

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.

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 人資單位 Human Resources Unit

負責受理檢舉案並提出初審建議，送總管理處審理，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 Management Division for hearing, and handing subsequent matters thereof according to hearing result.

4.2 調查小組 Investigation Group

由總管理處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 Management Division, which will be responsible for investigating whether the accusation contents are true and proposing investigation report.

4.3 總管理處 Management Division

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 Division

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 division 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。

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Approve accusation case report

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://www.reportnow.com.tw/ctci/>) or submit such information to the special accusation e-mail box(ctci@reportnow.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資單位進行後續處理，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 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

人資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，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)併同案件資料送交總管理處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 Unit 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

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investigation, fill in "Accusation Preliminary Examination Proposal" (Attachment 2) and submit it to Management Division 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

總管理處如決議立案調查時，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，人資單位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，將調查報告送交人資單位存查。

If the Management Division 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 Unit 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 Unit.

5.5 懲處 Punishment

人資單位收到調查報告後，依「崑崙員工獎懲辦法」規定召開會議審理檢舉案，並依上述辦法提出懲處建議。人資單位再將完整報告內容呈報董事長核定。

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

5.6 回應 Response

任何檢舉案件，人資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 accusation case, Human Resources Unit 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

人資單位負責業務同仁與總管理處及調查小組所有人員，均應對檢舉人資

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料負保密責任。

Responsible employee of Human Resources Unit and all members of Management Division and investigation group shall bear confidentiality obligation for the materials of accuser.

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、解職、降薪，損害其法令、契約或習慣上應享有之權益或其他不利之處份。唯本公司同仁如有明顯虛報或不實之情事者，則不受此保護。

ECOVE 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 ECOVE accuses falsely or malevolently, the employee will not be protected under this clause.

5.8 誘因機制 Incentive Mechanism

本公司同仁依本辦法舉發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(含)之下之獎金。

When an employee of ECOVE 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 ECOVE to reduce or prevent damage.

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 ECOVE 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 參考文件 Reference document

