

培训流程

Training Procedure

RCCAC-HRS-P-001

Rev. 2.0

Rockwell Collins CETC Avionics Co., Ltd.

Approval

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Revision History

Revision	Originator	Description	Date
1.0	Karen Wei	新政策发布 New Release	07/01/2015
1.1	Karen Wei	1. 在年度《培训计划》里增加培训有效性评估方式; Added training effectiveness evaluation approach in Annual Training Plan; 2. 定义了培训反馈率的要求; Defined the requirement of training feedback ratio; 3. 定义了基于岗位的内部转岗培训流程。 Defined the process of position based training process after internal job transfer;	11/06/2016
1.2	Karen Wei	1. 3.1 条 根据《权签政策 2.0》更新年度培训计划审批流程 Clause 3.1 Annual Training Plan approval chain updated as per Signature Authority Policy V2.0 2. 3.2、3.3 条 人事行政部、直线经理及员工职责更新 Clauses 3.2 and 3.3 Role and Responsibility of HRA, LM and Employees updated 3. 3.4 条 删除内部培训师相关内容 Removed clause 3.4 Internal Trainer related 4. 培训种类相关内容更新 Training Types updated 5. 培训来源相关内容更新 Sources of Training updated 6. 新增流程图 process flow-chart added	05/22/2017
2.0	Karen Wei	1. 更新 3.2 及 3.3 条直线经理和人事行政部职责;	2018/07/11

		<p>Responsibilities of Line Manager and HRA Department is updated respectively in Clause 3.2 and Clause 3.3;</p> <p>2. 新增第 7 条-培训协议; Added new section of Training Agreement under Clause 7;</p> <p>3. 新增附件 F 《培训协议》 Added Annex F of Training Agreement</p>	
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1 目的 Purpose

公司重视持续学习，并鼓励员工发展、提升自身能力，根据公司和员工的目标需求，为员工提供适当的培训。

The company recognizes the importance of continuous learning and encourages employees to develop and upgrade themselves. Every effort is made to provide and support the proper training as per the target needs of the company and the employees.

2 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 employees of Rockwell Collins CETC Avionics Co., Ltd.

3 职责 Responsibility

3.1 总经理、副总经理、财务总监 General Manager, Deputy GM, CFO

批准全公司年度培训计划及年度培训预算，对培训所需的资源予以支持。

Takes charge of approving the company annual training plan and training budget, and provide required supports.

3.2 直线经理 Line Manager

- 负责本部门的培训需求分析，确保培训符合法规及公司要求的上岗技能/证书和岗位发展的要求；
Takes charge of training needs analysis to ensure the training aligned with the legal requirements for job skills/certificates and position development that meets business needs.
- 制定部门所有员工的年度培训计划；
Establishes the annual training plan for department employees.
- 确保该部门员工接受上岗培训以及公司其他必修培训；
Ensures that employees in the department receive job trainings and other company mandatory trainings.
- 下属员工在启动相关培训准备工作前（如：出差申请、外部培训申请、培训报名等），直线经理根据培训内容、费用、参训人员等情况及时告知部门或上级经理及人事行政经理，以使 HR 能及时启动是否签订培训协议的管理层评估。与 HR 一起，向部门内需要签署培训协议的员工，执行培训协议签署沟通工作；
Responsible for notifying department/upper level manager and HRA Manager before the training preparation (e.g. travel plan, external training application, training enrollment etc.) starts, so that HR can initiate the management evaluation on whether training agreement shall be signed. And work together with HR to conduct the training agreement communication to the employee.
- 审核并评估员工提供的培训反馈信息
Reviews and assesses training feedback information provided by employees.

3.3 人事行政部 HRA Department

- 审核全公司年度培训需求与预算，并汇总后提交给高管批准
Reviews the company annual training needs and budget. Summarizes and submits to Leadership for approval.

