



Workplace Discrimination and Harassment Policy

Emeren Group Ltd.

Department: HR Department - HQ

Document Prepared/ Edited By: Jake Snow – HR Director

Document Effective Date: March 1st, 2023

Document Length: 16 Pages

TABLE OF CONTENTS

1. OBJECTIVE	3
2. APPLICATION OF POLICY	3
3. CONSEQUENCES OF POLICY BREACH.....	3
4. POLICY EXCEPTIONS.....	3
5. DEFINITIONS.....	3
6. WORKFORCE RESPONSIBILITY	4
7. DIVERSITY, EQUITY, AND INCLUSION	5
8. NON-DISCRIMINATORY HIRING PRACTICES.....	5
9. HARASSMENT DEFINITIONS AND EXAMPLES.....	5
10. WORKPLACE VIOLENCE PREVENTION	6
11. WORKPLACE RELATIONSHIPS/ DATING.....	7
12. INTERNAL REPORTING PROCEDURE.....	9
13. FALSE COMPLAINT SUBMISSION	10
14. INTERNAL INVESTIGATION PROCEDURE.....	11
15. LEGAL PROTECTIONS AND EXTERNAL REMEDIES.....	12
16. RECORD KEEPING.....	12
17. EFFECTIVE PERIOD	12
APPENDIX A.....	13

1. Objective

The following policy has been formulated as a guideline to provide a positive work environment where all Employees are treated with respect and dignity. Each Employee has the right to work in a professional atmosphere that promotes equal employment opportunities and prohibits unlawful discriminatory practices, including all forms of harassment. All Employees are expected to adhere to acceptable standards of business conduct. Therefore, the Company will apply a zero-tolerance policy regarding any form of harassment and discrimination.

2. Application of Policy

This policy applies to all Employees of Emeren Group Ltd and its subsidiaries whether related to conduct engaged in by fellow Employees or by someone not directly connected to Emeren (Such as an outside vendor, consultant, applicant, etc.).

Conduct prohibited by this policy is unacceptable in the workplace and in any work-related setting outside the workplace, such as business trips, business meetings, and business-related social events. In addition, actions will be taken against any Employee who knowingly allows any conduct prohibited in this policy to occur. Any retaliation against individuals who report, testify, or assist in an investigation involving an act of misconduct is unacceptable and, in some cases, unlawful.

3. Consequences of Policy Breach

An Employee who is found to have violated the terms of this policy may be subject to discipline, up to and including termination of employment. Nothing in this policy affects the Company's right to discipline Employees who are found to have engaged in inappropriate or unacceptable workplace behavior.

4. Policy Exceptions

There are several situations that may occur in the workplace that are not considered as discrimination and/or harassment. For example, reasonable conduct and feedback by supervisors and managers relating to the performance of Employees is not workplace harassment. This includes performance appraisal ratings and constructive feedback, new work assignments, implementing disciplinary actions, etc. This policy does not restrict a manager or supervisor's responsibility and authority to effectively manage their team members in a respectable manner. If an Employee feels they are being treated unjustly or if the scenario may constitute a form of harassment, they are free to discuss together with the HR department. The HR Department will investigate to determine the appropriate remedy.

5. Definitions

- **Formal Complaint:** A signed written document (Appendix A) used to initiate a formal investigation of alleged discrimination or harassment. A verbal Complaint will also be accepted by the Company.
- **Complainant:** The Employee who initiates a Formal Complaint of discrimination or harassment. This is usually the party who is directly negatively impacted by the alleged behavior.
- **Respondent:** The Employee (person or 3rd party) against whom the Formal Complaint has been made. Also known as the Offender or Alleged Harasser.

- **Witness:** A bystander who has observed instances of discrimination or harassment, which are directed toward an Employee of the Company. Witnesses should discourage the behavior, report the situation to the Employer, and willfully participate during an investigation process. Witnesses are also protected against retaliation within the Company.

