

违纪政策

Disciplinary Policy

RCCAC-HRS-POL-007

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审签页 Signature Page

	姓名/职务 Print Name / Role	签字 Signature	日期 Date
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修订历史 Revision History

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V1.0	Karen Wei		New Release 新文件发布

1. 目的 Purpose

为了界定员工行为规范、商业行为准则，规范违纪处分的管理标准，促使员工保持良好的行为，遵守公司各项规章制度，共同营造一个优良、和谐、安全的工作环境而制定此政策。

This policy is hereby established in order to define the codes of conduct for employees and Standard of Business Conduct, regulate disciplinary action standards, promote good behaviors of employees who can follow all the regulations and rules in the company, and create a good, harmonious and safe work environment.

2. 适用范围 Scope

适用于中电科柯林斯航空电子有限公司全体员工。

It is applied to all the employees of Rockwell Collins CETC Avionics Co., Ltd.

3. 责任 Responsibilities

3.1 员工的责任 Employees' Responsibilities

- * 员工对本人的行为负责；

Be responsible for their own behaviors;

* 员工应学习和了解并遵守公司《商业行为准则》及《员工手册》等各项规章制度和管理条例；

Learn, know and follow the company *Standard of Business Conduct*, *Employee Handbook* and all the other rules and regulations as well as administrative ordinances of the company.

- * 在公司实施员工行为规范程序调查时，员工有责任协助调查事实真相；

Assist to find out the facts when the company carries out investigations on behaviors of employees;

3.2 各直线经理，除履行上述员工的责任之外，还应做到：

Responsibilities of Line Manager–In addition to the above-mentioned employees' responsibilities, they shall also:

- * 培训本部门员工，使其明了公司的各项规章制度和管理条例；

Train employees to understand all the rules and regulations as well as administrative ordinances of the company ;

- * 执行公司的规章制度；

Implement all the rules and regulations of the company;

- * 在日常工作中随时纠正轻微的错误，尽量避免员工违反纪律；

Rectify employee's minor fault during daily work to avoid them from any violation as far as possible ;

- * 如有员工违反纪律，应及时处理并通知管理层和人事行政部；

Take disciplinary action and notify the management and HRA department timely in the event of employee's misconduct;

- * 在需要时参与违纪问题的调查；

Participate in investigations on any discipline issues if required ;

- * 向本部门员工沟通违纪处分事件；

Communicate with their employees about any disciplinary action.

3.3 总经理的职责 Responsibilities of General Manager

- * 支持部门经理、人事行政部的相关管理；

Gives support to department managers and HRA department;

- * 保证员工行为规范程序执行中的公正性；

Ensures the fairness when dealing with employees' misconducts;

- * 出现严重的违纪问题时，直接参与相关的处理程序；

Directly involves in the discipline action process in the event of gross misconducts;

3.4 人事行政部的责任 Responsibilities of HRA department

- * 确保本制度与公司在《商业行为准则》和其它各项规定保持一致；

Ensures the alignment of this policy and *Company Standard of Business Conduct* and other relevant regulations;

- * 制订并维护员工违纪政策；

Establishes and maintains the discipline policy;

- * 督促部门经理的日常相关管理；

Supervises and monitors the daily management of department managers;

- * 当违纪问题发生时，提供相关政策及其他资源的咨询，确保违纪处分的公平和适当性；

Provides advices on relevant policies and other resources in the event that there is any disciplinary issue; ensures the equity and propriety of any disciplinary action;

- * 可能出现书面警告、立即无偿解除劳动关系等违纪处分时，组织和协调相关调查、讨论并确定适当的违纪处分；

Organizes and coordinates necessary investigations, discusses and identifies the proper disciplinary actions in the possibility of written warning and immediate termination of employment without compensation.

- * 保存和管理违纪处分的记录文件。

Keeps and manages discipline action records and documents.

4 . 违纪处分 Disciplinary Action

4.1 当员工出现违反法律法规或公司相关规章制度的行为时，公司可对其进行违纪处分。违纪处分按严厉程度可分为：口头警告、书面警告、立即无偿解除劳动关系。《违纪处分条例》(附件 A)列明了以上违纪处分对应的违纪行为。

When any employee violates laws and rules or any company policies or regulations, the company can take disciplinary actions on the employee, which includes: verbal warning, written warning and immediate termination of

employment without compensation. The circumstances under which such disciplinary actions should be taken are listed in the *Disciplinary Action Regulations* (Annex A).

4.2 当违纪行为发生时，公司采取上述违纪处分中的一种对当事员工进行处分。

In the event of any misconduct, the company would take one of disciplinary actions.

4.3 为了配合违纪处分的有效性，违纪处分还可以同时附加其他处罚，包括：扣减或扣除年终绩效奖金、推迟或取消调薪/晋升、无薪停职等。附加的相关处罚必须在处分决定时认定。

To enhance the effectiveness of the disciplinary actions, the company could take additional punishments, including reducing or canceling the annual performance bonus, postponing or canceling salary increase or promotion, suspension from duty without salary, etc. Additional punishments must be decided when any disciplinary action is taken.

