Program Guide: Open Door Process and Alternate Dispute Resolution
Overview

Sprint’s Open Door process and Alternate Dispute Resolution Program (ADR) work in tandem to support our goal of building productive relationships that allow us to communicate openly, honestly and often. In an effective organization, issues and conflicts are expected and Sprint encourages employees to resolve these issues in a constructive, forward-thinking manner which includes the Open Door Process and, if necessary, the Alternate Dispute Resolution Program.

Most work-related problems are resolved quickly through casual conversations with management. The Open Door Process/ADR Program is not intended to replace normal communications between employees and supervisors; rather it provides the employee and management a structured process when casual conversations do not adequately address an employee concern.

Sprint’s Open Door philosophy encourages employees to take any problems, disagreements, questions, or recommendations to their immediate supervisor, Human Resources, the Ethics Helpline or any member of management.

Sprint’s ADR program supplements Open Door by giving employees an avenue to participate in resolving certain employee relations issues. ADR is designed for use when, in the opinion of the employee, he/she has been affected by an inappropriate or improper application of company policy or practice that has not been successfully resolved through the Open Door Process.

Table of Contents

Step I - Open Door Page 3
Step II - Open Door Page 3
Alternate Dispute Resolution (ADR) Page 4
Step III - ADR Page 4
ADR Eligibility Guidelines Page 5
ADR Scope of Authority Page 6
Who Can Participate in Open Door/ADR Page 7
Recommended Time Frames for Open Door/ADR Page 7
Confidentiality and Retaliation Page 7
Open Door Process

Sprint’s Open Door philosophy allows employees to seek resolution of job-related concerns within the company as quickly, fairly and informally as possible, without retaliation. When normal conversations have not been successful at resolving an issue, the Open Door Process Guide provides tips to assist an employee in preparing for an effective, more formalized Open Door discussion. The steps are as follows:

Step I – Open Door

The employee initiates a structured, scheduled discussion with their immediate supervisor:

1. The employee and supervisor prepare to discuss the situation in an open-minded, professional manner.

2. After the discussion, the supervisor will consider the information covered in the meeting, the employee’s requested desired outcome and respond to the employee within five working days. The response will likely be verbal.

If the response from the supervisor does not satisfactorily resolve the issue, the employee may initiate STEP II – Open Door.

STEP II – Open Door - Next Level

Escalate the concern to the next level of management in the reporting chain:

1. The employee will repeat the actions listed in 1 through 3 of STEP I – Open Door above to prepare for the second level meeting.

2. The reviewing manager provides a response within five working days of the meeting. This response should be written and a copy provided to the employee.

If the concerns are addressed to the employee’s satisfaction in STEP I or STEP II, he/she has completed the Open Door Process. If the employee is not satisfied that the issue has been satisfactorily reviewed after STEP II, he/she has the option to initiate STEP III - Alternative.
Alternate Dispute Resolution (ADR)

When concerns are not resolved through Open Door STEPS I and II, the employee may initiate STEP III - ADR. The steps to engage ADR are as follows:

1. Confirm that the concern is eligible for ADR; see ADR Eligibility Guidelines for a list of eligible and ineligible issues. If the issue is not eligible, the employee is encouraged to continue the discussion of the issue up their management chain as appropriate.

2. If the issue is eligible, the employee should initiate the process by completing the ADR Issue Form and submitting it to the mailbox at adr@sprint.com.

3. The ADR Issue Form requires the employee to document how he/she has made good faith efforts to resolve the concern through STEPS I and II of the Open Door Process and to include their desired remedy.

4. The completed form must be submitted to the adr@sprint.com mailbox within ten working days of either an employee’s termination date or the date he/she received the STEP II - Open Door response from their second level manager.

STEP III - ADR

There are two options available at STEP III depending on the nature and complexity of the complaint, the availability of resources, business unit practices and/or the employee’s preference. An HR Representative facilitates issues that are raised to STEP III and will assist in determining the appropriate hearing option:

- **The Panel Review** can consist of three or five members based on the complexity of the issue and availability of panel members within the work group. The three member panel consists of two individual contributors and one member of management. The five member panel consists of three individual contributors and two members of management. The ADR Facilitator will provide guidance on the optimum number of panel members considering the situation.

- **Individual Management Review** (IMR) consists of a review by a director or above, outside of the employee’s immediate management reporting chain.

During the hearing, panel members or the IMR investigate the concern by:

- Reviewing pertinent documentation
- Interviewing the employee requesting the ADR hearing
- Interviewing the employee’s management
- Interviewing selected witnesses

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Panelists vote by secret ballot (majority rule) to grant, modify or deny the desired remedy. Results of an IMR hearing will also make the decision to grant, modify or deny the request. ADR decisions are final and binding. Following are definitions of the three voting options:

- **Grant** - Grant the employee exactly what he/she requested
- **Deny** - Deny the employee’s request by upholding the original management action
- **Modify** - A modification from the action requested by the employee.

