
	天弘化學股份有限公司		文件編號：QP011	版次：1.5
	申訴及檢舉辦法		制訂日期：2019.08.19 修訂日期：2022.12.15	制訂部門： 人力資源管理部

請依序將各版本變更內容填寫於下列表格內以利比對與追溯

生效日期	制/修訂	修改內容摘要	版次	修改者	
2019/08/19	制訂	新制訂	1-0	楊雨庭	
2020/07/01	修訂	1. 依組織異動，調整人事單位對應組織名稱為人力資源部。 1.1 制定部門由管理部改為人資部 1.2 內文人事單位改為人力資源部	1-1	李芝庭	
2020/09/01	修訂	2. 5.3.2 調查結果呈報會議變更為人力資源委員會 1. 依 QP-74-03 負責任礦產供應鏈盡職管理程序修訂目的、範圍及定義 2. 調整 5.1 申訴(檢舉)流程，問題處理細化為:進行事實調查及提出處置建議 3. 新增 5.2.1 內/外部申訴/檢舉管道表、5.3.7 保密原則及 5.4 申訴流程圖	1-2	李芝庭	
2021/4/7	修訂	1. 更新人資專屬信箱 e-mail 地址，並增設董事長信箱 2. 增加 5.3 董事長信箱受理及處理方式 3. 增加 5.6 禁止報復措施：員工如因申訴/舉報遭受報復之處理措施 4. 新增英文	1.3	李芝庭	
2021/12/6	修訂	1. 因應組織異動及減少異動，調整人力資源部為人資單位，制訂部門為人力資源管理部。 2. 5.2.1 申訴管道新增 No.7 及 No.8 3. 調整 5.3 案件受理說明	1.4	李芝庭	
2022/12/16	修訂	修訂 5.2.1 人資專屬信箱 e-mail address	1.5	李芝庭	
核准	何柏樟	審查	林俊宏	制訂	李芝庭

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### 1. 目的 Purpose：

為鼓勵員工提出良善建議及主動舉報與本公司有關之各類違法、違規或不當行為，包括違反工作規章、道德行為準則或誠信經營守則、負責任採購、衝突礦產管理、RMI RMAP 管理系統、童工、勞工、洗錢、賄賂、侵害人權..等等，並規範後續之調查及處理原則，特訂定本辦法。

To encourage employees to raise good advice, and proactive reporting of violations of laws, regulations or actions related to the company, including violations of work regulations, codes of ethics or ethical corporate management best practice principles, responsible procurement, conflict mineral management, RMI RMAP management system, child labor, labor, money laundering, bribery, infringement of human rights, etc., and standardize the follow-up investigation and handling principles, and establish this regulation.

### 2. 範圍 Scope：

本公司所有員工、與本公司有合作、往來之供應(包)商或客戶(含其負責人及員工)、董事、經理人、股東、或具有實質控制能力者、一般民眾、附近居民、政府機關...等等相關利害關係人，均適用之。

All of company's employees, cooperated suppliers or clients (including their person in charge and employees), directors, managers, shareholders, or persons with substantial control of our company ability, the general public, nearby residents, government agencies, etc. related stakeholders are applicable.

### 3. 權責 Responsibilities：

3.1 本辦法之制(修)訂：人資單位。

The system (revision) of these Measures: HR Unit.

3.2 本辦法之核定：總經理。

Approval of these Measures: General Manager.

3.3 本辦法之受理單位：人資單位

The accepting unit of these measures: HR Unit.




### 4. 定義 Definition：

4.1 凡一切違反法令之行為，致影響本公司權益者(例：竊盜、破壞、暴力脅迫、造謠煽動、擾亂秩序、勾結縱放、挪用公款...等等)。

Anyone who violates the laws and causing affecting the rights of the company (For example: theft, sabotage, coercion, rumors and incitement, disturbance of order, collusion and indulgence, misappropriation of public funds... etc.).

