

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	



Workplace Violence Prevention Plan

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

WORKPLACE VIOLENCE PREVENTION PLAN

About this Document

This document outlines Eyenovia’s (“Company’s”) plan for the prevention of workplace violence. This document is intended for internal use only. Contact mowens@eyenovia.com or dcaldwell@eyenovia.com with any questions about this Plan.

WORKPLACE VIOLENCE PREVENTION PLAN MANAGERS

Names: Mariia Owens

Daryn Caldwell

Emails: mowens@eyenovia.com

dcaldwell@eyenovia.com

This plan applies to, but not limited to, all employees and contractors of the Company, collectively known as stakeholders of the Company.

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

CONTENTS

- About this Document2
- 1 Overview 4
 - 1.1 Introduction 4
 - 1.2 Purpose 4
 - 1.3 Roles and Responsibilities 5
 - 1.4 Workplace Violence Defined 5
 - 1.5 Workplace Violence Hazards 6
- 2 Reporting Workplace Violence 8
 - 2.1 Protection Against Retaliation 8
 - 2.2 Reporting 8
 - 2.3 Communication Regarding Workplace Violence 8
- 3 Addressing Workplace Violence 10
 - 3.1 Responding to Workplace Violence10
 - 3.2 Training 10
 - 3.2 Correcting Workplace Violence Hazards 10
- 4 Post-Incident Procedures 12
 - 4.1 Investigation 12
 - 4.2 Recordkeeping12
 - 4.3 Plan Updates 12
- Acknowledgement of Receipt and Review 13
- Exhibit 1. Workplace Violence Incident Log14

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

1. Overview

1.1. Introduction

At Eyenovia (“Company”), we are committed to fostering a safe and secure work environment. The safety and well-being of our employees is a top priority. The following Workplace Violence Prevention Plan (“Plan”) is designed to proactively address and mitigate potential threats to the safety and security of our workplace.

1.2. Purpose

The purpose of this Plan is to:

- Identify the names and job titles of the persons responsible for the implementation and maintenance of this Plan;
- Highlight how employees can report violent incidents, threats, or other workplace violence concerns, and how the Company accepts and responds to such reports;
- Reinforce the Company’s prohibition against unlawful retaliation for reporting, in good faith, violent incidents, threats, or other workplace violence concerns, and participating in any related investigations of such reports;
- Outline the Company procedures to respond to actual or potential workplace violence emergencies;
- Detail training requirements about this Plan, including the frequency of training;
- Outline procedures to identify and evaluate workplace violence hazards;
- Communicate post-incident response and investigation processes.

1.3. Roles and Responsibilities

All Company employees, including managers and supervisors, are expected to adhere to this Plan (except as outlined below) and are responsible for ensuring they have read this Plan and act in compliance with it.

Among the measures we take to help ensure that all employees comply with this Plan include the following:

- Informing employees of the provisions of this Plan;
- Educating employees about what does (and doesn’t) constitute workplace violence;
- Establishing accessible channels for employees to report workplace hazards and violence, including anonymously;

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

- Providing training to all employees when the Plan is created, and as new hazards are identified.
- Conducting post-incident investigations, and taking action.

Roles and responsibilities for this Plan include:

Person/Team	Responsibilities
Director of HR Director of Commercial Ops and Training	Implement and maintain this Plan.
Director of Commercial Ops and Training	Develops and delivers training sessions to all employees when the Plan is created and updates the training as new hazards are identified. Develops and conducts training sessions to educate employees on what constitutes workplace violence and what doesn't. Maintains Workplace Violence training record.
Director of HR	Creates and maintains accessible channels for employees to report workplace hazards and violence. Leads or coordinates post-incident investigations into reported cases of workplace violence. Takes appropriate actions based on the outcome of investigations, which may include disciplinary actions, counseling, or other interventions. Maintains Workplace Violence Incident Log.
Chief Operating Officer and/or Facilities Managers	Collaborates with HR in conducting investigations, especially if security measures are involved. Supports HR investigations and ensures that corrective actions are implemented effectively. Backup for reporting workplace violence.

- *Note: Employees teleworking from a location of the employee's choice, not under the control of the Company (e.g., employees working from their home) are not subject to this Plan.*

1.4. Workplace Violence Defined

Workplace violence refers to any “act of violence or threat of violence that occurs in a place of employment.” It includes, regardless of whether an

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

employee sustains an injury, the threat or use of physical force against an employee that results in or is likely to result in injury, trauma, or stress, as well as incidents involving a threat or use of a firearm or other dangerous weapon.