- 组织协调公司的各类内部培训
Organizes and coordinates various internal trainings
- 提供必要的外部培训资源作参考
Provides necessary external training resources for reference
- 与直线经理及相关管理层一起参与培训协议签订前期评估、执行培训协议员工签署工作；
Participates the evaluation with line manager and associated management team on a training agreement initiative, and conduct training agreement signing with the employee
- 培训记录文件保存
Training record archiving
- 反馈意见收集及改进
Collects training feedback and work on improvement

3.4 员工 Employees

- 积极配合培训需求调查工作，积极与部门经理主管确认培训需求
Actively participate in training needs analysis and confirm their training needs with department manager.
- 按规定及时间计划参加培训，提供培训评估反馈
Attend training courses as required and scheduled, and provide training evaluation and feedback.

4 培训种类 Types of Training

4.1 入职培训 On-board Training

属强制性培训，是所有正式员工入职后必须完成的培训，以保证员工能够及时胜任所负责的工作职位，包括由人事行政部协调、相关职能部门安排的通用性培训（适用于所有新员工的基础培训）和由用人单位自主安排的岗位培训（适用于新员工的专业岗位培训）。所有新员工必须在试用期内完成公司设置的入职培训课程，以保证该岗位新员工掌握基本知识和技能、理解程序要求并达到基本工作要求。培训记录将作为新员工试用期转正的评估依据。

It is compulsory training to ensure the employees are able to work in their positions. All the new employees must participate on-boarding trainings as of Day one. It includes HRA-coordinated and supporting functions-organized general orientation (basic training applied to all new staff) and hiring department led position training (position-based professional skill training). All new employees must complete the on-boarding trainings within the probation period to ensure the new employee master the necessary knowledge and skills, understand the procedure requirements to perform the work. The relevant training records will be taken as part of the necessary documents for probation evaluation.

4.2 商业行为准则培训及知识产权保护培训 Standard Business Conduct

Training and Intellectual Property Training

属强制性培训。公司每年组织商业行为准则培训、知识产权保护培训等合规、法律培训，所有员工必须按要求参加此类培训。

Company organizes trainings on Standard Business Conduct and Intellectual Property Protection alike compliance and legal trainings on annual basis. Each employee's participation is compulsory.

4.3 通用技能培训 General skill training

根据审批的《年度培训计划》(附件 A), 针对提高员工个人通用技能, 如质量意识、沟通技巧、执行力、管理技能等、职业能力的培训。人事行政部每年根据部门需求制订计划并主导执行。

Based on approved Annual Training Plan (Annex A), such training aims to improve employee general skills, e.g. quality awareness, communication, execution, leading skills etc. professional competency HRA Department work out the training plan based on training needs and put into implementation accordingly.

4.4 专业技能培训 Function professional training

根据年度业务项目计划和员工能力发展计划, 结合具体工作岗位职责和年度个人目标, 与业务部门核心专业技能相关的培训。经业务部门识别培训需求, 提交至人事行政部列入公司年度培训计划提交审批。专业技能培训由需求部门主导(培训资源、采购审批等), 实施阶段由人事行政部协助后勤安排等事宜。

According to annual business project plan and employee development plan, considering specific position responsibilities and individual annual business goals, these are core professional/technical trainings of each department. The training needs is identified by the department and submitted to HRA for approval after consolidated into company annual training plan. Function professional training is led by department (e.g. training resource identification, procurement approval etc.), HRA providing logistics support in delivery phase.

5 培训来源 Sources of Training

5.1 内部培训

此类培训资源一般为公司的内部资源, 表现为培训师是公司内部的人员。

Internal training: internal resources, the trainer is from company internally

5.2 外部培训

此类培训资源一般为外部资源, 培训师为外部人员, 包括:

External training: external resources, the trainer is from external organization, which includes:

5.2.1

邀请外部培训师至公司内实施培训;

Trainings delivered inside company premise by an external trainer;

5.2.2

部分员工经过审批前往外部培训机构在公司以外的场地组织的培训, 包括以学历或资格认证为导向的培训。

Trainings participated by a few employees with prior approval organized by an external training organization in an external location, including degree education and qualification certification trainings.

