

Respectful Workplace Policy

Rockpoint is committed to providing a safe and collegial working environment in which all individuals are treated fairly and with respect and dignity. Each individual has the right to work in a professional atmosphere which promotes equal opportunity and prohibits discriminatory practices. Rockpoint has developed a company-wide policy to prevent violence and harassment of any type against its employees and to quickly and effectively deal with incidents that may occur.

Violence and harassment will not be tolerated in the workplace. Rockpoint encourages the reporting of all incidents of workplace violence and harassment, regardless of who the offender may be. Individuals, regardless of seniority, found to have engaged in conduct constituting workplace violence or harassment will be subject to disciplinary action, up to and including termination of employment.

Purpose

The purpose of this policy is to foster a respectful workplace through the prevention and prompt resolution of workplace violence or harassment and to clearly communicate the rights and responsibilities of each employee in maintaining a violence and harassment free work environment. This policy is not intended to constrain social interaction between employees or to affect the ordinary and proper evaluation of the performance of a person's duties.

Policy

All employees have the right to work in an environment that is free from intimidating, threatening, or disruptive behavior. Rockpoint is committed to providing a positive, productive workplace, and will not tolerate any form of violence or harassment.

Violence or harassment perpetrated against employees by anyone, including coworkers, managers, clients, or vendors within the workplace or any work related activity, including business or social events, is a serious offense and is strictly prohibited.

Any employee who commits such a violation will be subject to disciplinary action, up to and including termination of employment.

Definitions

- 1. Violence** means the attempted or actual exercise by a person of any physical force so as to cause injury to a person, including any threatening statement or behaviour which gives a person reasonable cause to believe that he or she is at risk of injury.
- 2. Harassment** is one or a series of incidents involving unwelcome physical or verbal conduct or other act that belittles or shows hostility toward a person or segregates a person or group because of race, color, religion, gender, national origin, political belief, marital status, physical or mental disability, source of income, age, sex, or sexual orientation and that:

- has the purpose or effect of creating an intimidating, hostile, offensive or humiliating work environment;
- has the purpose or effect of unreasonably interfering with an individual's work performance; or
- is used as a basis for any employment decision including, but not limited to, matters of promotion, raises in salary, job security or benefits affecting the employee's evaluations and opportunities.

Harassment can take different forms, including, but not limited to:

- **Physical harassment**, such as touching, "stalking" or other physical behavior which creates an intimidating or hostile environment;
- **Verbal harassment**, such as inappropriate nicknames, name calling, slurs, negative stereotyping, crude language, unwelcome invitations or requests, whether indirect or explicit, or jokes; and
- **Written harassment**, such as threats or abusive notes, e-mail, letters, or graffiti which is placed on walls, bulletin boards, or elsewhere on Rockpoint's premises.

Harassment also includes "sexual harassment" and "retaliation" as described below.

3. Sexual Harassment is one or a series of incidents involving unsolicited or unwelcome sexual advances, requests for sexual favors, or other physical or verbal conduct of a sexual nature where:

- such conduct might reasonably be expected to cause embarrassment, insecurity, discomfort, offence or humiliation to another person;
- submission to the conduct is made either an explicit or implicit condition of employment, promotion, or professional advancement;
- submission to or reject of the conduct is used as a basis for an employment decision affecting the harassed employee; or
- the conduct or speech has the purpose or the effect of unreasonably interfering with an individual's work performance, or creates an intimidating, hostile, or offensive working environment.

It is Rockpoint's policy that no employee should be subjected to unsolicited or unwelcome sexual overtures or conduct in verbal, written, or physical form.

