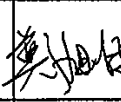
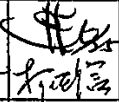
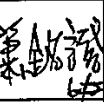


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檢舉作業管理辦法
Accusation Management Regulations

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1.0 目的 Purpose

為使針對本公司之檢舉案件能有效控管，並建立暢通之檢舉管道，與公正之調查程序，以遏止黑函並糾正可能的不當行為，特訂定本辦法。

This regulation is specially formulated in order to effectively control the accusation case of the company and establish smooth accusation channel and fair investigation procedure, so as to prevent blackmail and correct possible undue behavior.

2.0 範圍 Scope

2.1 檢舉人 Accuser

含正式、約聘、派遣之本公司在職同仁，惟公司外部人員若有發現重大不法情事者，可將其納入適用。

Including official, contracted and dispatched in-service employee of the company, however, if external personnel of the company finds any significant malpractice, such personnel can be included as accuser.

2.2 檢舉範圍 Scope of accusation

檢舉對象有違反法令、公司規章制度，或有其他不當行為致影響公司權益者，得提出檢舉。

Accusation may be proposed if the accused object violates laws and decrees, rules and regulations of the company, or has other undue behaviors affecting the rights and interests of the company.

3.0 定義 Definition

3.1 個人檢舉 Individual accusation

同仁單獨以個人名義進行具名檢舉。

A employee proposes real-name accusation independently in his/her own name.

3.2 聯合檢舉 Joint accusation

二人(含)以上同仁聯合進行具名檢舉。

Two (inclusive) or more employees propose real-name accusation jointly.

3.3 黑函 Blackmail

以匿名方式所提出之檢舉信函。

The accusation letter proposed anonymously.

4.0 權責 Responsibility

4.1 人力資源部 Human Resources Department

負責受理檢舉案並提出初審建議，送獎懲評議委員會審理，並依審理結果辦理後續事宜。

Responsible for accepting accusation case and proposing suggestion on preliminary examination, sending the case for Rewards and Punishment Committee for hearing, and handing subsequent matters thereof according to hearing result.

4.2 調查小組 Investigation group

由獎懲評議委員會核定成員所組成之跨部門小組，負責調查檢舉內容是否屬實，並提交調查報告。

The trans-department group formed by the members as approved by Rewards and Punishment Committee, which will be responsible for investigating whether the accusation contents are true and proposing investigation report.

4.3 獎懲評議委員會 Rewards and Punishment Committee

審理檢舉案件初審建議書及檢舉案件調查報告，並提出懲處建議。

Responsible for hearing the accusation case preliminary examination proposal and accusation case investigation report, and proposing suggestions on punishment.

4.4 各部門 Each Department

各部門相關人員應配合協助調查小組執行有關調查工作。

Relevant personnel of each department shall coordinate to assist investigation group to execute relevant investigation works.

5.0 作業內容 Activity

5.1 作業流程 Operation procedure

依本辦法附件一之流程圖進行。

Subject to Attachment 1 - Flow Chart of this Regulation.

5.2 檢舉 Accusation

由檢舉人填寫「檢舉書」(附件二)，檢舉事項需符合本辦法 2.2 項範圍，並提供人、事、時、地、物等具體說明與相關事證，送交人力資源部專用檢舉電子郵件信箱或以紙本密件傳送。同仁得使用檢舉專線電話通報檢舉案件，惟仍須提供前述相關檢舉文件及事證。受理聯合檢舉時，將以單獨案件辦理，檢舉時需選定代表人以便連絡。

The accuser shall fill in "Accusation Letter" (Attachment 2), the accusation matter must conform to the scope as prescribed in Article 2.2 hereof, besides, accuser shall provide specific descriptions and relevant evidences on the concerned person, matter, time, place and object etc., and submit the such letter to the special accusation e-mail box of Human Resources Department or send it in confidential paper copy. Employee may use accusation special line to report the accusation case, provided such employee shall still provide relevant accusation documents and evidences as mentioned above. When accepting joint accusation, it will be handled as single case, and representative shall be elected upon accusation for the convenience of contact.

