



## 檢舉作業管理辦法 Reporting Management Regulations

本文件內容為中鼎工程股份有限公司(中鼎)製作及所有之保密資料，受著作權等相關法令保護，僅中鼎員工得於其特定職務及契約義務之工作範圍內存取及使用，未經中鼎事先書面同意，不得將其中一部或全部重製、公開散布或洩漏予與業務無關之人。

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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，並維護本公司之利益，鼓勵知情者主動舉發不法或違規事件，在不法或違規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，建立暢通之檢舉管道與公正之調查程序，並保護檢舉人，避免其因舉發不法或違規事件而遭報復或不公平對待。

In order to effectively implement and manifest our corporate culture sincerity effectively and safeguard the interests of the company, the insiders are encouraged to take the initiative in reporting illegal events or violations so as to prevent and deal with such things before their impacts spread, these regulations are specially formulated in order to effectively control the reporting case of the company and establish smooth reporting channel and fair investigation procedure while ensuring that the reporting persons can be protected to avoid retaliation or unfair treatment for reporting illegal or non-compliance incidents.

## 2.0 範圍 Scope

### 2.1 檢舉人 Reporting person

含正式、約聘、派遣之本公司在職內部人員及公司外部人員。

Including official, formal, contracted and dispatched in-service and external personnel of the company.

### 2.2 檢舉對象 Reporting object

包含本公司之所有董事、經理人及員工。

Including all directors, managers and employees of the company.

### 2.3 檢舉範圍 Scope of reporting

檢舉人發現有以下情形時，均得提出檢舉：

The reporting person may file an impeachment when he/she detects any of the following circumstances:

#### 2.3.1 違反本公司適用之法律、公司政策、制度及道德行為準則等相關規定之行為或有違反之虞之行為。

Acts or practices that violate the applicable laws of the company, corporate policies, systems and codes of ethical conducts or are likely to violate the relevant regulations.

#### 2.3.2 侵佔本公司之物品或資產、對外提供或收取不正當利益或任何形式之舞弊行為或有舞弊之虞之行為。

Misappropriating the goods or assets of the company, providing or receiving improper benefits, or any form of fraudulent behavior or conduct that is likely to be fraudulent.

**2.3.3 侵害本公司營業秘密、商標權、專利權、著作權及其他智慧財產權之行為或有侵害之虞之行為。**

Acts or practices that infringe the trade secrets, trademark privileges, patents, copyrights and other intellectual property rights of the company or are likely to infringe.

**2.3.4 其他任何損害本公司利益或有損害之虞之行為。**

Any other acts or practices that damage the interests of the company or result in the risk of damage.範圍

### 3.0 定義 Definition

#### 3.1 個人檢舉 Individual reporting

同仁單獨以個人名義進行具名或匿名檢舉。

An employee may independently file a report in their own name, either as a real-name report or anonymously.

#### 3.2 聯合檢舉 Joint reporting

二人(含)以上同仁聯合進行具名或匿名檢舉。

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

#### 3.3 檢舉案件 Reporting Case

依檢舉對象分為一般檢舉案件、董事及經理人涉案檢舉案件，以及人力資源部涉案之檢舉案件。

Classify reported cases based on the subject of the report into general reported cases, cases involving directors and managers, and cases involving the Human Resources Department.

依證券交易法上市上櫃公司規範，經理人定義如下：

The managers to whom this Provision applies are the managers of listed companies or over-the-counter companies of listed under the Securities and Exchange Act, as follows:

**3.3.1 總經理及相當等級者。(本公司董事長亦為經理人)**

President and persons of equivalent grade. (The CEO of CTCI is also the manager.)

3.3.2 副總經理及相當等級者。

Executive Vice President and persons of equivalent grade.

3.3.3 協理及相當等級者。

Vice President/ and persons of equivalent grade.

3.3.4 財務部門主管。

Head of Financial department.

3.3.5 會計部門主管。

Head of Accounting department.

3.3.6 其他有為公司管理事務及簽名權利之人。

Other persons responsible for company management and signature rights.

