



Taiwan Tea Corporation

Guidelines for Employee Complaint

Established on 2015.12.22

Basis: Subject to Article 32 of the Labor Inspection Act.

Article 1 (Unit or personnel handling complaints)

The Company's employees may submit a complaint to the following personnel if they find any circumstance violating the provisions under the paragraphs in Article 2 of the Guidelines:

1. Directors of their units.
2. Human Resources Department.

Article 2 (Scope of complaints)

The scope of employee-related matters within which a complaint may be made:

The Company's employees may submit a complaint with respect to the following circumstances as long as they occur during the employees' employment and can be proved:

1. Where loss or damage of the employees' legitimate rights and interests results from any matters that are not covered in the Company's current systems, regulations, guidelines or administrative measures, or any negligence.
2. Where the employees' rights and interests or work are violated or negatively affected due to violation, abuse of authority, or improper treatment or behavior of other employees.
3. Where the employees experience sexual harassment. (Subject to Regulations for Prevention, Correction, Complaint and Punishment of Sexual Harassment at Workplace.)
4. Other circumstances which are related to business affairs, or for which a complaint should be submitted, or which can be proved.

Article 3 (The format of complaint application form)

Where the rights and interests of the Company's employees are damaged, they shall use a complaint application form containing the information in the following paragraphs to submit written complaints within 6 months after such damage:

1. Receiver.

2. Contents of the complaint.
3. Name, address, phone number of the complainant; name, address, phone number of the service unit.
4. Date of complaint.

Article 4 (Handling procedure)

Complaint handling procedure:

1. Complaints submitted to directors of units may be in oral form, while other complaints shall be submitted in written form.
2. For complaints submitted to directors of units, the handling personnel shall make a complaint decision within 1 month after accepting such complaint. Where the complainant is dissatisfied with such a complaint decision, he/she may re-submit a complaint according to the format of the complaint application form to the Human Resources Department within 1 month.
3. The Human Resources Department shall make a complaint decision within 1 month after accepting a re-submitted complaint. Where the complainant is dissatisfied with such a complaint decision, he/she may re-submit a complaint according to the format of the complaint application form to the Company's labor-management conference through the Human Resources Department within 1 month to make a final decision.
4. Complaint decisions and final decisions shall be given to the complainant in written and confidential form, and notify the Human Resources Department of the same; for re-submitted complaints, notify general managers of the same.

Article 5 (Dismissed)

When the Company's employee-related complaints meet one of the following circumstances, they shall be dismissed:

1. A complaint is re-submitted for the incident which has already been closed or withdrawn through the complaint handling procedure.
2. A complaint lacks specific facts or contents or is submitted without a real name.
3. A complaint is submitted for any matter that exceeds the scope of complaints under the Guidelines.

Article 6 (Suspension of handling)

The handling of a complaint shall be suspended if the complainant applies for mediation or file a suit for the complaint.

Article 7 (Handling of false accusations)

If the Company's employee-related complaints are determined to be false accusations, the punishment shall be subject to the Company's Guidelines of Reward and Punishment for Employees.

Article 8 (Obligation of complainants and handling personnel of responsible units)

1. A complainant is obligated to be inquired, reply to inquiries faithfully and provide relevant information during the complaint handling procedure.
2. The handling personnel of responsible units and related parties are obligated to keep any complaints confidential. Otherwise, cases regarding violation of such obligation will be submitted to the Disciplinary Committee and handled in accordance with the Company's relevant work rules.
3. Before the handling process of an incident for which a complaint is submitted or re-submitted is concluded, the complainant and handling personnel shall keep the relevant information confidential and shall not disclose them.
4. If a party discloses any information related to the complaint with intentional negligence, the party may be, with the agreement of more than half of the Complaint Committee members, handed over to the Human Resources Department and punished depending on the level of the disclosure.
5. Every director and the defendant shall not impose any behavior related to discrimination, threat, post transfer, or other harmful treatment on the complainant, and shall not affect his/her work due to his/her complaint against them.
6. A complainant and the complaint handling personnel shall take a matter-of-fact attitude. A complainant shall be punished according to related regulations if he/she gives false witness, falsely incriminates or deceives someone, or expose his/her past from malice to attack him/her, or disturbs the order and employee cohesion of the Company on purpose.

Article 9 (Authority of complaint handling personnel)

The complaint handling personnel is responsible for handling complaints within the authorized scope of the administrative system. It shall collect and analyze the relevant information and promptly complete the procedure with fairness, steadiness, and faithfulness.

Article 10 (Period for closure)

A complaint shall be concluded within 1 month after being accepted, whereas, if necessary, the period may be increased by another 1 month, and the complainant shall be informed.

Article 11 The Guidelines shall take effect after the general managers' approval, and the same shall apply to any amendments thereto.