

Huawei Technologies España S.L

Human Resources Department

Huawei Spain HR Department NT No. 【2020】 001

Approved by: Chenyu

Guidelines on how to claim the review of the PBC result in Huawei Technologies España S.L.

This document outlines the guidelines to claim the result of the PBC evaluation by employees in case of disagreement, to be followed in order to ensure the consistent treatment of the rating scheme applicable within Huawei Spain subsidiary.

To open a claim process employee must consider that previously he/she has reviewed the result either with his appraiser manager or director department. If employee does not agree on the explanations given by business line during the feedback communication (either face to face or electronic) for the result of the performance appraisal then employees may place the claim to human resources department after the first week of its publication in the PBC tool.

At first instance, it will be communicated to the HRD to promote the openness clarification and investigation of the case, the department director will sponsor and facilitate the creation of the commission supporting the investigation with whatever documentation, information needed to analyze all the factors that determine the result of the PBC.

All complaints about performance appraisals should be handled within 7 natural days after the complaint is received. Complaint-handling staff shall keep information of a complaint confidential. The HR staff in charge of handling a complaint should tell the complainant the current step they are on in the complaint process.

I. Process

The claim procedure was defined by steps the complaint should be resolve using the fewest steps possible to close complains ton the earliest step possible.

The claim procedure has been classified in 3 steps as follows,

Level	Classification	Duration in natural days	Handling by
Step 1	Communication (email)	7 days	Employee complainant
Step 2	Clarification	7 days	HRBP
Step 3	Investigation	7 days	Investigation Team

1. **Communication:**

The employees can file complaints about performance appraisals at any of the following email address:

performance.iberia@huawei.com

performance.spain@huawei.com

This email is reached by the HRBP/COE in human resources Huawei Spain who's in charge of the PBC quality management. Upon reception, the HRBP triggers the actions to open the case through a commission of reviewer managers, co-managers, stakeholders, co-workers to re-evaluate the scope of the PBC compliance. The HRBP/COE who attends the mailbox will send the acknowledge reception of the email to the employee advising on the process start by communicating who will be the HRBP coordinator within 2 working days from mail reception.

2. **Clarification: Complaint filing, reception, and clarification meeting**

- a. **Complaint filing:** If the employee has any objections to their performance results or the manager's behavior in performance appraisals, he should file a complaint via the company's performance appraisals complaint email within one week after the performance results are published as explained in paragraph number 1. Clarification step 2 will last 7 natural days.
- b. **Complaint reception:** The person receiving the performance appraisals complaint conducts a preliminary review of the complaint. The complainant needs to provide details of their complaint. The complaint will be transferred to the HRBP for the corresponding business department or group within two working days after the complaint is received. In principle, the person assigned

by the human resources department to handle the complaint should be the HRBP staff of the Business Group that exercises the authority of approval over the complainant's performance results. If the AT that exercises the authority of approval over the complainant's performance results is an AT of a level-1 department, then an investigation should be organized by the HR staff of the level-1 department. When complaints about performance appraisals are made by individuals serving in positions which headcount belongs to other business groups different from Rep. Office the investigation will be organized by the Individual Performance Management COE.

- c. **Clarification meeting:** After obtaining the employee's consent, the HR staff handling complaints will organize a clarification meeting with the following members: the representative from the AT with the authority of approval over the complainant's performance results, the complainant's first- and second-level managers, and HRBP. They should answer questions about performance appraisals, dispel doubts, listen to the employee's concerns, and drive management improvement. If the employee withdraws their complaint after the clarification meeting, then the complaint is closed at this step.

3. Investigation: investigation, decision-making, and decision communication

- a. **Investigation:** After the clarification meeting, the complaint handling HRBP staff should work with other relevant staff to set up an investigation team to conduct an investigation and to collect evidence to inform decision-making. The investigation team should focus on the complainant's job responsibilities and requirements from the management, performance goals (priorities), performance facts, manager's performance appraisals process, and AT's performance assessment. The team must also collect facts through interviews with the employee's coworkers and through clarifications made by the complainant themselves. Investigation step will last 7 natural days. An investigative report must then be produced.

Investigation Team

1	HRBP of the business area
2	HR of WEU Region
3	One Manager of the business area different from the appraisers

4	One Manager of the business area upper level
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- b. **Complaint decision-making:** In principle, the corresponding business group AT in the country with the authority of approval over the complainant's performance results should make a decision about the complaint while referencing the conclusions of the investigative report.
- c. **Decision communication:** After the relevant AT makes a decision, the HRBP staff handling the complaint and the investigation team should formally communicate the decision to the employee.

II. Management Improvement

After the complaint is closed, the HRBP staff handling complaints should request that an improvement plan and action items be made by both the complainant (for themselves) and by the person against whom the complaint was made (for management).

III. Parties Involved in Complaint Handling

- a. **The party receiving a complaint (Human Resource Mgmt. Dept.)** determines whether a complaint is valid, transfers the complaint to the appropriate party, supervises how it is handled, and keeps a record of the relevant information.
- b. **The investigating party (the HR department for the AT)** organizes an investigation into the complaint, develops investigative reports, communicates the decision to the employee, closes the complaint, and develops case studies to drive improvement in management.
- c. **The decision-making party (AT of the relevant department)** makes decisions on the complaint and drives improvement in management based on the investigation decision.

IV. Effective Date

This document shall take effect upon the date of its release and remain valid for one year from **16th December 2019 to 16th December 2020**. Other documents or clauses that conflict with this document are voided upon the date of issuance.

This document is under responsibility of Human Resources Spain based on the Headquarters Human Resources “*CHR BD. No. 2019 013 Huawei's Regulations on the Handling of Complaints About Performance Appraisals (Provisional)*”.

Report to: Huawei Subsidiary Spain AT and ST members

To: all employees in Huawei Spain Subsidiary, HRBP's Business Units

Cc: Human Resources Dept

Huawei Technologies España, S.L.

1. Document Preparation/Modification Record

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