檢舉案件來自公司外部時，接獲檢舉資料之單位或同仁應將完整檢舉資料於第一時間交由人力資源部進行後續處理，若檢舉對象所屬部門有隱匿、拖延導致影響處理時效使公司權益受影響時，將依公司相關規定辦理懲處。

When the accusation case comes from outside the company, the unit or employee that receiving the accusation materials shall submit the complete accusation materials to Human Resources Department at first time for subsequent handling, if the affiliated department of accused object has any concealment or delay that causing impact on the handling time and affecting the rights and interests of the company, it shall be punished according to relevant regulations of the company.

5.3 受理立案 Case acceptance

人力資源部受理檢舉案件後，若有需要，得請檢舉人補充相關說明或事證，依檢舉資料相關內容進行初審，針對是否成立跨部門調查小組進行調查提出建議，填寫「檢舉審查書」(附件三)併同案件資料送交中鼎獎懲評議委員會審核是否立案調查處理。若非屬檢舉範圍或檢舉人所提事證不詳實，應請檢舉人補齊。若檢舉案件屬黑函，人資部得不予處理。

After Human Resources Department has accepted the accusation case, if necessary, it may ask the accuser to supplement relevant descriptions or evidences, conduct preliminary examination according to relevant contents of accusation materials, propose suggestions on whether or not to establish trans-department investigation group for investigation, fill in "Accusation Preliminary Examination Proposal" (Attachment 3) and submit it to CTCI Rewards and Punishment Committee together with other case materials for review and approve whether or not to open a case for investigation. If it is not belong to the scope of accusation or the evidences proposed by accuser are not detailed and true, Human Resources Department shall ask the accuser for supplement. If the accusation case is blackmail, Human Resources Department may not handle it.

5.4 調查 Investigation

中鼎獎懲評議委員會如決議立案調查時，需依檢舉案件情況指定相關單位代表組成調查小組並指派小組召集人，開始進行調查。調查過程中，人力資源部須依調查小組之調查作業規畫，通知相關應配合協助調查單位。調查小組於必要時，得約談相關人員或請相關人員提供相關資料，以協助調查。完成調查後，將調查報告送交人力資源部。

If the CTCI Rewards and Punishment Committee decides to open a case for investigation, it shall designate relevant unit representatives to form

investigation group and assign group convenor to start investigation according to the situation of accusation case. In the course of investigation, Human Resources Department shall inform relevant units that shall cooperate to assist in investigation according to the investigation plan of the investigation group. When necessary, investigation group may interview relevant personnel or ask relevant personnel to provide relevant materials to assist in investigation. After the completion of investigation, investigation group shall submit investigation report to Human Resources Department.

5.5 懲處 Punishment

人力資源部收到調查報告後，依「中鼎工程同仁獎懲辦法」規定召開獎懲評議委員會會議審理檢舉案，並依上述辦法提出懲處建議。人力資源部再將完整報告內容呈報董事長核定。

After Human Resources Department has received the investigation report, it shall convene the meeting of Rewards and Punishment Committee pursuant to "CTCI Employees Reward and Punishment Regulations" to hear the accusation case, and propose punishment suggestions according to the preceding Regulation. Then Human Resources Department will submit the complete report contents to the Chairman for review and decision.

5.6 回應 Response

任何檢舉案件，人力資源部均需以書面回應處理結果予檢舉人。如屬不實指控之檢舉，或屬謾罵性內容，回應內容應包含有關法律責任之提醒。

For any accusation case, Human Resources Department shall respond to the accuser in writing on the handling result thereof. For false accusation or fling abuses, the responding content shall include the reminder on relevant legal responsibility.

5.7 保密責任 Confidentiality obligation

人力資源部負責業務同仁與獎懲評議委員會及調查小組所有人員，均應對檢舉人資料負保密責任。




Responsible employee of Human Resources Department and all members of Rewards and Punishment Committee and investigation group shall bear confidentiality obligation for the materials of accuser.

6.0 參考文件 Reference document

CP-319-B 中鼎同仁獎懲辦法

CP-319-B CTCI Employees Reward and Punishment Regulations

7.0 附件 Attachment

附件一 Attachment 1	作業流程圖 Work Flow Chart	 附件一、流程圖.doc
附件二 Attachment 2	檢舉書 Accusation Letter	 附件二、檢舉書.doc
附件三 Attachment 3	初審建議書 Accusation Preliminary Examination Proposal	 附件三、檢舉初審 建議書.doc