6. Workforce Responsibility

Employee:

Employees are personally accountable and responsible for enforcing this policy and must make every effort to prevent discrimination or harassing behavior within the workplace. Any Employee who has witnessed harassment in the workplace shall:

- Inform the harassed person that they witnessed what they believe to be harassment and that they find it unacceptable.
- Encourage the harassed person to report the incident to their supervisor or the HR Department.
- Participate in any investigation process initiated by the HR Department.

Supervisors:

- Be sensitive to the workplace environment and take immediate action to resolve any situation that involves potential discrimination or harassment.
- Ensure that their subordinates are aware of this policy and what it entails.
- Support the Employee without judgement.
- Conduct investigations as required on allegations of discrimination or harassment.
- Protect the privacy of the individuals involved and ensure all those involved are treated fairly and respectfully.
- Not retaliate against an Employee (or subordinate) who has submitted a Complaint of potential discrimination or harassment.

Human Resources:

- Effectively communicate this policy and the importance of maintaining a safe and healthy working environment free of discrimination and harassment.
- Assist Employees and supervisors in investigations and preparing documentation for incidents of discrimination or harassment.
- Protect the privacy of the individuals involved and ensure the respect and fair treatment of all those involved during the investigation.
- Ensure discipline or corrective actions have been taken for any violation of this policy.
- Provide training to ensure Employees understand their rights and responsibilities under this policy.
- Keep on file all Formal Complaints, accompanying documentation and findings of any investigation. Information from a previous investigation resulting in a substantiated Complaint may be used for review and consideration purposes in the event of a new allegation.

7. Diversity, Equity, and Inclusion

Emeren believes in the importance of creating, rewarding, and maintaining a culture of diversity, equity, and inclusion. Collectively, the individual differences, life experiences, knowledge, innovation, self-expression, unique capabilities, and talent that our Employees bring to their work defines culture, reputation, and the Company's resulting success.

The Company embraces and encourages our Employee's differences in age, color, health status, ethnicity, marital status, family makeup, gender identity or expression, spoken languages, national origin, physical and mental ability, political affiliation, race, religion, sexual orientation, socio-economic status, military and veteran status, and other characteristics that contribute to the uniqueness of each of our Employees.

Emeren's diversity initiatives are applicable to our Company policies and practices including but not limited to recruitment and selection, compensation and benefits, professional development and training, promotions, transfers, social and recreational programs, layoffs, and terminations. Further, these contribute to the ongoing development of a work environment that honors equity and reinforces:

- Communication that is respectful and stimulates cooperation between all Employees.
- Teamwork and Employee participation, encouraging the representation of all groups and Employee perspectives.
- Where possible, flexible work schedules designed to accommodate Employees' needs for work/life balance.
- Employer and Employee contributions to the community to promote a greater understanding and respect for our diversity.

All Employees of the Company have a responsibility to treat others with dignity and respect. All Employees are expected to conduct themselves in a manner that reflects inclusion during work, at work functions on or off the work site, and at all other Company-sponsored events.

8. Non-Discriminatory Hiring Practices

The Company is mindful of its responsibilities to hire qualified applicants based on their skills, experience, and the specific requirements of the position. We do not discriminate in our hiring practices based on any of the protected classes and characteristics listed in this policy. We will continue to search and hire the most qualified individuals for each of the positions we have in the Company. We have reviewed our hiring practices to confirm that we are following the current local laws and regulations while carefully evaluating each applicant's potential contributions.

9. Harassment Definitions and Examples

Emeren prohibits harassment of any kind, including sexual harassment, and will take appropriate and immediate action in response to Complaints or knowledge of violations of this policy. For purposes of this policy, harassment is any verbal or physical conduct designed to threaten, intimidate, or coerce an Employee, co-worker, or any person working for or on behalf of the Company.

