



# 檢舉作業管理辦法 Accusation Management Regulations

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## 1.0 目的 Purpose

為使本公司誠信之企業文化能有效彰顯與落實，鼓勵知情者主動舉發不法事件，在不法事件影響範圍擴大之前予以防治及處理，特訂定本辦法使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。

For implementing and manifesting our corporate culture sincerity effectively and encouraging insiders to report illegal events so as to prevent and deal with illegal events before their impacts spread, these regulations are 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.

### 3.4 提供資料 Provision of Information

指檢舉人提供不法事件相關資料、出席作證，或以其他任何方式協助調查之行為。

An accuser is expected to provide information relevant to the concerned illegal event, appear to testify or help with investigation in any manner.

## 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.

#### 4.5 董事長 Chairman

核定檢舉案件報告。

Approve accusation case report.

### 5.0 作業內容 Activity

#### 5.1 作業摘要流程圖 Flowchart of Activity Abstracts

檢舉作業摘要流程圖如附件一。

Flowchart of Accusation Management Activity Abstracts please refer to Attachment-01.

#### 5.2 檢舉 Accusation

由檢舉人於檢舉網站(<https://secure.conductwatch.com/ctci/>)上提供人、事、時、地、物等具體說明與相關事證(檢舉事項需符合本辦法 2.2 項範圍)，或送交專用檢舉電子郵件信箱(CTCI@conductwatch.com.tw)。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 provide specific descriptions and relevant evidences on the concerned person, matter, time, place and object etc, (the accusation matter must conform to the scope as prescribed in Article 2.2 hereof), on accusation website (<https://secure.conductwatch.com/ctci/>) or submit such information to the special accusation e-mail box(CTCI@conductwatch.com.tw). 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「初審建議書」(附件二) 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。

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-02) 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.

#### 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，惟與檢舉案件有利益衝突之人員應主動迴避不得參與調查。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以機密文件保存。

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. However, those who have conflicts of interest in the accusation case shall avoid voluntarily and shall not participate in the investigation. 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 keep as confidential documents.

#### 5.5 懲處 Punishment

人力資源部收到調查報告後，依「CP-319-B 同仁獎懲辦法」規定召開獎懲評議委員會議審理檢舉案，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 "CP-319-B 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。本公司同仁如有虛報或惡意不實檢舉之情事者，應予以懲處，情節重大者應予以解雇。

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. If an employee of CTCI accuses falsely or malevolently, the employee will be punished and shall be dismissed in the serious situation.

## 5.7 保護措施 Protective Measures

5.7.1 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，並以書面聲明(如附件三)不得洩漏任何足以識別其身分之資訊，內容包含但不限於姓名、員工編號、身分證統一編號、性別、出生年月日、所屬部門、職位、職等、聯絡方式及其他得以直接或間接方式識別該個人之資料。

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, and shall declare in writing that they shall not disclose any information that can be used to identify a specific individual, including but not limited to name, employee number, ID Card no., gender, date of birth, department, job title, position grade, contract information and other data that may be used directly or indirectly to identify the individual by using attachment-03.

5.7.2 本公司承諾並保護檢舉人不因檢舉之案件而對檢舉人予以解雇、降職、減薪、損害其法令、契約或習慣上應享有之權益或其他不利處份。惟本公司同仁如有明顯虛報或惡意不實檢舉之情事者，則不受此保護。

CTCI promises to protect accusers from being dismissed, demoted, or disciplined by pay cut or impairment of any of their rights available legally, in a contract or based on custom. However, if an employee of CTCI accuses falsely or malevolently, the employee will not be protected under this clause.

## 5.8 誘因機制 Incentive Mechanism

5.8.1 本公司同仁依本辦法舉發違反或有損公司利益之案件，經查明屬實或設法防止使公司減免損害者，酌予新台幣 10 萬元以下之獎金。

When an employee of CTCI reports any event in accordance with these regulations that violates or impairs corporate benefit, the employee shall be granted a reward of no more than NT\$100,000 if the reported event is found factual or the report enables CTCI to reduce or prevent damage.

5.8.2 檢舉人如曾涉入其所檢舉之不法情事，因提供資料並協助本公司與行政司法機關調查事實者，得減輕或免除其懲處等級及責任。

In case an accuser reports the illegal event in which the accuser has been involved, and then provides information and assists CTCI and administrative and juridical authorities in investigating facts of the illegal event, the punishment and liability to be imposed on the accuser for the illegal event shall be reduced or exempted.