6 培训程序 Training Procedure

6.1 制定年度培训计划 Work out Annual Training Plan

6.1.1

各部门根据基于公司战略发展规划制定的能力矩阵差距分析、项目执行能力要求、员工个人发展计划等), 将培训需求提交人事行政部。

Each department shall submit its training needs to HRA. The training needs shall be generated from company strategic plan driven competency matrix gap analysis, project execution competency requirement as well as individual development plan.

6.1.2

人事行政部根据各部门提交的培训需求, 结合公司业务需求制定年度培训计划并提交高管批准。根据当年业务活动情况, 通常下一年度培训计划需在当年 12 月至次年 01 月底之前完成审批, 并在次年 06 月-07 月期间根据最新的业务需求进行调整 (如有必要)。

HRA department shall review departments' training needs and make the company annual training plan with the consideration of company business needs, then submit to leadership for approval. As per business activities of the year, the annual training plan of next year shall be finally approved during December to the end of next January, and another review during next June to July shall be conducted to see if any need make adjustment against the most up-to-date business needs.

6.1.3

转岗人员新主管需在该员工转入新岗位两周以内为其制定岗位培训计划, 并设定培训有效性评估方式。

The new Line Manager should create position skill based training plan for the employee within 2 weeks upon his/her job transfer effective date with training effective evaluation approaches defined.

6.2 培训实施 Training Implementation

6.2.1

内部培训由人事行政部组织或协助相关部门实施, 受训人参加培训, 培训师授课, 并按既定方式评估培训。内部培训根据培训内容的需要填写附件 D《培训反馈表》, 原件由人事行政部负责保存。

HRA department shall organize or support the department to organize an internal training, ensuring the trainees' participation, coordinate with the trainer and evaluate the training effectiveness. Annex D Training Feedback Form shall be filled and the hard copy to be filed by HRA.

6.2.2

基于已审批的年度培训计划, 邀请外部培训机构专业讲师至公司培训时, 由该培训负责部门主导整体实施流程, 包括但不限于: 根据公司财务及采购政策的要求, 从市场上评选资质优异、费用合理的专业机构及讲师, 并完成采购申请、合同签署审批流程、培训通知发送及现场实施支持 (人事行政部可提供现场后勤支持, 如文具、茶歇准备等), 培训记录文件 (如: 附件 C《培训签到表》、附件 D《培训反馈表》等) 保存, 培训反馈总结等。

Based on the approved annual training plan, when an external training company shall be invited to JV to deliver an in-house session, the owner department of the training shall be responsible steering

the execution process, which includes but not limited to: complying with company finance and procurement policy, sourcing and evaluating a qualified professional organization and trainer for reasonable quotation, completing procurement application, contract signing process, sending out training invitation and on-the-spot logistics support (HR can support on stationary, tea-break etc. preparation), training record documents (e.g. Annex C Training Attendance Record , Annex D Training Feedback Form etc.), training feedback summary etc..

6.2.3

员工根据培训需求需申请参加外部培训时，先填写附件 B《外部培训申请表》，经审核批准后安排执行。凡参加公司以外的外部培训课程，原则上必须由人事行政部统一对外安排课程，部分专业性很强的课程可由需求部门自行对外联系，但各部门自己联系的外部培训课程需报人事行政部，由人事行政部统一审核。课程结束后两周内，根据培训内容性质，外出培训人员需在公司进行转训或提交《外部培训报告》并将《培训签到表》、《培训反馈表》、取得的培训证书（如有）等复印件、转训《培训签到表》或附件 E《外部培训报告》交于人事行政部，否则不予报销课程费用。

Employee shall fill out Annex B External Training Application form for scheduled external training. After review and approval, the training will be arranged. In principle, HRA department is responsible for external training arrangement. For some professional skill training courses, the functional department could contact the external trainer/organization directly and inform HRA department of the training details for review. Within two weeks After the training, based on the training subject nature, the trainee needs to conduct replication training or to fill in External Training Report, and handover the copies of Sign-in Sheet, training feedback form, training certificate if applicable as well as replication training Sign-in Sheet or properly filled Annex E External Training Report to HRA for filing. For those who fail to do so, the training expenses will not be reimbursed.