3.4 受理單位 Acceptance unit

指人力資源部或稽核室，前者負責受理一般檢舉案件，後者負責受理董事、經理人及人力資源部涉案之檢舉案件。

Refers to the Human Resources Department or the Audit Office, with the former responsible for handling general reported cases and the latter responsible for handling cases involving directors and managers, or the Human Resources Department.

3.5 提供資料 Provision of Information

指檢舉人為協助調查提供檢舉案件之相關佐證資料。

The reporting person provides relevant information about the reported case to assist with the investigation.

## 4.0 權責 Responsibility

4.1 總管理處 EMO

4.1.1 審理人力資源部所提送之初審建議。

Review the Reporting Preliminary Examination Proposal submitted by the Human Resources Department.

4.1.2 核定調查小組成員。

Approve the members of the investigation committee.

#### 4.2 人力資源部 Human Resources Department

受理一般檢舉案件並提出初審建議送總管理處審理，依審理結果辦理後續事宜。

Responsible for accepting general reporting cases and proposing suggestion on preliminary examination before sending the case to EMO for hearing and handing subsequent matters thereof according to hearing result.

#### 4.3 稽核室 Audit Department

4.3.1 受理董事、經理人涉案之檢舉案件並提出初審建議呈報審計委員會審議。

Responsible for handling the reporting cases involving directors and managers proposing suggestion on preliminary examination before it reports the reporting cases to the audit committee for review and deliberation.

4.3.2 依一般檢舉案件流程受理人力資源部涉案之案件

Responsible for handling cases involving the Human Resources Department in accordance with the general reporting case procedures.

#### 4.4 調查小組 Investigation group

調查檢舉內容是否屬實，並提交調查報告。

Responsible for investigating whether the reporting contents are true and proposing investigation report.

#### 4.5 獎懲評議委員會 Rewards and Punishment Committee

審理檢舉案件調查報告，並提出懲處決議。

Responsible for reported cases investigation report, and proposing resolution for punishment.

#### 4.6 審計委員會 Audit Committee

審核稽核室所提送之初審建議、核定調查小組成員並提出懲處建議交由董事會核決。

Review the Reporting Preliminary Examination Proposal submitted by the Audit Department, approve the members of the investigation committee, and compile punishment proposals to be submitted to the Board of Directors for resolution.

#### 4.7 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.

#### 4.8 總經理 President

核定一般檢舉案件報告。

Approve general reporting cases report.

#### 4.9 董事會 Board of Directors

核決董事、經理人涉案之檢舉案件報告。

Ratify reports on reporting cases involving directors and managers.

### 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。

Flow Chart of Reporting Management Activity Abstract please refer to Attachment-01.XXXX

#### 5.2 檢舉 Reporting

5.2.1 檢舉人得於本公司委託第三方公正單位所設立之檢舉網站 (<https://secure.conductwatch.com/ctci/>) 上提供涉及本辦法 2.3 項所定行為或情事之具體事項(包含相關人員的姓名、單位、事件發生日期及內容說明) 與相關事證，或送交專用檢舉電子郵件信箱 (CTCI@conductwatch.com.tw)。

The reporting person may provide specific details, including the name, unit, event date, and content description of the relevant personnel, as well as relevant evidence involving the behaviors or circumstances specified in Item 2.3 of this regulation. This information may be submitted via the reporting website established by the third-party impartial entity commissioned by the company (<https://secure.conductwatch.com/ctci/>) or sent to the dedicated reporting email address (CTCI@conductwatch.com.tw).

5.2.2 檢舉人得單獨以個人名義進行具名檢舉，亦得二人(含)以上聯合進行具名檢舉(聯合檢舉)，聯合檢舉將以單獨案件辦理，檢舉時需選定代表人以便連絡。檢舉人可選擇匿名，但鼓勵具名以便進行溝通與調查。

The reporting person may make a named reporting person alone in his/her own name, or two (including) or more may jointly conduct a named reporting (joint reporting). The joint report will be handled as a single case, and a representative must be selected for contact when reporting. The reporting persons may choose



to remain anonymous, but they are encouraged to be named for communication and investigation purposes.

