposure Data (for every accident/illness)											
c. Annual Work Accident/Illness Exposure Data (whether or not there is an accident/illness)											
d. Annual Medical Report (health record of program and activities)											
Occupational Health Policies and Programs											
a. Guidelines for the Implementation of a Drug-Free Workplace Policies and Programs (D.O. No. 53-03)											
b. Guidelines for the Implementation of HIV and AIDS Prevention and Control in the Workplace Program (D.O. No. 102-10)											
c. Guidelines for the Implementation of a Workplace Policy and Program on Hepatitis B (Dept. Advisory No. 05, series of 2010)											
d. Guidelines for the Implementation of Policy and Program on Tuberculosis Prevention and Control in the Workplace (D.O. 73-05)											

Part II-C ANTI-CHILD LABOR LAW COMPLIANCE INDICATORS (REPUBLIC ACT 9231)										
COMPLIANCE INDICATORS	1st assessment						Follow-up assessment			
	COMPLYING?		REQUIRED CORRECTION			CORRECTED?				
	YES	NO	Remarks	Workers Involved	Schedule of Correction	YES	NO	Date	Workers Benefited	Remarks/ Status
Employment of children below 15 years of age										
With work permit from the DOLE										
Work is not more than 4 hours a day / 20 hours a week										
Work is not between 8:00 pm to 6:00 am of the following day										
Employment of children 15-17 years of age										
Work is not more than 8 hours a day / 40 hours a week										
Work is not between 10:00 p.m. to 6:00 a.m. of the following day										
Children below 18 years of age are <u>NOT</u> engaged in any of the following:										
Prostitution										
Obscene or lewd shows										
Production of pornography or for pornographic performances										
Slavery or any similar practices, such as sale or trafficking of children, debt bondage, serfdom, forced labor, recruitment of children for armed conflict										
Illegal or illicit activities such as production/trafficking of dangerous drugs or volatile substances										
Work which, by its nature or the circumstances in which it is carried out, is hazardous or likely to be harmful to the health, safety or morals of children										
As a model in any advertisement directly or indirectly promoting alcoholic beverages, intoxicating drinks, tobacco and its by-products, gambling or any form of violence or pornography										
Violation, if any, did <u>NOT</u> result to:										
Death of child										
Insanity of child										
Serious physical injuries of child										

With Workplace Cooperation and Partnership

- with Labor Management Cooperation _____
- with Other Similar Mechanisms _____

Date Created

No. of Membership

Management: ____

Union: ____

Management: ____

Union: ____

With Labor Dispute Management Mechanism

Organized

- with Grievance Machinery in a CBA _____
- with GM as Sub-committee of LMC _____

Date Created

No. of Membership

Management: ____

Union: ____

Management: ____

Union: ____

Unorganized

- with Grievance Machinery _____
- Other Similar Mechanisms _____
- with GM as Sub-committee of LMC _____

Management: ____

Union: ____

Management: ____

Union: ____

Management: ____

Union: ____

With Pending Preventive Mediation Case

- Resolved Date: _____

With Pending Notice of Strike

- Resolved Date: _____

With Pending Notice of Lock Out

- Resolved Date: _____

Unfair Labor Practice

Cite: _____

Freedom of Association

Security of Tenure

Termination Case

Suspension Case

Other Labor Dispute

With Personnel/Employee Handbook on Company Policy

- Recommended for issuance of Certificate of Compliance
 - Will correct all noted deficiencies. Report on corrections/restitutions shall be submitted to the Regional Office not later than _____.
 - If there is difficulty in complying, please state the reason above.
- Note: Use separate sheet for details (FORM 8)

NOTICE TO THE EMPLOYER

If no action plan was formulated during the conduct of joint-assessment, the employer shall formulate the said action plan based on the accomplishment checklist issued by the Labor Laws Compliance Officer. The employer shall submit the accomplished Details of Action Plan to the Regional Office within ten (10) days from the conduct of joint assessment, otherwise, a Notice of Results shall be issued.