The following examples of harassment are intended to be guidelines and are not exclusive when determining

whether there has been a violation of this policy:

- **Verbal harassment:** Includes derogatory comments or slurs that are offensive or unwelcome regarding race, religion, religious creed (includes all aspects of religious belief, observance, and practice, including religious dress and grooming practices), color, national origin, ancestry, physical and mental disability, medical condition, genetic information, marital status, gender (which includes pregnancy, childbirth, breastfeeding and medical conditions related to pregnancy), gender identity, gender expression, sexual stereotypes, transgender transitions, wearing a natural hairstyle representative of your race or national origin, age, military and veteran status, registered partner status, or any other legally protected characteristic.
- **Physical Harassment:** Assault, impeding or blocking movement, or any physical interference with normal work or movement, when directed at an individual. Other examples include touching, pinching, patting, grabbing, brushing against, poking another Employee's body, hazing or initiation that involves a sexual component, and requiring or requesting that an Employee wears sexually suggestive clothing.
- **Visual Harassment:** Derogatory posters, cartoons, drawings, or pictures. For example, displaying sexual pictures, writing or objects, obscene letters, or invitations, staring at an Employee's anatomy, leering, sexually oriented gestures, and unwanted love letters or notes (such as email, text message, and paper form).
- **Sexual Harassment/ Favors:** Any single or repeated incident of objectionable or unwelcome conduct of a sexual nature, that an Employee knows or ought to reasonably know would cause offence, humiliation, degradation, or embarrassment. In addition, unwanted sexual advances which condition an employment benefit upon an exchange of sexual favors. Some examples include continued requests for dates, any threat of demotion, termination, etc., if requested sexual favors are not given, making or threatening reprisals after a negative response to sexual advances, or propositioning an individual.
- **Bullying:** Defined as repeated mistreatment of one or more persons (the targets) by one or more perpetrators. It is abusive conduct that is threatening, humiliating, or intimidating, causing work interference/ sabotage, which may have an overall impact on work productivity.
- **Nonverbal Harassment:** Includes distribution, display, or discussion of any written or graphic material that ridicules, denigrates, insults, belittles or shows hostility, aversion, or disrespect toward an individual or group based on any of the classes mentioned above.

Any Complaint filed with a supervisor and/or HR department will consider all details and evidence of the situation. The above listed examples may not contain every example of discrimination or harassment that may occur.

10. Workplace Violence Prevention

Emeren is committed to providing a safe, violence-free workplace and strictly prohibits Employees, consultants, vendors, clients, visitors, members of the public or anyone else on Company premises or engaging in a Company-related activity from behaving in a violent or threatening manner. As part of this policy, the Company seeks to prevent workplace violence before it begins and reserves the right to deal with behavior that suggests a propensity towards violence even prior to any violent behavior occurs. The Company

has a zero-tolerance policy and anyone exhibiting bullying, overly aggressive or other inappropriate behavior will be disciplined, terminated and/or legal action may be taken.

The Company wishes to promote a workplace that encourages courtesy and respect. Consequently, we are defining “workplace violence” as anything that includes but is not limited to:

- Threats of any kind whether said as a joke or not and delivered in any form including but not limited to verbally, by email or text message.
- Threatening or violent behavior, such as an attempt to intimidate or instill fear in others. A threat of violence will be considered the same as, and dealt with in the same manner as, an act of violence.
- Other behavior that suggests a propensity towards violence, such as belligerent speech, excessive arguing or swearing.
- Theft or sabotage of Company property.
- A demonstrated pattern of refusal to follow Company policies and procedures.
- Defacing Company property or damaging the facilities.
- Bringing weapons or firearms of any kind on Company premises, in Company parking lots, or with you while conducting Company business.

If any Employee observes or becomes aware of such actions or behavior by an Employee, client, consultant, vendor, visitors, or anyone else, they should notify their supervisor immediately. In case of emergency, the authorities should be notified. Further, Employees should notify their supervisor if any restraining order is in effect or if a potentially violent non-work-related situation exists which could result in violence in the workplace. All suspicious individuals or activities should also be reported as soon as possible to a supervisor.

All reports of workplace violence will be taken seriously and will be investigated promptly and thoroughly. If the Company determines that workplace violence has occurred, the Company will take appropriate corrective action and will impose discipline upon the offending Employee(s), up to and including termination. If the violent behavior is that of a non-Employee, the Company will take appropriate corrective action to ensure such behavior is not repeated and ensure the safety of Employees.