- 5.2.3 第三方公正單位收受檢舉後，將依本辦法 3.3 檢舉案件類型分派給受理單位進行後續流程。檢舉案件來自公司外部時，接獲檢舉之單位或同仁應將完整檢舉資料於第一時間交由受理單位進行後續處理，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「CP-319-B 同仁獎懲辦法」懲處。

Upon receiving a report, the third-party impartial entity will assign the case to the appropriate receiving unit for further processing based on the case types outlined in Section 3.3 of this policy. When the reporting case comes from outside the company, the unit or employee that receiving the reporting materials shall submit the complete reporting materials to the acceptance unit at first time for subsequent handling, if the affiliated department of reporting 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 "CP-319-B Employees Reward and Punishment Regulations".

### 5.3 受理立案 Case acceptance

- 5.3.1 受理單位受理檢舉案件後，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，並製作「初審建議書」(如附件二)。一般檢舉案件由人力資源部受理送總管理處審核；董事及經理人涉案之檢舉案件，由稽核室受理送審計委員會審核；如為人力資源部涉案之案件，由稽核室負責受理並依一般檢舉案件流程處理。

After the acceptance unit has accepted the reporting case, if necessary, it may ask the reporting person to supplement relevant descriptions or evidences, conduct preliminary examination according to relevant contents of reporting materials and prepare a "reporting Preliminary Examination Proposal". General reporting cases are sent to the EMO by the Human Resources Department for review; reporting cases involving directors and managers shall be submitted by the Auditing Department to the Audit Committee for review. In cases where the Human Resources Department is implicated, the Audit Office shall be responsible for receiving the report and handling it in accordance with the general reporting case procedures.

- 5.3.2 檢舉案件有下列各款情事之一者，總管理處或審計委員會得決議不立案調查：

If the reported case has any of the following circumstances, the Rewards and Punishment Committee or the Audit Committee may decide not to file a case for investigation:

A. 非屬本辦法 2.3 項所定行為或情事。

It does not belong to an act or circumstance specified in Item 2.3 of this regulation.



- B. 同一事實業經檢核確認或已處理結案者，但如檢舉人有提出新具體事證證明該案有重新調查之必要者，不在此限。

The same fact that has been verified by inspection or the case has been dealt with and closed; however, if the informant/reporting person presents new specific evidence to prove that the case needs to be re-investigated, this is not to subject to the limits or restrictions.

#### 5.4 調查 Investigation

- 5.4.1 若承辦檢舉案件之人員或調查小組之人員與檢舉人或檢舉對象本人或其配偶、二等親內之關係、與檢舉事項具有利害關係，或其他可能影響檢舉案件被公正調查、處理之情況，應立即自行提出迴避，不得參與調查及出席與調查有關之會議，檢舉人或檢舉對象亦有權向受理單位或調查小組申請該人員迴避。

If the person handling the reporting case or the members of the investigation team has a relationship with the reporting person or the reporting object or his/her spouse, second-degree relatives, or has an interest in the reporting matter or other circumstances that may affect the fairness of investigation and handling of the reported case, the person should immediately withdraw by himself and must not participate in the investigation or attend the meeting related to the investigation. The reporting person or reporting object also has the right to apply to the acceptance unit or the investigation team for the recusal of the person.

- 5.4.2 總管理處或審計委員會審核案件後如決議立案調查，得組成跨部門之調查小組、核定小組成員並指派小組召集人。調查小組組成後，由調查小組根據檢舉人提供之相關資料進行調查，調查檢舉內容是否屬實，並將調查內容做成調查報告。

After EMO or Audit Committee review the case and decide to initiate an investigation, a cross-departmental investigation team may be formed. The team members shall be approved, and a team leader shall be appointed. After the investigation team is formed, it will conduct an investigation based on the relevant information provided by the reporting person to verify the accuracy of the reported content and prepare an investigation report.