Part V-A FOR LABOR LAWS COMPLIANCE OFFICER USE ONLY

1st Assessment

Brief Summary of Findings & Recommendation:

Follow-up Assessment

Brief Summary of Findings & Recommendation:

Conducted By:

Name and Position of LLCO

Findings/Recommendation explained to:

1. _____
Name & Signature of Employer's Representative

2. _____
Name & Signature of Employees' Representative

Conducted By:

Name and Position of LLCO

Date

Findings/Recommendation explained to:

1. _____
Name & Signature of Employer's Representative

2. _____
Name & Signature of Employees' Representative

Part V-B FOR LABOR LAWS COMPLIANCE OFFICER USE ONLY

PROVIDED APPROPRIATE ASSISTANCE LEADING TO COMPLIANCE	DOLE PROGRAMS AND SERVICES																																																																								
<div style="display: flex; justify-content: space-between;"> <div style="width: 80%;"> <input type="checkbox"/> Advisory/Mentoring <input type="checkbox"/> Referral to Appropriate Agency <input type="checkbox"/> Provision of templates of OSH Policies and/or administrative reports <input type="checkbox"/> Preparation of Action Plan <input type="checkbox"/> Others. Specify assistance: _____ _____ _____ _____ </div> <div style="width: 15%; text-align: center;"> Date Assisted _____ _____ _____ _____ </div> </div>	<table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%; text-align: left;">DOLE Programs and Services Requested</th> <th style="width: 20%; text-align: center;">Date Provided</th> </tr> </thead> <tbody> <tr><td><input type="checkbox"/> Kapatiran</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Labor and Employment Education Service</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Basic Occupational Safety and Health Training</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Work Environment Measure</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Family Welfare Program</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Labor-Management Cooperation</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Orientation</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Setting-up</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Enhancement</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Grievance Machinery</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Orientation</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Setting-up</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Enhancement</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Grievance Handling/Management</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Training for Work Scholarship (TWSP)</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Assessment and Certification of Workers</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Productivity Toolbox</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Productivity Orientations</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Productivity 101-LHP (Labor Relations + Human Relations = Productivity)</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> ISTIV - Productivity Awareness Program</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> 5S of Good Housekeeping</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> ISTIV Bayanihan</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Productivity Enhancement Program for DOLE Livelihood Program Benefeciaries</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> ISTIV-Plus (Succeeding in Business)</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Green My Enterprise</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Service Quality (enterprise level)</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Time and Motion Study</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Innovation and Enterprise Development Training Program</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Service Quality Plus (Tourism Value Chain)</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Gainsharing Schemes</td><td>_____</td></tr> <tr><td style="padding-left: 20px;"><input type="checkbox"/> Green ME for Hotel Industry</td><td>_____</td></tr> <tr><td><input type="checkbox"/> WISE Program</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Livelihood Assistance</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Employee's Compensation and Rehabilitation</td><td>_____</td></tr> <tr><td><input type="checkbox"/> Request Specific Assistance In: _____</td><td>_____</td></tr> </tbody> </table>	DOLE Programs and Services Requested	Date Provided	<input type="checkbox"/> Kapatiran	_____	<input type="checkbox"/> Labor and Employment Education Service	_____	<input type="checkbox"/> Basic Occupational Safety and Health Training	_____	<input type="checkbox"/> Work Environment Measure	_____	<input type="checkbox"/> Family Welfare Program	_____	<input type="checkbox"/> Labor-Management Cooperation	_____	<input type="checkbox"/> Orientation	_____	<input type="checkbox"/> Setting-up	_____	<input type="checkbox"/> Enhancement	_____	<input type="checkbox"/> Grievance Machinery	_____	<input type="checkbox"/> Orientation	_____	<input type="checkbox"/> Setting-up	_____	<input type="checkbox"/> Enhancement	_____	<input type="checkbox"/> Grievance Handling/Management	_____	<input type="checkbox"/> Training for Work Scholarship (TWSP)	_____	<input type="checkbox"/> Assessment and Certification of Workers	_____	<input type="checkbox"/> Productivity Toolbox	_____	<input type="checkbox"/> Productivity Orientations	_____	<input type="checkbox"/> Productivity 101-LHP (Labor Relations + Human Relations = Productivity)	_____	<input type="checkbox"/> ISTIV - 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<input type="checkbox"/> Service Quality (enterprise level)	_____																																																																								
<input type="checkbox"/> Time and Motion Study	_____																																																																								
<input type="checkbox"/> Innovation and Enterprise Development Training Program	_____																																																																								
<input type="checkbox"/> Service Quality Plus (Tourism Value Chain)	_____																																																																								
<input type="checkbox"/> Gainsharing Schemes	_____																																																																								
<input type="checkbox"/> Green ME for Hotel Industry	_____																																																																								
<input type="checkbox"/> WISE Program	_____																																																																								
<input type="checkbox"/> Livelihood Assistance	_____																																																																								
<input type="checkbox"/> Employee's Compensation and Rehabilitation	_____																																																																								
<input type="checkbox"/> Request Specific Assistance In: _____	_____																																																																								