6.2.4

转岗后员工的新直线经理需负责追踪并确保该员工转岗岗位培训计划的有效实施。

The new Line Manager is responsible to monitor and track effective execution of an employee's job transfer position skill based training plan after.

6.3 培训评估 Training Evaluation

根据培训内容的性质，对于培训效果评估将采取多样化评估方式，包括但不限于：培训反馈表、测验、直线经理反馈、培训证书。

In accordance with the nature of the training content, varied training evaluation approach will be adopted, which includes but not limited to Evaluation Survey, Quiz, Line Manager feedback, training certificate.

6.4 培训记录及管理 Training Records and Management

6.4.1

所有的培训必须有培训记录。公司统一组织的内外部培训在培训结束后受训人和培训师必需填写员工培训记录。个人申请的外部培训，员工需在结束后两周内将培训证书等相关复印件和《培训反馈表》交给人事行政部门留存。培训评估反馈率，如参训人数小于 5 人需达到 100%，参训人数大于等于 5 人时需达到 70%及以上。人事行政部将学员培训反馈结果在培训结束后一周内发送给培训学员直线经理及公司管理层。

There must be training record for each training. After the completion of internal and external trainings organized by the company, the trainees and trainers must fill in employee training records. For the external trainings applied by individuals, the relevant employees must submit the copies of training certificates and training feedback forms to HRA department for filing within two weeks after completion of trainings. Regarding Training Evaluation feedback ratio, it needs to be 100% if less than 5 participants, otherwise 70% and above is required. HRA should share the training feedback result to the trainees' line managers and leadership team within one week once the training is organized.

6.4.2

与员工岗位技能相关的培训及考核记录由员工所在部门负责保管。员工转岗或调动部门时，其在原岗位或原部门的相关培训记录由原部门移交给其新岗位或新部门保管，以确保培训记录的连贯性和完整性。由各部门自行保管的培训所有记录需在年底统一提交至人事行政部由公司集中存档。

The training and examination records relating to employee position skills shall be kept by the departments where the employees serve. When any employee changes his or her position, relevant training records in his/her current position and department shall be passed to the new position or department for filing, to ensure the continuity and completeness of the training records. Training records managed by departments shall be submitted to HRA department around the end of the year for company consolidated archiving.

6.4.3

其余所有培训记录需交到人事行政部，由人事行政部门统一保存。

All the other training records shall be delivered to HRA department for filing.

整体培训流程如图-1 所示

The overall training management process as Figure - 1:

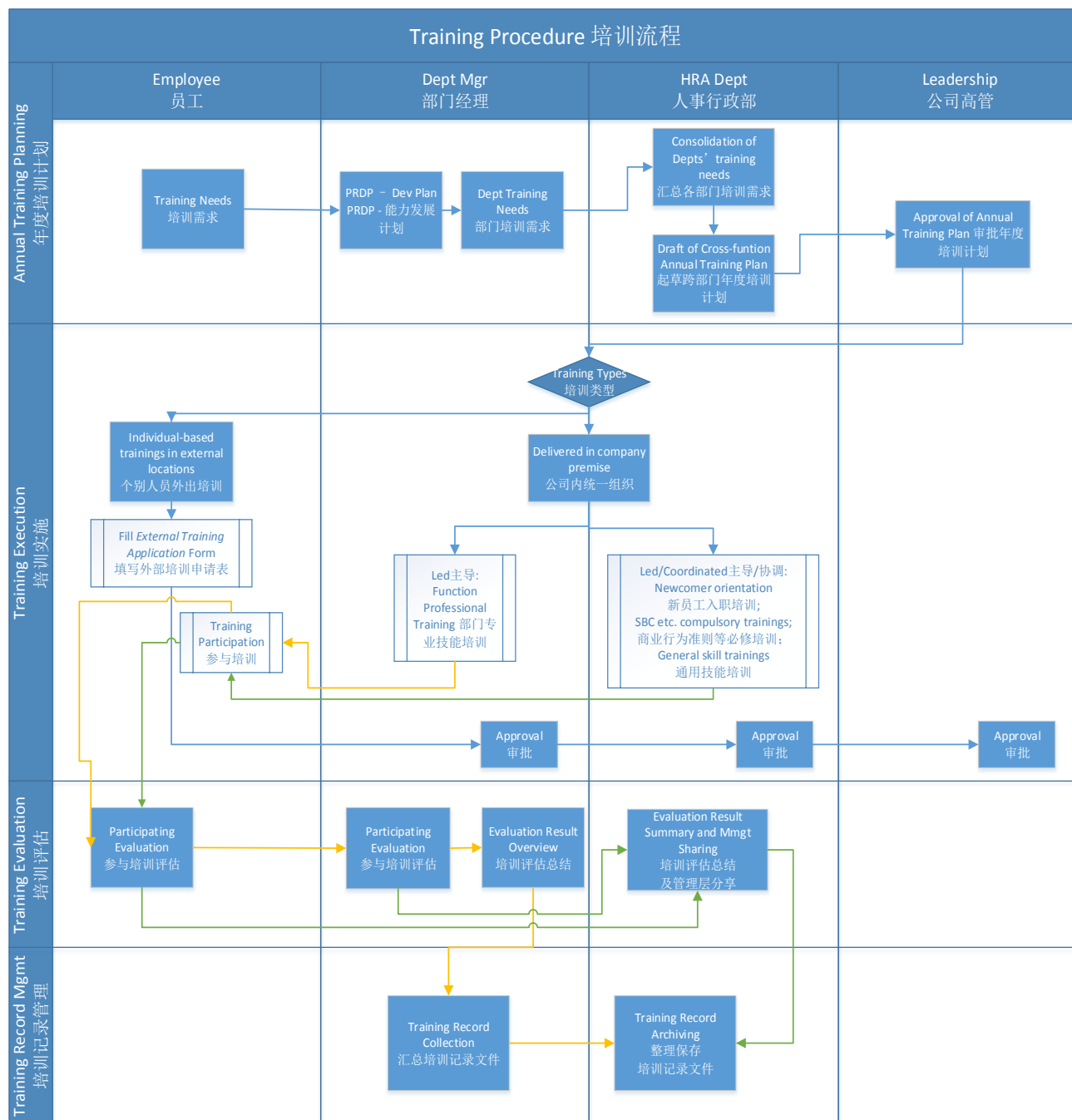


图-1 Figure – 1

7 培训协议 Training Agreement

7.1 概述 Overview

根据《劳动合同法》相关规定，用人单位为劳动者提供专项培训费用，为其进行专业技术培训的，可以与该劳动者订立协议，约定服务期。

As stipulated in Labor Contract Law, when an employer provides specialized technical training to an employee and pays for the training, the company can sign an agreement with the employee with his/her service term commitment agreed.

前往国外参加培训（培训形式不限于教室培训，包括在关联公司专业人员指导下工作的在职培训等多种学习形式）、学位/学历课程、行业资质认证培训等由公司投入高额费用的员工，公司将根据具体情况确定与其签订培训协议。培训协议内规定了服务期，并按如下原则进行设定：

Company will consider and decide whether to sign a training agreement with the employee, in the case that he/she participates oversea training (training method not limited to classroom training, but incl. on job training by working under guidance from professional of affiliated company etc.), and/or degree education program, industry professional certification training program etc. costly trainings. The service period is stipulated in a training agreement, principle of which is as follow:

培训费用 Training expenses	服务期限 Service Period
10,000 ~ 50,000 元 RMB10,000 ~ RMB50,000	2 年 2 years
50,001 ~ 100,000 元 RMB50,001 ~ RMB100,000	3 年 3 years
RMB100,001 and above 100,001 元及以上	5 年 5 years

申请学历/学位课程的员工，需在本公司工作满 2 年及以上，且在过往 2 年的绩效评估中没有低于“表现良好”的评估结果。

For degree education program, the eligible employee must have been working with the company for at least two years, and with no lower than “Successful Contributor” performance rating over the last 2 years.