11. Workplace Relationships/ Dating

Emeren strongly believes that a work environment where Employees maintain clear boundaries between personal and business interactions is necessary for effective operations. While consensual workplace relationships do not necessarily always constitute sexual harassment, they could, especially those of a romantic nature, give rise to potential claims of harassment if not handled in a professional manner.

Whilst it is not the Company’s intention to infringe upon the private lives of its Employees, it does expect that all Employees (and others within the scope of this policy) should conduct themselves at all times in ways that are consistent with fairness and impartiality. In particular, the recruitment, selection, treatment, development, and promotion of staff should be based solely on evidence and not be in any way affected by personal relationships at work.

Dating between Employees can often create difficulties in the workplace. Not only is there the potential for personal upset and distraction, but there can be the perception of favoritism, conflict of interest, inappropriate behavior, lack of professionalism, and sexual harassment claims. We expect our Employees to

treat each other with respect and avoid hindering the work of their fellow colleagues. It is suggested that Employees inform the HR Department about consensual relationships that may occur within the workplace. All discussions on this topic will be held with a high degree of confidentiality.

General Guidelines:

- **Sexual Harassment:** Unwanted requests for dates are not permitted within the workplace and will constitute a form of sexual harassment. If a colleague is persistent in these requests (in person, email, or notes), the affected Employee is encouraged to file a Formal Complaint with the HR Department for further investigation.
- **Hostile Work Environment:** Fellow Employees/ Colleagues could raise complaints of a hostile work environment due to inappropriate workplace behavior stemming from the established relationship. Specific examples include (but are not limited to):
 - Pervasive negative verbal or physical conduct in front of colleagues or clients.
 - Embarrassment felt by the involved parties or those witnessing the behavior.
 - Workplace arguments that are related to the personal relationship that exists outside of the Company.
 - Exchanging an excessive number of text messages, emails, or phone calls during working hours.
 - Discussing the details of the relationship directly with colleagues or when they're present.
 - Sharing confidential or potentially embarrassing/ damaging information with a partner who is positioned in a different department.
- **Manager and Subordinate Relationships:** Due to the risk of creating a situation of favoritism, conflicts of interest, and unfair power dynamics, the Company prohibits all workplace relationships that involve Team Leaders /Supervisors and their subordinates, or Employees who report to their subordinates. Failure to adhere to this guideline will result in disciplinary action up to and including termination.
- **Managing a Former Partner:** In the scenario where an Employee is promoted or transferred from another department, there may be instances where a Team Leader will be managing a colleague that they were previously in a relationship with. When managing a former partner, Team Leaders should not exhibit favoritism or retaliate against them in any manner. All subordinates should be treated in a fair and professional way, regardless of prior engagements. Please seek the advice of the HR Department when navigating these situations. In some cases, the affected Employees will be separated into different departments.
- **Married Couples/ Domestic Partners:** No Team Leader is permitted to consider their spouse, domestic partner, or dating partner for hiring consideration. Doing so may introduce favoritism/ bias into the recruitment process. Employment of family members in situations where one family member has direct influence over the other's conditions of employment is inappropriate.
- **Vendors and 3rd Party Business Partners:** In the interest of retaining our professional relationships with clients, vendors, and business partners, dating with those with whom we have business relationships is also discouraged. This may impact the position of trust, breach confidentiality, introduce a conflict of interest, and/or damage the relationship between the Company and the 3rd party.
- **Ending Workplace Relationships:** If a relationship ends, both Employees should maintain absolute professionalism to ensure there are no workplace disruptions or inappropriate behavior taking place at work. Instances of negative verbal exchange, attempts to sabotage reputations, revealing intimate details to colleagues, and hampering their work productivity will not be tolerated by the Company.

If any Employee is facing this sort of treatment, or an Employee Witnesses such behaviors being exhibited by the involved parties, they are encouraged to file a Complaint with the HR Department.