FAMILY WELFARE PROGRAM

<p>For establishments employing more than 200 workers</p> <p>Type of FP Services Provided</p> <input type="checkbox"/> Counselling / Information on FP methods <input type="checkbox"/> Provision of free FP commodities <input type="checkbox"/> Pills <input type="checkbox"/> Condoms <input type="checkbox"/> Others _____ <input type="checkbox"/> Access to FP services/commodities from other sources <input type="checkbox"/> LGU <input type="checkbox"/> Others _____ <p>Incentive Schemes Provided to FP Acceptors</p> <input type="checkbox"/> Available <input type="checkbox"/> Privilege Leave <input type="checkbox"/> Cash Bonuses <input type="checkbox"/> Others _____ <input type="checkbox"/> Not Available <input type="checkbox"/> Education/Gender Equality <input type="checkbox"/> Spirituality/Value Formation <input type="checkbox"/> Income Generation/Livelihood/Cooperative <input type="checkbox"/> Medical Health Care <input type="checkbox"/> Nutrition <input type="checkbox"/> Environment Protection, Hygiene and Sanitation <input type="checkbox"/> Sports and Leisure <input type="checkbox"/> Housing <input type="checkbox"/> Transportation <p>For establishments employing less than 200 workers</p> <input type="checkbox"/> With Family Welfare Program <input type="checkbox"/> No Family Welfare Program <input type="checkbox"/> With Family Welfare Committee or similar body organized to implement FWP Activities	
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GENDER-RELATED CONCERNS	CHILD LABOR FREEESTABLISHMENT
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<p>No. of women who availed VAWC Leave: ____</p> <p>No. of workers who availed of the Solo Parent Leave: ____ Male: ____ Female: ____</p> <p>No. of workers-victims of sexual harrasment responded to by the CODI Male: ____ Female: ____</p>	<p>For Potential Child Labor Free-Establishment Applicants:</p> <input type="checkbox"/> With written company policy expressly prohibiting child labor which is displayed publicly <input type="checkbox"/> With contracts or terms of engagement with contractors and/or suppliers, if any, containing stipulations prohibiting child labor
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Part VI-A REGIONAL OFFICE USE ONLY

STATUS/ACTION TAKEN/RECOMMENDATION:

(For monitoring purposes, **Please indicate the date.**)

- | | |
|--|---|
| <input type="checkbox"/> Issued Notice of Results | <input type="checkbox"/> Effecting Plant Level Restitution/Correction |
| <input type="checkbox"/> NR on both GLS and OSHS | Amount Involved _____ (in Peso) |
| <input type="checkbox"/> NR on GLS only | Workers Benefitted _____ (count) |
| <input type="checkbox"/> NR on OSHS only | <input type="checkbox"/> For Issuance of Compliance Order |
| <input type="checkbox"/> For Submission of action plan | <input type="checkbox"/> Compliance Order Issued |
| <input type="checkbox"/> For Submission of Status Report | <input type="checkbox"/> CO on GLS only |
| <input type="checkbox"/> Fully Implemented Action Plan | <input type="checkbox"/> CO on OSHS only |
| <input type="checkbox"/> For Mandatory Conference | <input type="checkbox"/> Work Stoppage Order Issued |
| <input type="checkbox"/> For Issuance of Certificate of Compliance | <input type="checkbox"/> Appeal Filed |
| <input type="checkbox"/> COC on GLS issued | <input type="checkbox"/> For Issuance Writ of Execution |
| <input type="checkbox"/> COC on OSHS issued | <input type="checkbox"/> Referred to POEA |
| <input type="checkbox"/> COC on Labor Relations issued | <input type="checkbox"/> POEA Violations corrected |
| <input type="checkbox"/> COC on LSCC issued | <input type="checkbox"/> Lifted |
| | <input type="checkbox"/> Issued |