- 5.4.3 於調查過程中，調查小組得視調查情形請檢舉人補充相關說明或事證，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，調查小組亦得約談相關人員或請相關人員提供資料。受理單位應依調查小組之調查作業規劃，通知相關應配合協助調查單位，各部門相關人員應配合協助調查小組執行有關調查工作，相關單位若有隱匿、拖延導致影響處理時效使公司權益受影響時，將依「CP-319-B 同仁獎懲辦法」辦理懲處。

During the investigation process, the investigation team may request the reporting person to add relevant explanations or evidence depending on the actual situation of the investigation. If it is not within the scope of the reporting person or the evidence presented by the reporting person is not detailed, the reporting person should be requested to provide supplementary information; the investigation team

may also conduct interviews with the relevant personnel or request the relevant personnel to provide information. The accepting unit shall, according to the investigation plan of the investigation team, notify the relevant units that should cooperate with and assist the investigation team. The relevant personnel of each department shall cooperate with and assist the investigation team in carrying out the relevant investigation work. If the relevant unit tends to conceal or put off, affecting the time limit of processing and the rights and interests of our company, it will be punished in accordance with "CP-319-B Employees Reward and Punishment Regulations".

5.4.4 調查完成後，由調查小組召集人向總管理處或審計委員會進行報告。

After the investigation is completed, the convener of the investigation team will report to the EMO or Audit Committee.

## 5.5 懲處 Punishment

5.5.1 一般檢舉案件，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決議。人力資源部再將完整報告內容呈報總經理核定。董事及經理人涉案之檢舉案，由審計委員會進行審議並提出懲處建議，送交董事會核決。

For general reporting cases, 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 reporting case, and propose punishment resolution according to the preceding Regulation. Then Human Resources Department will submit the complete report contents to the President for review and decision. Reporting cases involving directors, managers, shall be reviewed by the Audit Committee and compile punishment proposals sent to the Board of Directors for approval.

5.5.2 如調查過程中或調查結果發現有任何內部人員違反本辦法或公司之規定，將依「CP-319-B 同仁獎懲辦法」懲處，情節重大者應予以解僱。

If it is found during the investigation or as a result of the investigation that any internal personnel shall violate this regulations or measures of our company, the offender will be punished in accordance with "CP-319-B Employees Reward and Punishment Regulations", and those with serious circumstances shall be dismissed.

5.5.3 如檢舉人為公司內部人員，其所提出之檢舉如有虛報或惡意不實檢舉之情事經公司查證屬實者，應依「CP-319-B 同仁獎懲辦法」辦理懲處，情節重大者應予以解僱。

If the reporting person is an insider of the company, and if the report made by the reporting person is false or malicious and untrue as verified by our company, he/she shall be punished in accordance with "CP-319-B Employees Reward and Punishment Regulations"; those with serious circumstances shall be dismissed.

## 5.6 回應 Response

任何檢舉案件，受理單位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 reporting case, the acceptance unit shall respond to the reporting person in writing on the handling result thereof. For false reporting or filing abuses, the responding content shall include the reminder on relevant legal responsibility. If an employee of CTCI report 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 公司應以保密方式處理檢舉案件，處理檢舉案件之相關人員，均應對檢舉人資料、檢舉案件內容及調查過程負保密責任，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。但檢舉人同意或自行公開其身分，或依法令規定應予揭露之資訊，不在此限。

The company shall handle the reporting case in a confidential manner, and the relevant personnel handling the reporting case shall be responsible for the confidentiality obligation for the materials and information of the reporting person, the content of the reporting case and the investigation process, 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. However, this does not apply to the information that the reporting person agrees to make known to the public or disclose his/her identity or information that is required to be disclosed by law.

5.7.2 公司不得因內部人員有下列行為，而意圖報復對其採行不利之人事措施，但因內部人員其他不法、違規或不當行為經公司查證屬實而依相關規定懲處者，不在此限：

The company shall not attempt to retaliate against the unfavorable personnel measures taken by the internal personnel due to the following behaviors; however, punishments imposed according to the relevant regulations on other illegal, irregular or inappropriate behaviors of the internal personnel as verified by the company is not to subject to the limits or restrictions:

A. 提出本辦法之檢舉。

File a report under this regulation.

B. 配合檢舉案之調查或擔任證人。

Cooperate with the investigation of the reporting case or act as a -witness.