4.2 凡違反或未確實執行本公司各類規章制度及合約內容，或意圖利用職務取得不當利益，

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致影響企業權益者(例：督導不周、驗收不實、怠忽職守、洩漏公務機密、收受賄賂、接受不當邀宴...等等)。

Anyone who violates or fails to actually implement the company' s various rules and regulations and the content of the contract, or intends to use his position to obtain the right of the company, thereby affecting the rights of the enterprise (For example: lack of supervisory, inexact examination and acceptance, negligence of duty, leakage of official secrets, acceptance bribery, accepting improper invitation... etc.)

- 4.3 凡對違反負責任採購、衝突礦產管理、RMI RMAP 管理系統、童工、勞工、洗錢、賄賂、侵害人權、道德規範行為..等等。

All violations of responsible procurement, conflict mineral management, RMI RMAP management system, child labor, labor, money laundering, bribery, human rights violations, ethical behavior... etc.

- 4.4 凡有前述項目以外之任何不當、異常行為，致影響本公司權益者。

Those who have any improper, abnormal behavior except for the above-mentioned items, causing the rights and interests of the company affected.

- 4.5 凡本公司所有員工若遭受不當或不合理待遇、在工作上有其他意見或建議，或涉及性騷擾事件者，則依照「工作場所性騷擾防治措施」、「工作規則」所訂相關程序辦理。


All employees of the company who have received improper or unreasonable treatment, have other intentions or suggestions at work, or are involved in incidents of sexual harassment, shall be handled in accordance with the relevant procedures set out "Sexual Harassment Prevention Measures in Workplace" , "Work Rules"

- 4.6 凡對公司行政管理或工作/環境有改善之建議。

Any suggestions for improvement of company administration, work or environment.

- 4.7 本辦法所稱不誠信行為係指本公司之董事、經理人、受僱人、受任人或具有實質控制能力者，於執行業務過程中，直接或間接提供、承諾、要求或收受任何不正當利益，做出其他違反誠信、不法或違背受託義務等行為，以求獲得或維持利益。前項行為之對象包括所有利害關係人。本辦法所稱利益係指任何形式或名義之金錢、饋贈、禮物、佣金、職位、服務、優待、回扣、疏通費、款待、應酬及其他有價值之事物。

All directors, managers, employed persons, appointed persons or persons with substantial control of the company who are involved in dishonesty or violate the code of ethics can report. The dishonesty referred to in these measures refers to the directors, managers, employed persons, appointed persons or persons with

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substantial control ability of the company, directly or indirectly providing, promising, requesting or receiving any improper benefits in the course of performing business, doing other acts that violate integrity, lawlessness, or breach of fiduciary obligations, in order to obtain or maintain benefits. The object of the preceding paragraph includes all interested parties. The benefits referred to in these measures refer to any form or name of money, gifts, commissions, positions, services, preferential treatment, rebates, facilitation payments, hospitality, entertainment and other valuable things.

## 5. 作業內容 Operation content :

### 5.1 申訴(檢舉)流程 :

Appeal (report) procedure:

#### 5.1.1 內部員工 Employees of the company :

申訴(檢舉)人→經 5.2.1 申訴管道提交申訴(檢舉) 事實陳述→受理單位問題收集及進行事實調查→提出處置建議→呈報總經理→會辦相關單位→處理結果通知申訴(檢舉)人。

Complainant/ Reporter → Submit the complaint or factual statement through 5.2.1 Complaint/Report channel→ Received unit collect the issue and process the fact investigation → Propose the processing suggestion→ Relevant units will be handled (a copy will be submitted to the deputy general manager and general manager) → Notify the complainant (reporter) of the result.