Part VI-B REGIONAL OFFICE USE ONLY

DOLE Programs and Services Requested

Date Provided

- | | |
|---|-------|
| <input type="checkbox"/> Kapatiran | _____ |
| <input type="checkbox"/> Labor and Employment Education Service | _____ |
| <input type="checkbox"/> Basic Occupational Safety and Health Training | _____ |
| <input type="checkbox"/> Work Environment Measure | _____ |
| <input type="checkbox"/> Family Welfare Program | _____ |
| <input type="checkbox"/> Labor-Management Cooperation | _____ |
| <input type="checkbox"/> Orientation | _____ |
| <input type="checkbox"/> Setting-up | _____ |
| <input type="checkbox"/> Enhancement | _____ |
| <input type="checkbox"/> Grievance Machinery | _____ |
| <input type="checkbox"/> Orientation | _____ |
| <input type="checkbox"/> Setting-up | _____ |
| <input type="checkbox"/> Enhancement | _____ |
| <input type="checkbox"/> Grievance Handling/Management | _____ |
| <input type="checkbox"/> Training for Work Scholarship (TWSP) | _____ |
| <input type="checkbox"/> Assessment and Certification of Workers | _____ |
| <input type="checkbox"/> Productivity Toolbox | _____ |
| <input type="checkbox"/> Productivity Orientations | _____ |
| <input type="checkbox"/> Productivity 101-LHP (Labor Relations + Human Relations = Productivity) | _____ |
| <input type="checkbox"/> ISTIV - Productivity Awareness Program | _____ |
| <input type="checkbox"/> 5S of Good Housekeeping | _____ |
| <input type="checkbox"/> ISTIV Bayanihan | _____ |
| <input type="checkbox"/> Productivity Enhancement Program for DOLE Livelihood Program Beneficiaries | _____ |
| <input type="checkbox"/> ISTIV-Plus (Succeeding in Business) | _____ |
| <input type="checkbox"/> Green My Enterprise | _____ |
| <input type="checkbox"/> Service Quality (enterprise level) | _____ |
| <input type="checkbox"/> Time and Motion Study | _____ |
| <input type="checkbox"/> Innovation and Enterprise Development Training Program | _____ |
| <input type="checkbox"/> Service Quality Plus (Tourism Value Chain) | _____ |
| <input type="checkbox"/> Gainsharing Schemes | _____ |
| <input type="checkbox"/> Green ME for Hotel Industry | _____ |
| <input type="checkbox"/> WISE Program | _____ |
| <input type="checkbox"/> Livelihood Assistance | _____ |
| <input type="checkbox"/> Employee's Compensation and Rehabilitation | _____ |
| <input type="checkbox"/> Request Specific Assistance In: | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

- For Publication
- For Referral to TCCLS
- For Issuance of TCCLS
- Incentivizing Compliance Program Awarded
- Tripartite Certificate of Compliance with Labor Standards
 - Child Labor Free Establishment
 - Outstanding Labor Management Council for Industrial Peace
 - Gawad Kaligtasan at Kalusugan
 - Productivity Olympics

For Potential Child Labor Free-Establishment Applicants:

- With written company policy expressly prohibiting child labor which is displayed publicly
- With contracts or terms of engagement with contractors and/or suppliers, if any, containing stipulations prohibiting child labor

DOCUMENTS ATTACHED:

TRANSCRIPTION OF RECORDS IN CASE OF VIOLATION

- | | | |
|---|---|--|
| <input type="checkbox"/> Notice of Results | <input type="checkbox"/> Production Records | <input type="checkbox"/> Payroll Restitution |
| <input type="checkbox"/> Affidavit of Employees Interviewed | <input type="checkbox"/> Daily Time Records | <input type="checkbox"/> Others _____ |
| <input type="checkbox"/> Payroll | <input type="checkbox"/> Computation of Backwages | |

*See Attached Government Safety Engineer's Accident Investigation Report

FOR THOSE ENGAGED IN CONTRACTING/SUBCONTRACTING ARRANGEMENT

COMPLIANCE INDICATORS	1st assessment						Follow-up assessment						Remarks/ Status
	Complying			Required Correction			Corrected						
	YES	NO	N/A	Amount	Workers Involved		Schedule of Correction	YES	NO	Date	Workers Benefited		
					Total	F					Total	F	
Legitimate Contracting/Subcontracting													
Section 4. Legitimate contracting or subcontracting													
Registered													
With substantial Capital/Investment													
Distinct and Independent Business													
Control													
Section 7. Other Prohibitions													
1. Contracting out results in the termination or reduction of regular employees and reduction of workhours or reduction or splitting of the bargaining unit.													
2. Contracting out of work with a "Cabo".													
3. Taking undue advantage of the economic situation or lack of bargaining strength of the contractor's employees, or undermining their security of tenure or basic rights, or circumventing the provisions of regular employment, in any of the following instances:													
i. Requiring them to perform functions which are currently being performed by the regular employees of													
ii. Requiring them to sign, as a precondition to employment or continued employment, an antedated resignation letter; a blank payroll; a waiver of labor standards; or a quitclaim releasing the principal, contractor or from any liability as to payment of future													
4. Contracting out of a job, work or service through an in-house agency.													
5. Contracting out of a job, work or service that is necessary or desirable or directly related to the business or operation of the principal by reason of a strike or lockout whether actual or imminent.													
6. Contracting out of a job, work or service being performed by union members when such will interfere with, restrain or coerce employees in the exercise of their rights to self-organization as provided in Art. 248 (c) of the Labor Code, as amended.													
7. Repeated hiring of employees under an employment contract of short duration or under a Service Agreement of short duration with the same or different contractors, which circumvents the Labor Code provisions on Security of Tenure.													
8. Requiring employees under a subcontracting arrangement to sign a contract fixing the period of employment to a term shorter than the term of the Service Agreement, unless the contract is divisible into phases for which substantially different skills are required and this is made known to the employee at the time of engagement.													
9. Refusal to provide a copy of the Service Agreement and the employment contracts between the contractor and the employees deployed to work in the bargaining unit of the principal's certified bargaining agent to the sole and exclusive													
10. Engaging or maintaining by the principal of subcontracted employees in excess of those provided for in the CBA or as set by the Industry Tripartite Council (ITC).													
Section 8. Rights of contractor's employees.													
a. Safe and healthful working conditions;													
b. Labor standards such as but not limited to service incentive leave, rest days, overtime pay, holiday pay, 13th month pay, and separation pay as may be provided in the Service Agreement or under the Labor Code;													
c. Retirement benefits under the SSS or retirement plans of the contractor, if there is any;													
d. Social security and welfare benefits;													
e. Self-organization, collective bargaining and peaceful concerted activities; and													
f. Security of tenure													
Section 9. Required Contracts (<i>Standard Computation and Standard Service Agreement</i>)													
a. Employment Contract (<i>contractor and employee</i>)													
i. The specific description of the job, work or service to be performed;													
ii. The place of work and terms and conditions of employment, including the wage rate applicable; and													
iii. The term or duration of employment that must be co-extensive with the Service Agreement or with the specific phase of work for which the employee is engaged.													
b. Service Agreement (<i>principal and contractor</i>)													
i. The specific description of the job, work or service being subcontracted.													
ii. The place of work and terms and conditions governing the contracting arrangement, to include the agreed amount of the services to be rendered, the standard administrative fee of not less than 10% of the total contract cost.													
iii. Provisions ensuring compliance with all the rights and benefits of the employees under the Labor Code and existing													
iv. A provision on the Net Financial Contracting Capacity of the contractor, which must be equal to the total contract cost.													
v. A provision on the issuance of the bond/s renewable every year.													
vi. The term or duration of engagement. The Service Agreement must conform to the DOLE Standard Computation and Standard Service Agreement, which form part of these Rules as Annexes "A" and "B".													
Section 22. Semi-annual reporting													
Section 30. Presentation of contract/service agreement													