7.2 培训费用 Training Cost

培训费用指单项培训所发生的所有实际费用，包括培训费、差旅费（含交通及食宿）、每日津贴、培训人员费用等。所有费用应有正式发票或相关文件作为凭证。员工参加的如果是海外关联公司的内部培训，则培训师费用按照 200 美元/天计算。

Training expenses mean the total actual cost for a single training, including training fee, travel expenses (lodging and transportation), daily allowance, and trainer’s cost etc.. All the expenses shall

be based on official invoices or relevant documents as evidence. For overseas training from affiliated company by its internal employee, the trainer's cost is counted as USD200 per day.

7.3 培训服务期计算 Calculation of Service Period

培训服务期自培训结束之日起计算。如员工在一个培训服务期内，发生了其他培训服务期，则后一个培训服务期应从前一个培训服务期结束之日起开始计算。

The training service period shall be calculated from the completion date of the training. If an employee's another service period commences within the current service period, the later service period will be counted after the former service period is served.

一个日历年度内（1月1日至当年12月31日），无论累计培训费用多少，累计培训服务期限最高为5年，从该年度最后一次培训服务期限开始日计算。

Within one calendar year (January 1st to December 31st), the maximum training service period is five years, no matter how much the total training expenses are. The service period will be counted as of the commencement date of the last training service period of the employee in the year.

如果员工在劳动合同期或服务期内非因公司原因辞职，或因违反劳动合同法第三十九条规定而遭停职或合同解除，则员工应按培训协议列明的方式向公司返还所有或未履行服务期的部分培训费用。

If the employee quits the job for his/her own reason, or is suspended from the position or is terminated due to misconduct during the term of employment or the service period, he/she shall pay back all or partial (corresponding to the unserved service period) training expenses to the company as stipulated the training agreement.

8 培训风险识别 Training Risk Identification

序号 No.	风险描述 Risk Description	规避措施 Preventive Actions
1	年度培训计划不能按时完成制定 Annual Training Plan cannot be created in time	年度培训计划制定时间（即12月至次年1月底）已明确写入培训流程； Annual Training Plan generation period is clearly specified in Training Procedure; HR 将会根据流程，协调各部门严格按照时间计划执行 HR shall coordinate across functions to execute as per the defined timeline
2	未能按计划实施培训 Training plan is not executed as planned	年中回顾和修订年度培训计划已明确写入培训流程 Mid-year review and revision of annual training plan is defined in Training Procedure

3	<p>培训效果不能达到预期 Training efficiency cannot reach expectation</p>	<p>多样化培训有效性评估方式已定义在培训流程里，根据培训内容性质选择可行方式进行评估 Varied training evaluation approaches are defined in Training Procedure, the applicable one can be adopted as per the training subject</p>
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9 补充说明 Supplementary Information

本规定自 2018 年 07 月 11 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 Jul. 11th, 2018 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.

附件 Annex

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| a) RCCAC-HRS-P-001_Annex A 《年度培训计划》 | Annual Training Plan |
| b) RCCAC-HRS-P-001_Annex B 《外部培训申请表》 | External Training Application |
| c) RCCAC-HRS-P-001_Annex C 《培训签到表》 | Training Attendance Record |
| d) RCCAC-HRS-P-001_Annex D 《培训反馈表》 | Training Feedback Form |
| e) RCCAC-HRS-P-001_Annex E 《外部培训报告》 | External Training Report |
| f) RCCAC-HRA-P-001_Annex F 《培训协议》 | Training Agreement |