#### 5.1.2 外部人士 External stakeholders :


申訴(檢舉)人→公司官網/社會責任/利害關係人專區→利害關係人聯絡信箱 related\_party@coremaxcorp.com→填寫申訴(檢舉)事實陳述→受理單位問題收集及進行事實調查→提出處理建議→會辦相關單位→呈報總經理→處理結果通知申訴(檢舉)人

Complainant / Reporter → Check the Company's official website / Social Responsibility / Stakeholders area or mail to related\_party@coremaxcorp.com → Fill in the complaint or report factual statement → Received unit collect the issue and process the fact investigation → Propose the processing suggestion → Relevant units will be sent (copy submitted Deputy General Manager, General Manager) → Notify the complainant (reporter) of the result.

### 5.2 申訴(檢舉)案件之提報 Reporting of a complaint (report) case :

申訴(檢舉)人填寫檢舉信應註明姓名、聯絡電話、電子郵件、申訴(檢舉)事由及日期以進行申訴(檢舉)。

The person who filed the complaint issue should indicate the name, contact phone

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number, email, the reason and date of the complaint (report), and then report to Receiving dept.

### 5.2.1 申訴管道：Complaint/Report channel

No.	管道 Channel		接收方式 Receiving method
1	單位主管 Dpt. Manager		直接向單位主管陳報 Report to Dpt. Manager directly.
2	專線電話 Special line		(03)598-3101 分機 Ext :3316 ; 分機 Ext:3320
3	E-mail	董事長信箱 CEO Mailbox	<a href="mailto:CEO@coremaxcorp.com">CEO@coremaxcorp.com</a>
		人資專屬信箱 HR Mailbox	<a href="mailto:hr880@coremaxcorp.com">hr880@coremaxcorp.com</a>
		利害關係人聯絡信箱 Stakeholders Mailbox	<a href="mailto:related_party@coremaxcorp.com">related_party@coremaxcorp.com</a>
4	公司官網 Official website		<a href="https://www.coremaxcorp.com/zh-tw/contact-us">https://www.coremaxcorp.com/zh-tw/contact-us</a> 公司官網/聯絡我們/填寫事由/送出 Official website/Contact us/Fill out the fact/Send out
5	實體意見箱 Suggestion box		設置於各廠區 Set at every site.
6	傳真 Fax		03-5983103
7	人資單位 HR		直接向人資單位以書面方式陳報 Report to HR directly in writing.
8	性騷擾專用申訴 管道 Sexual Harassment Dedicated Report Channel	電話 TEL	03-5583790
		傳真 FAX	5585792
		Mail	<a href="mailto:aifentai@yahoo.com.tw">aifentai@yahoo.com.tw</a>

5.2.2 內、外部不論具名/匿名之申訴(檢舉)案件如有對人身惡意攻訐且無實證之黑函，不得回覆或受理。

No matter internal/external with named/anonymous complaints (report), if any black letters or maliciously attacked on the person without evidence may not be answered or accepted.

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### 5.3 案件受理 Receiving of complaint cases：

受理單位對於各項申訴(檢舉)案件，如非屬 5.2.2 範圍者，於受理後應儘速處理。

員工申訴(檢舉)之案件不論來源管道為何，均應於收件後一週內回覆或交由相關單位處理，重大申訴(檢舉)案件將提報人力資源委員會議。

The accepting unit shall handle all complaint cases as soon as possible if it is not within the scope of 5.2.2.

Cases that employees appeal (report) no matter through which channel should be responded to within one week after receipt, or handed over to the relevant unit for handling. The major cases will be reported to the Human Resources Committee for discussion.

### 5.4 案件調查 Investigation of complaint cases：

5.4.1 重大申訴(檢舉)案件，受理後應先呈報總經理並奉核示辦理，調查結果應呈報人力資源委員會議。

The major complaint cases have to inform to the general manager first and accept for review. The investigation results must inform to the Human resource committee management meeting.

5.4.2 申訴(檢舉)案經查證屬實且情節重大者，或檢舉情事涉及董事或經理人時，除依法令或公司相關規定處理外，應將調查結果呈報審計委員會。

If the complaint (report) is verified and the case is significant, or if the case involves a director or manager, the investigation results shall be reported to the Audit Committee, in addition to being handled in accordance with laws or regulations of the company.