Examples of behaviour which constitutes sexual harassment include, but are not limited to, the following:

- sexually suggestive or obscene comments, innuendos or gestures;
- unwelcome physical contact;
- unwelcome sexual flirtations, advances or propositions;
- sexist jokes causing embarrassment or offence, told or carried out after the joker has been advised that they are embarrassing or offensive, or that are by their nature clearly embarrassing or offensive;
- persistent unwanted or uninvited contact, correspondence or attention;
- the display of offensive material of a sexual nature;
- graphic or degrading comments about an individual's appearance;
- statements or other conduct which leads an individual to believe that sexual favors or acts will lead to preferential employment treatment; and
- statements or other conduct which leads an individual to believe that refusal of sexual favors or acts will lead to negative treatment or denial of opportunities.

4. **Retaliation** is defined as any inimical action taken against an individual in retaliation for:

- having invoked this policy whether on behalf of oneself or another individual;
- having participated or cooperated in any investigation under this policy; or
- for having been associated with a person who has invoked this policy or participated in these procedures.

Scope

For the purposes of this policy the behaviours described above which constitute workplace violence or harassment may occur:

- at the office, facility or other place of work;
- at office-related social functions;
- in the course of work assignments outside the office;
- at work-related conferences or training sessions;
- during work-related travel;
- over the telephone or by email; or
- elsewhere if the person harassed is there as a result of work-related responsibilities or a work-related relationship.

Other Remedies

Notwithstanding any of the definitions provided above, if the words in the definitions or any of the provisions hereof are in conflict with applicable human rights legislation in the jurisdiction of the complaint, then the human rights legislation shall preponderate.

Responsibilities

This policy is designed to ensure that all complaints and concerns respecting workplace violence and harassment will be dealt with promptly and fairly. Any employee with concerns or a complaint is expected to bring the issue to the attention of a manager or supervisor pursuant to the procedures as set forth below. All managers or supervisors are expected to treat the matter seriously and with the utmost confidence.

Employees Responsibility

Employees have a responsibility to play a part in ensuring that the working environment is free from violence and harassment. As such, employees are asked to immediately report any workplace violence or harassment that they experience or observe.

Employees may be able to stop or prevent workplace violence or harassment by immediately and directly expressing their disapproval of an individual's behavior. If an employee feels comfortable addressing their concerns to the offender, he or she is encouraged to speak directly to the offender and advise the offender that the behavior is unwelcome and asked that it be stopped.



If an employee is not comfortable telling the offender to stop harassing behaviour or if the employee does so and the harassing behavior continues, then he or she should bring the matter to the attention of their manager or supervisor. If for any reason the employee does not wish to inform management, they may report the matter to Human Resources.

Employees should understand that all reports of workplace violence and harassment are investigated, even if the reporting employee does not desire any follow up.

Managers or Supervisors Responsibility

Managers or supervisors are responsible for correcting offensive or violent behavior and are encouraged to educate employees regarding appropriate, respectful work place behavior.

A manager or supervisor is to treat the matter seriously and with the utmost confidentiality. The manager or supervisor will listen to the employee bringing forth the complaint and obtain information respecting the alleged workplace violence or harassment. Once a supervisor or manager becomes aware of workplace violence or harassment, he or she must immediately report the incident to Human Resources for further guidance.

Procedures

Confidentiality

Rockpoint recognizes the difficulty of coming forward with a complaint of workplace violence or harassment and recognizes a complainant's interest in keeping the matter confidential. To protect the interests of the complainant, the person complained against and others who may report incidents of workplace violence or harassment, confidentiality will be maintained throughout the process and information relating to the complaint will only be disclosed to the extent necessary to carry out these procedures. All records of complaints will be kept in confidential complaint files and will only be disclosed to the extent necessary to carry out these procedures and as may be required by law. However, while Rockpoint can guarantee that the employee lodging a complaint, as well as anyone providing information about that complaint, will be protected from retaliation from co-workers or superiors, the investigative process into harassment complaints is such that Rockpoint cannot guarantee anonymity as part of the complaint process.

Advisory Group

For the purposes of conducting investigations under this policy an advisory group of three (3) members will be formed (the "**Advisory Group**"). The Advisory Group members shall include one (1) member from each of the following: (a) Human Resources, (b) Legal, and (c) Management.