- **Exceptions:** Employee off-duty conduct is generally regarded as private if such conduct does not create problems within the workplace. An exception to this principle, however, is romantic or sexual relationships between managers and subordinates (as indicated above).
- **Reporting:** If an Employee feels they have become a victim or Witness to an alleged form of harassment or discrimination resulting from inappropriate workplace relationships or behaviors, the reporting procedures identified under clause 12 should be followed.

The Company will always adhere to the local laws and regulations as it pertains to the individual rights and freedoms of Employees in the workplace. The Company encourages transparency about personal relationships in the workplace to protect those involved.

12. Internal Reporting Procedure

Any incident of sexual or other harassment should be promptly reported to the Employee's supervisor as soon as possible. If the supervisor is unavailable or the Employee believes it would be inappropriate to contact that person, you should immediately contact the HR Department or any other member of Management. The Employee can raise concerns and make reports without fear of retaliation. If the Employee feels they have been retaliated against by anyone for making a Complaint, the HR Department and/or Senior Management should be notified immediately. It is the intent of the Company that there should be no retaliation and if after an investigation it is found that retaliation has occurred, the person(s) engaging in retaliation will be subject to disciplinary action up to and including termination.

Any supervisor who becomes aware of possible sexual or other harassment should promptly advise the HR Department and/or Senior Management, who will make sure an investigation is conducted and will handle the matter in a timely and appropriately confidential manner. Upon completion of the investigation, the affected Employee will be privately advised of management's findings and the way the Company intends to resolve the problem. The affected Employee's input regarding remedial action will be given due consideration. Emeren recognizes that the question of whether a particular action or incident is a purely personal, social matter without a discriminatory employment effect requires a factual determination based on all the circumstances. The Company also recognizes that false accusations of sexual or other harassment can have serious effects on innocent people. Intentionally false allegations may, therefore, result in disciplinary action, up to and including termination.

The following process should be followed if an Employee feels they are being harassed or have been a victim of workplace violence:

- 1) Any Employee who believes they are being harassed should make it clear to the Offender that such behavior is unwanted and unacceptable. Should the behavior continue, they must report the situation to their immediate supervisor or the HR Department. Should an Employee be harassed or threatened by an external business contact (3rd party service providers, supplier, contractors, etc.) they should also report this to the Company immediately. **If any Employee is unsure if a situation, comment, gesture, or any other scenario constitutes harassment or discrimination, they will always have the option to openly discuss together with the HR Department and/or their supervisor.**
- 2) Any Employee who would like to file a harassment Complaint, should start by completing the

“Workplace Harassment Complaint Form” attached to **“Appendix A”** at the end of this policy document. The HR Department may assist the Employee in completing a written statement, or in the event an Employee refuses to provide information in writing, the HR Department will dictate the verbal Complaint.

- Employees are free to submit an anonymous Complaint. However, the ability to address such Complaints may be limited if there is not enough information to determine the appropriate next steps. Employees are encouraged to identify themselves when making Complaints to ensure that the necessary details are obtained to appropriately address their Complaint.
 - Employees are encouraged to keep a record of incidents (date, times, locations, possible Witnesses, what happened, their response, etc.). Employees do not need to have a record of events to make a Complaint, but a record can strengthen their case and help them remember details over time. If the Employee has kept a detailed record of the incidents, they are encouraged to provide them to the HR Department to support their Complaint.
- 3) Reports of harassment will be investigated pursuant to the Complaint being filed to determine if there has been a violation of this policy. All investigations will be conducted in the strictest confidence and the individual shall be protected from retaliation for lodging a Complaint. All attempts shall be made to reach a reasonable resolution through mediation of the Complaint with all parties involved.
 - 4) An Employee may request that the investigation be re-opened in the event pertinent new evidence can be provided, or a reprisal due to the allegation has occurred.
 - 5) If the Alleged Harasser is a member of the HR Department, the Complaint should be filed directly with the HR Director and/or the Group CEO. If the alleged harasser is a member of Executive Management, the Complaint should be filed directly with the HR Department who will investigate the situation as per the process outlined under clause #14. Depending on the severity of the situation involving the above-mentioned level of positions/ departments, or if an appropriate solution cannot be reached, the Board of Directors may be consulted accordingly. In this case, a request should be submitted to the Board Secretary indicating that confidential correspondence is required to be submitted to the Board of Directors for review.