### 5.5 保密機制 Confidentiality mechanism：


5.5.1 本公司應以保密方式處理申訴或檢舉案件，並秉持迅速、公正客觀立場處理，對申訴或檢舉人之身分絕對保密。

The Company shall handle complaints or reports in a confidential manner, and shall handle them promptly, impartially and objectively, and shall keep the identity of the complainant or reporter in absolute confidentiality.

5.5.2 案件承辦人於調查期間及調查結束後，嚴禁向案情無關者透露案情，尤其對舉報人之身分應確保不得洩漏，即使因調查之需要須與相關人員論及案情時，亦僅能就該員與案情相關部份談論，應確實保密。

During the investigation and after the investigation, the case undertaker is strictly forbidden to disclose the facts of the case to those who have nothing to do with the case. In particular, the identity of the whistleblower should be ensured not to disclosed. Even if the investigation requires to talk about the



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circumstances of the case with relevant personnel, they may only talk to the relevant part of the case with the relevant personnel, confidential should be kept thoroughly.

#### 5.6 禁止報復措施 Anti-retaliation measures：


5.6.1 申訴或檢舉人如為員工者，本公司保證該員工不因申訴或檢舉而遭受不當之處置，如員工因提出意見申訴或檢舉而遭受主管報復，經查證屬實，該主管予以解雇。惟如員工檢舉有虛報或惡意指控之情事，應予以紀律處分，情節重大應予以解任或解雇。

If the person making the complaint or report is an employee, the company guarantees that the employee will not be improperly disposed. If employees were retaliated against by his supervisor because of submitting an opinion, complaint or report, the supervisor shall be dismissed after verification.

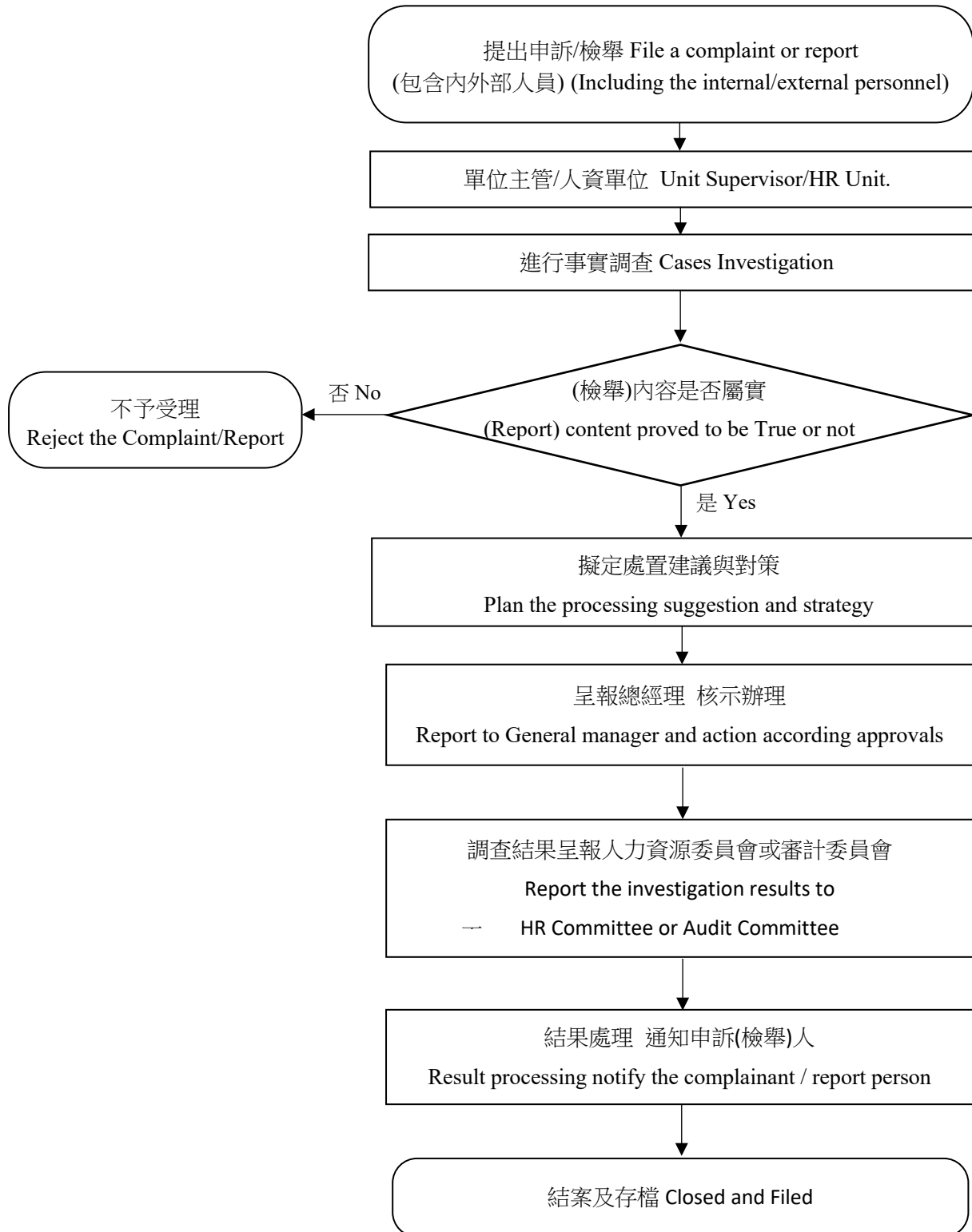
However, if employees report any false information or malicious accusation are reported, he/she will be subject to disciplinary action. If the circumstances are significant, will be dismissed or fired.

