

Employee Complaint Procedure

Article 1 Purpose: To establish a culture of compliance within the company, safeguarding the personal rights of employees, and ensuring an open channel for complaints, this regulation is hereby formulated.

Article 2 Applicability: This regulation applies to all employees within the group.

Article 3 Scope of Handling: The complainant may file an appeal or report if they discover the following situations, which have not been properly addressed despite being reported to the superior:

1. Complaint Matter:

1.1. Allegation: Violation of statutory regulations within the company resulting in harm to employee rights.

1.2. Allegation: Managerial decisions or business operations that infringe upon the personal freedom or dignity of employees.

1.3. Allegation: Involvement in violations of gender equality laws, sexual harassment, or other breaches of general workplace ethics.

2. Whistleblowing Matter:

2.1. Allegation: Intentional violation of laws or company regulations.

2.2. Allegation: Improper decisions or actions that may lead to company losses or damage the company's reputation.

2.3. Allegation: Exploitation of position, company facilities, or resources for personal gain or the benefit of specific individuals, resulting in harm to the company's interests.

2.4. Allegation: Potential drawbacks arising from current business operations or workflow processes.

Article 4 Handling Organization: The Internal Auditor Office is designated as the specialized handling unit, with a dedicated email address and fax line established to receive complaint information.

Article 5 Complaint Procedure and Required Information:

1. Electronic Complaints: Employees of the company can submit complaints via the internal company network. The complaint webpage is located at: [Company Intranet/Headquarters/ Internal Auditor Office/Unit System/Employee Complaint Form]. Employees can enter the details of their complaint on the form and submit it electronically.

2. Fax Complaints: Complaints can be directly faxed to the exclusive fax machine located in the office of the top executive of the Internal Auditor Office.

3. Complaints should include the following necessary details:

3.1. The complainant's full name, department, contact phone number, or other contact information.

3.2. The facts and reasons for the complaint, and if necessary, relevant supporting documents should be attached.

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4. If the complaint lacks the aforementioned details, making it impossible to verify the relevant content, the case may be closed with the consent of the top executive of the Internal Auditor Office.

Article 6 Processing Procedure:

1. Establishment of Incident Investigation Team:
 - 1.1. Upon receipt of the complaint, the Internal Auditor Office shall first verify the content of the complaint and register it for control.
 - 1.2. The head of the Internal Auditor Office shall serve as the convener and, as necessary based on the content of the complaint, may invite other unit heads or personnel to participate, forming an Incident Investigation Team.
 - 1.3. Members of the Incident Investigation Team shall maintain an objective and impartial stance. If any member of the team has a conflict of interest with the complaint case, they should voluntarily inform the convener and recuse themselves from the investigation.
2. Investigation of Complaint Content:
 - 2.1. The name and identity of the complainant shall be kept confidential, and during the investigation process, pseudonyms may be used in place of real names.
 - 2.2. The Incident Investigation Team should conduct a detailed investigation into the complaint content. They should verify the information with relevant personnel and obtain supporting evidence concurrently.
 - 2.3. The Incident Investigation Team should retain all relevant data completely throughout the investigation and review process. Upon completion of the investigation and review, they should prepare a written report and provide recommendations for further actions.
 - 2.4. The head of the Internal Auditor Office is responsible for managing the timeliness and progress of the incident handling.
3. Reporting of Investigation Results:
 - 3.1. The written report of investigation results and recommendations for handling should be submitted for review by the responsible supervisor as follows:

Respondent	The responsible supervisor
Supervisor	Supervisory Supervisor
Assistant Manager/Manager	General Manager
Vice Director	Chairman

- 3.2. In cases of significant severity, upon determination by the head of the Internal Auditor Office, the investigation results may be submitted to the Chairman for review.

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4. Closure Procedure:

- 4.1. The Internal Auditor Office should notify the relevant management units of the handling recommendations and follow up on subsequent improvement efforts.
- 4.2. The head of the Internal Auditor Office should provide feedback on the handling results to the complaining employee.
- 4.3. The relevant reports and investigation data shall be archived by the Internal Auditor Office as confidential documents, kept for at least ten years. They may be stored electronically, with access restricted to the Incident Investigation Team only.

5. Disciplinary Actions for Complaint Cases:

- 5.1. If the accused party is found to have violated company regulations or relevant statutory regulations, appropriate disciplinary actions shall be taken. Additionally, the complainant may be rewarded as deemed necessary.
- 5.2. If it is found that the complainant has been involved in fabrication, false accusations, or defamation of others, they shall be subject to disciplinary action in accordance with company regulations.

Article 7 The company shall not terminate, transfer, or impose other adverse actions against employees for filing complaints or assisting others in reporting issues.

Article 8 Implementation and Amendment: This regulation shall be implemented upon approval by the General Manager, and any amendments shall follow the same procedure.

Employee Complaint Exclusive Fax Line
02-66361600