KCP-174 員工獎懲辦法

KCP-174 Employees Reward and Punishment Regulations

7.0 附件 Attachment

附件一 作業流程圖

Attachment 1 Work Flow



附件一 流程圖.doc

附件二 初審建議書

Accusation Preliminary Examination Proposal

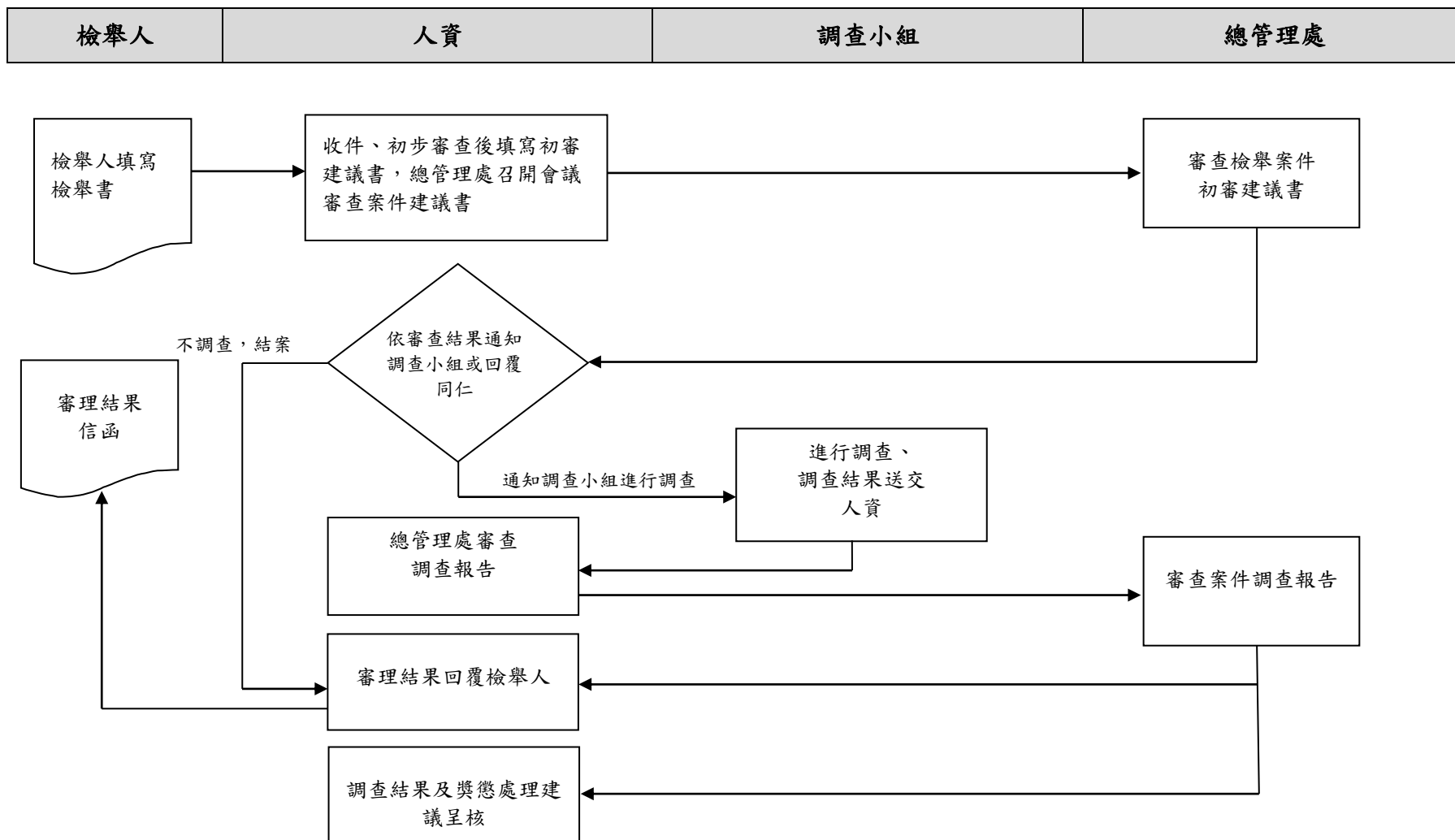


附件二 檢舉初審建
議書.docx

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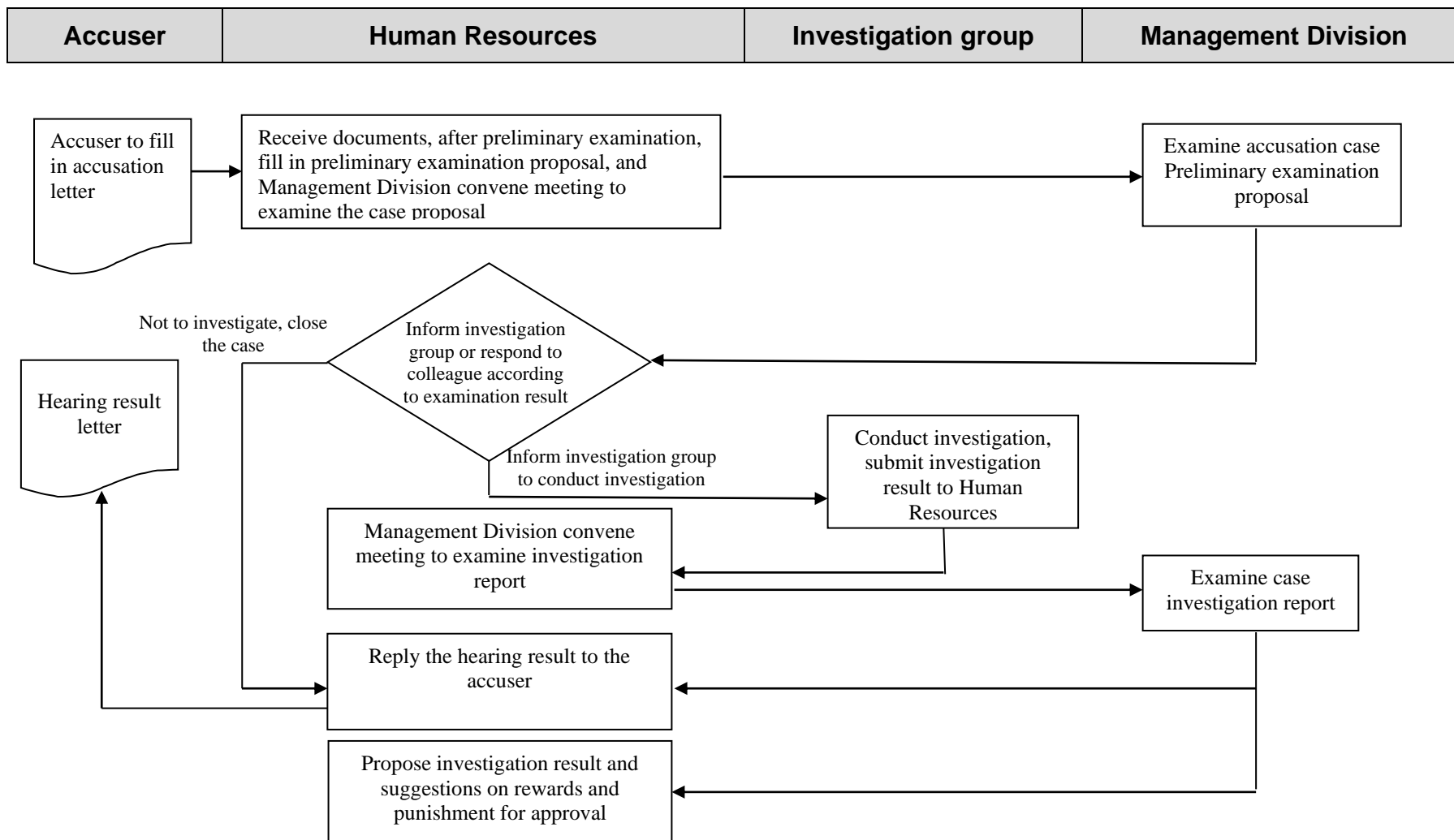
檢舉作業管理辦法流程圖



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Accusation Management Regulations Flow Chart



崑鼎綠能環保股份有限公司檢舉初審建議書

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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)							
人資單位初審建議							
<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，屬崑鼎同仁獎懲辦法第_____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		人資單位主管			總管理處主管		
調查小組人員：							
召集人：							
成 員：							
協辦部門：							
主委簽署：							

崑鼎綠能環保股份有限公司檢舉初審建議書

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年(yyyy) 月(mm) 日(dd)

Name of accused person		Affiliated division		Title		Emp. No.	
Accusation content							
(Please refer to the attachment for details)							
Human Resources preliminary examination suggestion							
<input type="checkbox"/> Real name accusation; <input type="checkbox"/> Anonymous accusation, belongs to blackmail <input type="checkbox"/> The accused item is conforming to Article 2.2 of this Measure, it is the reason as provided in Article ____ of KD Holding Employees Reward and Punishment Regulations. <input type="checkbox"/> The accused item is conforming to the stipulation of this Measure <input type="checkbox"/> To conduct an investigation; <input type="checkbox"/> Not to conduct an investigation (If decides to conduct investigation, Rewards and Punishment Committee shall be asked to designate members of investigation group)							
Handled by		Supervisor of human resources			General Manager		
Members of investigation group:							
Convenor:							
Members:							
Cooperative department:							
Director signature:							