5.6.2 為維護申訴或檢舉案件相對人之權利，避免其遭人挾怨報復，本公司應予相對人申訴之機會，必要時召開會議討論之。


In order to protect the rights of the other parties and avoid retaliation, the company shall provide an opportunity for the other parties to explain. If necessary, the company hold a meeting to discuss it.

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5.7 申訴流程圖 Reporting flow chart





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5.8 其他規定：

Other regulations:

- 5.8.1 本公司受理申訴(檢舉)案件之專責單位應將調查過程、結果及相關文件以書面、電子檔或系統簽核建置方式紀錄保存至少五年。保存期限未屆滿前，發生與檢舉內容相關之訴訟時，相關資料應繼續保存至訴訟終結止。

The company's specialized unit that accepts the complaint case shall keep the record of the investigation process, results and related documents in written, electronic file or system approval mode for at least five years. Before the expiration of the preservation period, when a lawsuit related to the content of the report occurs, the relevant information shall continue to be stored until the end of the lawsuit.

- 5.8.2 本公司受理申訴(檢舉)案件之專責單位，如經調查發現重大違規或公司有重大損害之虞時，應立即要求被檢舉人停止相關行為，並為適當之處置，必要時透過法律程序處理。

The company's specialized unit that accepts complaints (reports), if it finds that there are major violations of the regulations or the company is in danger of serious damage, it should immediately request the accused to stop the relevant behaviors and handle them appropriately through legal procedures if necessary.

- 5.8.3 建設性申訴(檢舉)是維護同仁、公司及股東權益之行為，凡經查證屬實者，公司可依情況給予適當之獎勵。

A constructive appeal (report) is an act to protect the rights and interests of colleagues, the company and shareholders. Where the verification is true, the company can give appropriate rewards according to the situation.

6. 附則 Supplementary rules：

本辦法經總經理核准後公告實施，修訂時亦同。

The procedure will be announced and implemented after being approved by the General Manager.

7. 相關文件 Related documents

7.1 道德行為準則 Code of Ethical Conduct

7.2 誠信經營守則 Code of Business Integrity

8. 相關表單 Related Forms：無 None