Please note, while harassment often involves a pattern of behavior, in some circumstances, a single incident may be severe enough to constitute harassment. In such a case, Employees are encouraged to file a report with the HR Department. As per Clause #15 (Legal Protections & External Remedies), Employees are never discouraged from reporting forms of discrimination, harassment, or violence to the appropriate local authorities or law enforcement, especially if the reported situation cannot be resolved or is perceived as serious enough to warrant such action on the part of the Employee.

13. False Complaint Submission

Filing a false Complaint or providing false information about a Complaint is prohibited and a violation of the clauses contained within this policy. Any Complaints made in bad faith and demonstrated through convincing evidence, are subject to disciplinary and/or corrective action, up to and including dismissal.

This is not meant to deter Employees from coming forward, but rather to address Complaints made outside of the intent of the Policy. Please note, a finding that a Complaint was not substantiated or lacks evidence, does not always mean that a Complaint was made in bad faith. A thorough investigation must be conducted to arrive at such a conclusion. In any event, the local labor laws and regulations will be consulted and followed in the event this type of scenario occurs.

14. Internal Investigation Procedure

All conduct that is inconsistent with this policy will be investigated promptly and thoroughly. Employees and supervisors are required to cooperate during investigations. Upon receiving a Formal Complaint about alleged discrimination or harassment, the Human Resources Department will undergo the following investigative procedures:

- 1) Once an internal Complaint is received by the Company, it will be kept strictly confidential. Appropriate action will then be undertaken immediately to deal with the allegations, which starts with an internal investigation being conducted by the HR Department.
- 2) The HR Department will interview the Complainant as well as the Respondent (Alleged Harasser). In most cases, the Complainant and Respondent will be separated and told to refrain from communications until the investigation has concluded. Depending on the severity of the Complaint, the HR Department may request for internal or external legal counsel to be present.
- 3) The HR Department will interview any Witnesses (Employees or 3rd parties) who may be able to provide relevant information related to the allegations of harassment.
- 4) The HR Department will review all the provided documents, emails, and phone records that were provided as evidence.
- 5) Upon conclusion of an investigation, the HR Department will submit a written report of the findings to Management. The HR Department will outline all the following details in the report:
 - A summary of the incident that was reported and a timeline of the events.
 - A list of the names of all individuals involved and interviewed throughout the investigative process.
 - A list of the documents reviewed and evidence that was obtained.
 - A summary of any prior incidents that were reported or unreported.
 - The opinion of an internal and external legal counsel (depending on the severity of the situation).
 - A professional recommendation on how to resolve the Complaint and implement corrective actions.
- 6) The appropriate action/ corrective actions will depend on the following factors:
 - The severity and frequency of the conduct.
 - Prior Complaints made by the Complainant.
 - Prior Complaints made against the alleged Harasser.
 - The quality of the evidence found throughout the investigation of the Complaint.
- 7) Both the Complainant and Respondent will be notified of the outcome of the investigation and the actions that will be taken.
- 8) If the internal investigation reveals evidence to support the Complaint of harassment, the Respondent will be disciplined appropriately. This could include:
 - A formal apology to be issued to the Complainant.
 - A verbal or written warning from the Company (HR Department), which will be placed in the Respondent's personnel file.
 - A change in working arrangements for the parties involved.
 - Harassment training for the Respondent.
 - Demotion.
 - Suspension.
 - Dismissal.

The nature of the discipline will depend on the severity and extent of the harassment. Certain serious cases (Involving physical violence, as an example) will result in the immediate dismissal of the Respondent.

- 9) The HR Department will follow up to ensure any disciplinary actions and recommendations have been fully implemented and the behavior has ceased.