Informal Resolution Procedures (Mediation)

Some complaints can be resolved through informal mediation between all parties involved. Human Resources, if the complainant consents, may seek a meeting with the person against whom the complaint is laid with a view to obtaining an apology or such other resolution satisfactory to complainant.

Investigation of Complaint

Where a resolution to a complaint is not achieved through mediation, the complaint will be forwarded to the Advisory Group for further investigation. An investigation will be commenced immediately by the Advisory Group following receipt of a written request from Human Resources.

An investigation will generally include obtaining a written statement from the complainant as well as interviews with persons involved in the incident, and any person with knowledge of the incident. These individuals may be asked to provide a written statement. The Advisory Group will appoint a person or persons (the “**Investigator**”) to investigate every written complaint and report on the investigation to the Advisory Group.

Procedure of Investigator

The Investigator will try to take the wishes of the complainant under consideration, but should thoroughly investigate the matter as he or she sees fit, keeping the complainant informed as to the status of the investigation. The Investigator will take the following actions as may be required to resolve the complaint:

- a) confirm name and position of complainant;
- b) identify the person whose conduct caused the offense;
- c) seek to gather all relevant facts;
- d) determine frequency/type of alleged objectionable conduct and, if possible, the date and location where alleged conduct occurred;
- e) find out if there were witnesses who observed the alleged conduct;
- f) ask the individual how he or she responded to the objectionable conduct;
- g) determine whether the complainant consulted anyone else about the alleged conduct and take note of who else knows and their response to the disclosure;
- h) develop a thorough understanding of the professional relationship, degree of control and amount of interaction between the person whose conduct caused offense and complainant (Does the person control compensation, term of employment or promotions? Do these individuals work in close proximity to one another and/or on the same projects?);
- i) determine whether the person whose conduct caused offense has carried out any threats or promises directed at the complainant or whether the terms of employment have been adversely affected;
- j) determine if the complainant knows of or suspects that there are any others who have been subjected to the same objectionable conduct by the person whose conduct caused offense;
- k) determine if the complainant informed other managers or supervisors of the situation. What response, if any, did complainant receive from these individuals?;
- l) ascertain the impact that the alleged conduct had and is having on the complainant physically and emotionally;
- m) ask complainant what action he or she would like taken as a consequence of the objectionable conduct;
- n) ask complainant if he or she feels safe/comfortable in the workplace as it is and if he or she can perform his or her job;
- o) when first interviewing the person accused of misconduct, remind him or her of the firm’s policy against retaliation for making a complaint of objectionable conduct;
- p) advise person accused of misconduct about the conduct complained of and provide enough information to allow the person accused of misconduct to make full answer to the allegations against him or her;
- q) confirm all information and obtain any additional facts and information;

- r) interview all witnesses;
- s) remind the complainant, person accused of misconduct and any witnesses not to discuss the complaint with any others as the matter is under investigation.

Resolution of the Complaint

After the investigation has been completed, a determination will be made by Advisory Group and presented to the appropriate management personnel for final resolution. If the investigation produces evidence to support the complaint of workplace violence or harassment, disciplinary action will be taken against the person whose conduct has caused the offense. Disciplinary action may take various forms, including documentation of the incident in the individual's personnel file, obtaining an apology and an assurance that the offensive behaviour will not be repeated, and up to and including termination of employment.

Informing Complainant

The complainant will be informed of the outcome of the investigation and any disciplinary action taken.

Unsupported Complaint

If the investigation fails to find evidence to support the complaint, there will be no documentation concerning the complaint placed on the file of the person accused of misconduct.

False Complaints

If an individual is found to have knowingly made a false complaint of workplace harassment, appropriate disciplinary action may be taken against that individual, up to and including termination of employment.

Conclusion

Rockpoint developed this policy in an attempt to ensure that all its employees can work in an environment free from objectionable conduct. Rockpoint will make every effort to ensure that all its personnel are familiar with the policy and know that any complaint received will be thoroughly investigated and appropriately resolved.