## 6.0 相關/參考文件 Relevant/Reference Document

### 6.1 上階層關聯文件 Higher Level Document

無 None

### 6.2 同階層關聯文件 Same Level Document

CP-319-B 同仁獎懲辦法

Employees Reward and Punishment Regulations

## 7.0 附件 Attachment

附件一 檢舉作業摘要流程圖

Attachment-01 Flowchart of Accusation Management Activity Abstracts

附件二 初審建議書

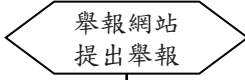
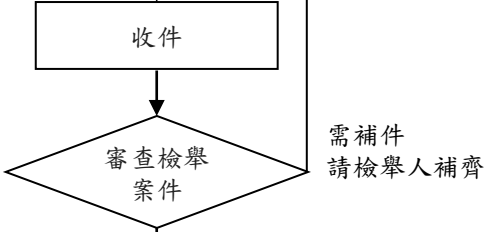
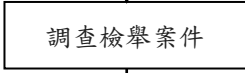
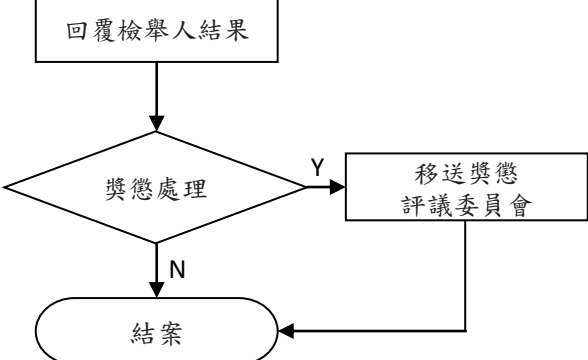
Attachment-02 Accusation Preliminary Examination Proposal

附件三 保密切結書

Attachment-03 Non-disclosure Agreement



# 檢舉作業摘要流程圖

作業階段	作業流程	權責人員/單位	時間	文件/表單	備註
檢舉		檢舉人		檢舉資料	
受理立案		人力資源部 獎懲評議委員會		檢舉資料 附件二-初審建議書	
調查		調查小組		調查報告 附件三-保密切結書	
結案		人力資源部 獎懲評議委員會		獎懲公告	

機密  
Confidential

年(yyyy) 月(mm) 日(dd)

被檢舉人 姓名		所屬 部門		職稱		工 號	
檢舉內容							
(請詳附件)							
人力資源部初審建議							
<input type="checkbox"/> 具名檢舉； <input type="checkbox"/> 匿名檢舉，屬黑函 <input type="checkbox"/> 檢舉項目符合本辦法 2.2 規定，屬中鼎工程同仁獎懲辦法第_____項規定之事由 <input type="checkbox"/> 檢舉項目不符合本辦法規定 <input type="checkbox"/> 進行調查； <input type="checkbox"/> 不進行調查 (如決議調查則需請獎懲評議委員會指定調查小組成員)							
經手人	人力資源部主管	人力資源主管	總管理處主管				
獎懲評議委員會審查結果							
<input type="checkbox"/> 同意 <input type="checkbox"/> 不同意 (請說明)							
調查小組人員： 召集人： 成 員：  協辦部門：							
主委簽署：							

因本人參與檢舉案件編號\_\_\_\_\_之調查/審查/行政或其他相關工作，特以此切結書承諾對本案檢舉人資料負保密責任，絕不以任何形式、向任何人洩漏足以識別檢舉人身分之資訊，其資訊包含但不限於姓名、員工編號、身分證統一編號、性別、出生年月日、所屬部門、職位、職等、聯絡方式及其他得以直接或間接方式識別該個人之資料。

For my participation in investigation / review / administration concerning the reported event No.\_\_\_\_\_ and other relevant tasks, I hereby make this non-disclosure agreement to be under obligation to keep the personal data of the informant confidential. I will not disclose, in any manner, to any person any data that may be used to identify the informant. Such data include but are not limited to name, employee number, ID Card no., gender, date of birth, department, job title, position grade, contact information and other data that may be used directly or indirectly to identify the informant.

如有違反保密規定，致洩漏公務機密者，除涉及民、刑事責任移由司法單位偵辦外，另依公司獎懲管理辦法視情節輕重進行懲處，並自行負擔任何因民、刑事產生之賠償及責任。

Should any of official secrets be revealed due to my violation of any of the confidentiality obligations, I shall be punished based on the seriousness of the violation in accordance with the Award and Punishment Management Regulations of CTCI in addition to any and all civil and criminal liabilities subject to judicial proceedings, and shall be held solely liable for any compensation and responsibility imposed from the civil and/or criminal case.

此致

中鼎工程股份有限公司

This agreement is hereby submitted to CTCI Corporation.

立書人：

Made by:

日期： 年 月 日

Date: (YYYY)(MM)(DD)