Regardless of the outcome of a harassment Complaint made in good faith, the Employee lodging the Complaint as well as anyone providing information will be protected from any form of retaliation by either colleagues or superiors. This includes dismissal, demotion, unwanted transfer, denial of opportunities within the Company or harassment for having made a Complaint or having provided evidence regarding the Complaint. All information, interviews, and documentation collected throughout the investigation will be kept strictly confidential.

15. Legal Protections and External Remedies

An Employee who has been subject to any form of discrimination, harassment, or has been retaliated against based on a legally protected classification or activity may file a complaint with an external agency (or responsible local authorities) applicable to their city, state, province, and country of residence as per the local laws and regulations pertaining to labor, human rights, health & safety, discrimination, and harassment. Employees are encouraged to check online for your nearest office/ representative or consult with the HR Department for assistance in locating the appropriate contact information. Nothing in this policy prevents Employees from filing a Complaint in any other forum or contacting local law enforcement directly.

16. Record Keeping

All original records have been drafted by the HR Department, audited by the Internal Control Department, and approved by the Group CEO.

17. Effective Period

The effective date of this management document is from March 1st, 2023, onwards.

APPENDIX A:
WORKPLACE HARASSMENT COMPLAINT FORM

Complainant (Employee) Information

Employee Name:	
Current Position Title:	Department:
Work Address:	Date:
Work Phone:	Email Address:

Supervisor Information

Immediate Supervisor's Name:	
Current Position Title:	Department:
Work Address:	Contact Information (If available):

Respondent (Alleged Harasser) Details

Name(s):	
Current Position Title(s):	Department(s):
Work Address:	Contact Information (If available):
Relationship (Supervisor, Subordinate, Colleague, External 3 rd Party, or Other):	

Incident Details

Date of Incidents (if ongoing, please be as specific as possible)		
Witnesses (Please list the names of any colleague, manager, supervisor, or external 3 rd party who may have witnessed the event):		
Is there any physical evidence that supports the Complaint? If so, please attach copies of the evidence.	YES	NO

Please describe the nature of your Complaint. Include dates, time of day, locations where the alleged conduct took place, names of Witnesses, and as many details as possible. Please attach additional pages if there is not enough space provided below. If necessary, please attach any relevant documents, emails, texts, or photographs that may assist in our investigation.

Have you previously submitted a Complaint to a supervisor or the HR Department (verbal or written) about the related incidents? If yes, please provide (a) the individual to whom you submitted the Complaint, (b) the date of Complaint submission, (c) the specific allegations of your previous Complaint, and (d) the resolution of your previous Complaint. Please attach any documents related to the previous Complaint.

How do you believe this situation should be resolved?

Have you retained external legal counsel?	YES	NO
External Legal Counsel Contact Information (If applicable)		

****Signature page to follow***

To investigate your Complaint, the Company will need to follow up with you, the persons alleged to have engaged in misconduct, and any Witnesses with knowledge of the events described in your Complaint. All information provided in this document will be kept strictly confidential and we will only discuss the incident with those persons involved. The Company will not retaliate against you or any Witness for participating in any good-faith Complaint and its subsequent investigation.

By completing this form, you hereby acknowledge that the information provided in this form is true and correct to the best of your knowledge.

Signature

Date

HR Representative Signature

Date Received

Definitions (For Reference):

- **Formal Complaint:** A signed written document (Appendix A) used to initiate a formal investigation of alleged discrimination or harassment. A verbal Complaint will also be accepted by the Company.
- **Complainant:** The Employee who initiates a Formal Complaint of discrimination or harassment. This is usually the party who is directly negatively impacted by the alleged behavior.
- **Respondent:** The Employee (person or 3rd party) against whom the Formal Complaint has been made. Also known as the Offender or Alleged Harasser.
- **Witness:** A bystander who has observed instances of discrimination or harassment, which are directed toward an Employee of the Company. Witnesses should discourage the behavior, report the situation to the Employer, and willfully participate during an investigation process. Witnesses are also protected against retaliation within the Company.