C. 因前二款之作為而遭受不利人事措施後，提起救濟。

Those who seek relief after suffering unfavorable personnel measures owing to the actions of the preceding two clauses.

5.7.3 5.7.2 所稱不利之人事措施，指下列情形之一：

The unfavorable personnel measures mentioned in the preceding paragraph refer to one of the following situations:

A. 解職、撤職、免職、停職、解約、降調，或不利之考績、懲處、懲罰及評定。

Dismissal, discharge from the official post, degradation, suspension, termination, demotion, or adverse performance appraisal, punishment, penalty and evaluation.

B. 減薪、罰款、剝奪或減少獎金、退休金、退職金。

Pay cut, fines, deprivation or reduction of bonuses, pensions, dismissal pay.

C. 與陞遷有關之教育或訓練機會、福利、特殊權利之剝奪。

Denial of educational or training opportunities, benefits, special rights related to promotion.

D. 工作地點、職務內容或其他工作條件、管理措施之不利變更。

Unfavorable changes in work location, job content or other working conditions and management measures.

E. 無故揭露檢舉人之身分。

Disclosure of the identity of reporting person without reason.

5.7.4 因本辦法 5.7.2 各項行為而遭受不利人事措施，或遭受內部人員威脅、恐嚇或其他不利行為者得向受理單位提出申訴，受理單位得視情形先行採取適當處置或補救措施，如查證檢舉人之申訴屬實，公司應回復其受不利人事措施前之職位及職務(或相當之職位及職務)、回復其原有之薪資、獎金、退休金、退職金、福利、工作條件或管理措施，或為其他適當處置或補救措施。

Those who suffer adverse personnel measures, or are threatened, intimidated, or other adverse behaviors by insiders due to the acts or practices in subparagraph 5.7.2 of this regulation may file a complaint to the acceptance unit, and the acceptance unit shall take appropriate disposal or remedial measures according to the situation in the first place. If the reporting person's complaint is verified to be true, the company shall reply to his/her position and function of office (or equivalent position and function of office) before he/she was subject to adverse personnel measures, and to restore his/her original salary, bonus, pension, dismissal pay, benefits, working conditions or management measures, or for other appropriate

disposal or remedial measures.

## 5.8 誘因機制 Incentive Mechanism

- 5.8.1 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，得視案件情節輕重酌予獎金。

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 for reporting depending on the seriousness of the case 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 reporting person reports the illegal event in which the reporting person 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 reporting person for the illegal event shall be reduced or exempted.

## 5.9 案件追蹤 Case Tracking

受理單位應將檢舉案件列表追蹤，並負責追蹤檢舉案件之處理進度直至結案，確保各檢舉案件均經適當調查並每季向總經理呈報檢舉案件狀態。相關調查資料由人力資源部留存至少 3 年。

The acceptance unit shall maintain a list to track reported cases and be responsible for monitoring the progress of each case until it is closed. It must ensure that all reported cases are properly investigated and submit a quarterly report on the status of the cases to the President. Relevant investigation records shall be retained by the Human Resources Department for at least three years.

## 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	Flow Chart of Reporting Management Activity Abstract
附件二	初審建議書
Attachment-02	Reporting 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	提出檢舉	檢舉人		檢舉資料	
受理立案	依案件類型分派 一般檢舉案件 人力資源部受理 總管理處審核 人力資源部涉案案件 稽核室受理 稽核室審核 董事及經理人涉案案件 稽核室受理 審計委員會審核 依一般檢舉案件流程處理	第三方公正單位 第三方公正單位 人力資源部/稽核室 總管理處/審計委員會	收到檢舉案件時	檢舉資料 附件二-初審建議書	
調查	立案調查 否 是 組成調查小組 提出調查報告 如需補件請檢舉人補齊	總管理處/審計委員會 一般/人資部案件：總管理處核定成員 董事/經理人案件：審計委員會核定成員 調查小組	案件成立時	附件三-保密切結書 調查報告	
懲處	召開獎懲評議委員會審議 懲處決議 召開審計委員會審議 提出懲處建議 董事會核決	獎懲評議委員會：人力資源部 審計委員會：稽核室 獎懲委員會/審計委員會 董事會			
回應	回應檢舉人處理結果 結案並留存調查資料*1	一般檢舉案件：人力資源部 人資部/董事經理人案件：稽核室 人力資源部	結案後		*1:至少3年