4.4 每一次违纪处分的目的是为了督促违纪员工改正其不当行为。如果屡教不改则逐步加重处分，直至无偿解除劳动合同。同时员工应该明确：并非所有的违纪处分都是从最轻的程序开始。如果违纪行为严重，可直接立即给予严厉的违纪处分。

Each disciplinary action aims to drive the employees to correct their improper behaviors. More serious disciplinary action, up to immediate dismissal, will be taken for repeated misconducts. Employee shall understand that the disciplinary action shall not necessarily be taken from the minor ones. In the event of any gross misconduct, the serious disciplinary action will be taken directly.

4.5 违纪处分均以书面形式通知违纪者本人。

The employee will be notified of the disciplinary action on him/her by written form.

4.6 员工的违纪行为及相关的违纪处分可能会影响到该员工当年的年度绩效考评。在这种情况下，考评的结果不应视为对员工的重复惩罚。

Any misconduct and relevant disciplinary actions against an employee will have impact on his/her annual performance evaluation. In such case, the evaluation result shall not be deemed as repeated punishments on him/her.

5. 处分等级 Types of Disciplinary Actions

5.1 口头警告 Verbal Warning

- * 当员工违反公司《违纪处分条例》(附件A)适用于口头警告的行为时。

Under the circumstances listed in Section I of the *Disciplinary Action Regulation* (Annex A).

- * 部门经理对员工进行口头警告，必须事先征询人事行政部的意见。

The department manager shall seek for HRA department's advice before sending out the warning to the employee.

- * 部门经理在与员工面谈时，必须向员工解释清楚当事人违反了公司某项规章制度，

使其明白他/她已经有了一次违纪记录。

When conducting the face-to-face interview with the employee, the department manager shall explain clearly which company rule the employee has violated and make sure the employee knows he/she had a discipline record.

- * 面谈后员工必须在《违纪处分记录》(附件B)上签名以表明对处分的认同。员工拒绝签字的，其部门经理在纪律处分的文件上签字并同时注明员工拒绝签名的理由，则纪律处分文件仍然有效。纪律处分文件由人事行政部存档。

After the interview, the employee must sign on the *Disciplinary Action Record* (Annex B) for consent. If the employee rejects to sign, his or her department manager shall sign and specify the reason of the employee's refusal, by which means the Disciplinary Action Record will be still valid. HRA department shall keep the disciplinary action document in file.

5.2 书面警告 Written Warning

- * 当员工违反公司《违纪处分条例》适用于书面警告的行为时。

Under the circumstances listed in Section II of the *Disciplinary Action Regulation*, a written warning should be imposed.

* 书面警告是严厉的违纪处分，必须经人事行政部和当事员工部门经理共同讨论方可做出，副总经理及总经理也需介入。

Written warning is a severe disciplinary action, which shall be made by the department manager and HRA department jointly. DGM and GM shall be involved.

* 面谈后员工必须在《违纪处分记录》上签名以表明对处分的认同。员工拒绝签字的，其部门经理在《违纪处分记录》上签字并同时注明员工拒绝签名的理由，则纪律处分文件仍然有效。《违纪处分记录》由人事行政部存档。

The employee shall sign on the *Disciplinary Action Record* for acknowledgement. If the employee rejects to sign, his/her department manager should sign and specify the reason of the employee's refusal, by which means the *Disciplinary Action Record* will be still valid. HRA department shall keep the *Disciplinary Action Record* in file.

5.3 立即无偿解除劳动合同 Immediate Termination of employment without compensation

* 当员工违反公司《违纪处分条例》适用于立即无偿解除劳动合同的行为时，公司会立即无偿解除与当事员工的劳动合同：

Under the circumstances listed in Section III of the *Disciplinary Action Regulation*, the company can terminate the employment contract immediately without compensation. Such misconducts are severe violation of the company's policies and regulations.

* 与员工无偿解除劳动合同必须经部门经理、人事行政部经理、副总经理、总经理讨论，经副总经理及总经理批准后生效。

The termination decision must be discussed by Department Manager, HRA Manager, DGM, and approved by DGM and GM.

* 如果必要，公司有权追究员工的经济和法律责任。

If necessary, the company has the right to pursue the employee's economic or legal responsibilities.

* 无偿解除劳动合同的同时，公司将扣除员工当年的全部年终绩效奖金。

The employee is not eligible for the annual performance bonus when he/she is dismissed without compensation.

6. 本规定自 2015 年 12 月 21 日起生效，由人事行政部负责解释。公司有权在认为适当时
不时修改、补充或废除规定并通知员工。本规定以中、英文书写。若两种版本存在不一致，以
中文为准。

This regulation shall take effect from Dec 21st, 2015 and be explained by HRA department. Company reserves the right to revise, supplement or rescind the policy from time to time as it deems appropriate in accordance with law. Employees will be notified of such changes as they occur. This regulation is written in both Chinese and English. In case of any discrepancy, the Chinese version shall prevail.

7. 附件 Annex

A. 《违纪处分条例》 Disciplinary Action Regulation

B. 《违纪处分记录》 Disciplinary Action Record