FOR SUGAR MILL / BIOFUEL PLANT / PLANTERS' ASSOCIATIONS / COOPERATIVES

COMPLIANCE INDICATORS	1st assessment						Follow-up assessment						Remarks/ Status
	Complying			Required Correction			Corrected						
	YES	NO	N/A	Amount	Workers Involved		Schedule of Correction	YES	NO	Date	Workers Benefited		
					Total	F					Total	F	
For Sugar Mill / Biofuel Plant / Planters' Associations/Cooperative													
A. Social Amelioration Program (R.A. 6982) and Social Amelioration and Welfare Program (R.A. 9367), in case of sugarcane is used as feedstock													
The Mill / Biofuel Plant and PA/Coop executed and submitted the following to the DOLE RO before the start of the crop year:													
1. Trust Receipt Agreement in favor of the DOLE													
2. Letter of Authority /Waiver to the DOLE to inquire into the CBF bank accounts													
Lien Collection and Remittance (Section 2, Rule VI of DO 114-11); (Section 2 Rule V of D.O. 100-10)													
Collection and Remittance of SAP lien on raw sugar produced or SAWP lien on sugarcane when used as biofuel feedstock													
1. The 80% portion of the lien to the Mill or Biofuel Plant and/or Planters Association/Cooperative's (PA/Coop) Cash Bonus Fund (CBF) accounts supported by machine validated deposit slip and/or bank statement; and													
2. The 20% portion of the lien to the DOLE-BWSC's Socio-Economic Project Fund (SEPRF) account supported by machine validated deposit slip and/or bank statement													
3. Monthly Report of Sugar Production, Withdrawal, Lien Collection and Remittance (RSPWLCR) to DOLE RO within ten (10 working days from end of the reference month supported by machine validated deposit slip and/or bank statement													
Release of Cash Bonus Fund (Sec. 3, Rule VI of DO 114-11); (Section 10 Rule V of D.O. 100-10) as evidenced by duly signed Planters Payroll indicating CB amount released													
Liquidation of Unclaimed Cash Bonus Fund (Sec.3.1(c), Rule VI of DO 114-11) ; (Section 10 Rule V of D.O. 100-10) as evidenced by remittance all unclaimed CBF amounts to DOLE RO supported by													
1. Copy of Planters Payroll													
2. Remittance Report of Unclaimed CBF Releases													
3. Certified List of Planters who did not claim													
Distribution of Cash Bonus Fund (Sec. 2, Rule VII of DO 114-11); (Section 10 Rule V of D.O. 100-10) as evidenced by Duly signed Special Cash Bonus Payroll by workers													
Liquidation of Undistributed Cash Bonus Fund (Sec.1-3, Rule VIII of DO 114-11); (Section 10 Rule V of D.O. 100-10) as evidenced by Remittance of all undistributed CBF amount to DOLE RO, including interests and penalties earned, if any supported with the following:													
1. Copy of CBF Special Payroll (properly accomplished)													
2. Certified List of Undistributed CBF Beneficiaries													
B. Social Amelioration and Welfare Program (R.A. 9367), for feedstock except sugarcane (DOLE D.O. 123-12 and DOLE D.O. 144-15)													
Remittance of SAWP lien to DOLE account as evidenced by Monthly Report of Production, Withdrawal, Lien Collection and Remittance (RPWLCR) to DOLE RO within fifteen (15) days from end of the reference month supported by machine validated deposit slip and/or bank statement													
1. On molasses-based ethanol													
2. On coco-biodiesel													