Important to note:

- All termination reviews enter the process at STEP III. The request must be made within ten working days from the termination date.
- After an employee selects a review option, a different option cannot be selected.
- A decision to modify the desired outcome cannot be more severe than the original action

### ADR eligibility guidelines

Many employee concerns are eligible for Panel Review. However, there are issues that are not eligible for review by a panel due to the nature of the situation. These issues can be reviewed by an IMR. Some employment actions are not appropriate for ADR review and are listed below as Ineligible Issues. Following are specific guidelines:

#### Issues eligible for Panel Review or Individual Management Review*

- Written corrective action
- Termination (enters the process at STEP III)
- Improper or inconsistent application of company policy or practice, excluding issues designated only for IMR (See ADR - FAQs for examples of improper or inconsistent application).

*If the Panel option is not available for any reason, then IMR would be available.

#### Issues only eligible for Individual Management Review (IMR)

- Transfer issues
- Demotions
- Promotions within current work group and job family
- Issues involving policy violations related to fraud, harassment, retaliation, discrimination, inappropriate material, drugs, alcohol, firearms or issues involving violent, threatening or intimidating behavior.
**Employment actions ineligible for ADR Review***

- Verbal corrective action
- Reduction in force
- Reorganization
- Selection decisions made through the corporate job posting system
- Job evaluation including related impacts to job level
- Performance ratings
- Change in company policy
- Compensation
- Issues specifically subject to criminal liability (i.e. child pornography, illegal drugs, etc.)

*Questions regarding eligibility of issues may addressed to adr@sprint.com

**ADR scope of authority**

**ADR Panel/IMR can:**

- Return demoted employee to previous position
- Remove, reduce or revise a written corrective action
- Recommend policy changes
- Recommend other remedies that are consistent with company policy and practice
- Reinstatet a terminated employee into their previous position with back pay

**ADR Panel/IMR cannot:**

- Change company policy
- Change pay rates
- Discipline other employees
- Grant leave of absence
- Order promotions or award jobs
- Change performance appraisal ratings
- Impose harsher treatment than the original management action
- Grant separation pay

Any modification of management’s decision which occurs as a result of this process is not and shall not be construed as an admission of guilt or liability by the Company under any federal, state, or local laws prohibiting age, sex, race, disability, color, national origin, retaliation or any other forms of discrimination.
Who can participate in Open Door/ADR?

Open Door is available to all employees and there is no minimum service or job level requirement. ADR is available to all employees below director level who have completed a minimum of six months of Sprint service. Employees may use ADR to address eligible issues as outlined in the ADR Eligibility Guidelines. Qualifications to participate as a panel review member include:

- One year of Sprint service
- Not currently on any level of written corrective action
- Agree to strict confidentiality requirements of the ADR process
- Supervisory notification and agreement to time commitment

Recommended time frames for Open Door/ADR

Employees may initiate discussions through Sprint’s Open Door Process within a reasonable timeframe following the event triggering the issue. Open Door STEPS I and II should be initiated as soon as possible to maximize the opportunity for early resolution. After meeting with management in either STEP I or STEP II, the supervisor is expected to respond to the employee within five working days from the date of the meeting.

A request to escalate the concern to STEP III -ADR should be made within ten working days following receipt of the STEP II decision from the second level manager or ten working days from the termination date.

The established time frames are guidelines for expeditious resolution and may be extended if necessary, based on business considerations or extenuating circumstances.

Employees must respect the privacy of other employees, witnesses and panelists and maintain the confidentiality of the ADR process. Additionally, any acts of retaliation against an employee for participating in the ADR Process will not be tolerated. Violators are subject to corrective action up to and including termination.

<table>
<thead>
<tr>
<th>ADR Timeline</th>
<th>Activity</th>
</tr>
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<tbody>
<tr>
<td>10 working days from receipt of second level manager’s response to Step II of Open Door or Termination Date</td>
<td>Completed ADR Issue Form reaches <a href="mailto:adr@sprint.com">adr@sprint.com</a></td>
</tr>
<tr>
<td>5 working days from date final ADR Issue Form reaches <a href="mailto:adr@sprint.com">adr@sprint.com</a></td>
<td>ADR Panel or Individual Management Reviewer (IMR) selection completed</td>
</tr>
<tr>
<td>5 working days from ADR Panel/IMR selection</td>
<td>ADR Panel/IMR hearing completed</td>
</tr>
<tr>
<td>1-2 working days following hearing</td>
<td>ADR decision communicated to employee and employee’s management by HR facilitator</td>
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