# Flowchart of Reporting Management Activity Abstracts

Stage	Activity	Responsible Personnel/ Dept.	Timing	Document/ Form	Remark
Accusation	Report	Reporting person	When receiving reporting cases	Reporting materials	
Case Acceptance	<p>Assigned base on case type</p> <p>General reporting cases</p> <p>Cases involving Human Resources Department</p> <p>Cases involving directors and managers</p> <p>Accepted by Human Resources Department.</p> <p>Accepted by Audit</p> <p>Accepted by Audit</p> <p>Reviewed by EMO</p> <p>In accordance with the general reporting case procedures.</p> <p>Reviewed by Audit Committee</p>	<p>The third-party impartial entity</p> <p>The third-party impartial entity</p> <p>HR dept./Audit Dept.</p> <p>EMO/Audit Committee</p>		<p>Reporting materials</p> <p>Attachment-02 Reporting Preliminary Examination Proposal</p>	
Investigation	<p>Investigation</p> <p>Yes</p> <p>Form a investigation team</p> <p>Submit the investigation report</p> <p>No</p> <p>Require additional documents</p>	<p>EMO/Audit Committee</p> <p>General/HR Dept.Cases: Members approved by EMO</p> <p>Director/Manager Cases: Members approved by Audit Committee</p> <p>Investigation team</p>	When the case is filed"	Attachment-03 Non-disclosure Agreement Investigation Report	
Punishment	<p>Convene the meeting of Rewards and Punishment Committee</p> <p>Propose punishment resolution</p> <p>Convene the meeting of Audit Committee</p> <p>Propose punishment suggestions</p> <p>Review and Decision by Board of Directors</p>	<p>Rewards and Punishment Committee : HR Dept.</p> <p>Audit Committee : Audit Dept.</p> <p>Rewards and Punishment Committee/ Audit Committee</p> <p>Board of Directors</p>		Punishment Announcement	
Response	<p>Respond to the reporting person on the handling result thereof.</p> <p>Close the Case and Retain Investigation Records*1</p>	<p>General cases: HR Dept. Directors&amp;Managers / HR Dept.Cases : Audit Dept.</p> <p>HR dept.</p>	After cases closed		*1 At least 3 years

中鼎工程股份有限公司檢舉初審建議書

NO.	CP-327-B(附件二 Att-02)		
PAGE	1	OF	2
DATE	12/16/2024	REV	1

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)							
初審建議							
<input type="checkbox"/> 具名檢舉； <input type="checkbox"/> 匿名檢舉 <input type="checkbox"/> 檢舉項目符合本辦法 2.3 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							
經手人		部門主管		總管理處主管			

CTCI Corporation

Reporting Preliminary Examination Proposal

NO.	CP-327-B(附件二 Att-02)		
PAGE	2	OF	2
DATE	12/16/2024	REV	1

年(yyyy)月(mm)日(dd)

Name of accused person		Affiliated division		Title		Emp. No.	
Reporting content							
(Please refer to the attachment for details)							
Preliminary examination suggestion							
<div><div><input type="checkbox"/> Real name reporting; <input type="checkbox"/> Anonymous reporting</div><div><input type="checkbox"/> The reported item is conforming to Article 2.3of this Measure, it is the reason as provided in Article ____ of CTCI Employees Reward and Punishment Regulations.</div><div><input type="checkbox"/> The reported item is conforming to the stipulation of this Measure</div><div><input type="checkbox"/> To conduct an investigation; <input type="checkbox"/> Not to conduct an investigation</div></div>							
Handled by		Department Head		EMO President			

保密切結書  
Non-disclosure Agreement

NO.: CP-327-B (附件三 Att-03)  
PAGE: 1 OF 1  
DATE: 03/15/2021 REV.: 0B

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份之資訊，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 CTCL 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 CTCL Corporation.

立書人：

Made by:

日期： 年 月 日

Date: (YYYY)(MM)(DD)