A “threat of violence” means any verbal or written statement, including, but not limited to, texts, electronic messages, social media messages, or other online posts, or any behavior or physical conduct that conveys an intent, or that is reasonably perceived to convey an intent to cause physical harm or to place someone in fear of physical harm, and that serves no legitimate purpose.

There are four common types of workplace violence:

Type 1 Violence: Workplace violence committed by a person who has no legitimate business at the worksite, including violent acts by anyone who enters the workplace or approaches workers with the intent to commit a crime.

Type 2 Violence: Workplace violence directed at employees by customers, clients, patients, students, or visitors.

Type 3 Violence: Workplace violence against an employee by a present or former employee, supervisor, or manager.

Type 4 Violence: Workplace violence committed in the workplace by a person who does not work there, but has or is known to have had a personal relationship with an employee.

Workplace violence does not include lawful acts of self-defense or defense of others.

1.5. Workplace Violence Hazards

Workplace violence hazards refer to conditions or situations in a work environment that have the potential to lead to violent incidents or behaviors. These hazards can pose a risk to the safety and well-being of employees. Workplace violence hazards can manifest in various forms, and it's important to identify and address them to create a safer work environment.

Please refer to the EYENOVIA Handbook for additional information and policies regarding workplace hazards.

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

Common types of workplace violence hazards include, but are not limited to:

Physical Hazards

- Inadequate security measures, leading to unauthorized access.
- Poorly lit areas that increase the risk of assault.
- Lack of surveillance in critical areas.

Psychosocial Hazards

- High-stress work environments that lead to workplace conflict.
- Poorly managed conflicts or disputes among employees.
- Bullying or harassment.

External Hazards

- Interaction with the public, customers, or clients who may pose a threat.
- Exposure to potentially dangerous situations when dealing with the public.

Substance Abuse Hazards

- Presence of drugs or alcohol in the workplace.
- Employees under the influence of substances that impair judgment and behavior.

Access to Weapons

- Failure to control the presence of weapons in the workplace.
-

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

2. Reporting Workplace Violence

2.1. Protection Against Retaliation

Company strictly prohibits and does not tolerate any form of unlawful retaliation for engaging in any protected activity, including good-faith reporting of incidents of workplace violence, or filing, testifying, assisting, or participating in any manner in any related investigation, proceeding, or hearing.

Prohibited retaliation includes, but is not limited to, termination, demotion, suspension, failure to hire or consider for hire, failure to give equal consideration in making employment decisions, failure to make employment recommendations impartially, adversely affecting working conditions, or otherwise denying any employment benefit.

2.2. Reporting

To report a violent incident, threat, or other workplace violence concern employees can reach out directly to Mariia Owens via email mowens@eyenovia.com or phone (775)225-6037. The backup contact is Bren Kern, who can be reached at via email bkern@eyenovia.com or phone (650)269-4114.

To report an incident anonymously, employees can submit the report through HelloTeam by adding an anonymous suggestion through the Suggestion Box feature located at the top right corner of the employee dashboard.

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

The screenshot shows a web form titled "Add Suggestion". It contains the following fields and options:

- Title:** A text input field containing "Workplace Violence Incident Report".
- Description:** A large text area for entering details.
- Author:** A section with a checked checkbox labeled "Anonymous".
- Tag:** A dropdown menu with "Workplace Violence" selected.
- Buttons:** "Save" (green) and "Close" (grey) buttons at the bottom right.

2.3. Communication Regarding Workplace Violence

Managers are responsible for communicating with all employees about workplace violence in a form readily understandable by all employees. All employees are encouraged to inform their managers about workplace hazards, and may do so without fear of reprisal.

Our communication efforts include the following:

- A discussion of workplace hazards and reporting channels included in the new employee orientation.
- Regular review and updates of this Plan.
- Regularly scheduled training.
- A channel through which employees can inform management about workplace hazards, violent incidents, threats, and other workplace violence concerns, which includes anonymous reporting (through Helloteam).

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

3. Addressing Workplace Violence

3.1. Responding to Workplace Violence

Following any incident, the Company will conduct a thorough investigation, implement necessary security measures, offer necessary support services to those impacted, and take disciplinary action where required along the way. Our response procedures reflect our commitment to maintaining a workplace where safety is paramount, fostering a culture of trust and well-being for all. For further details on the Company's Workplace Violence policy and response procedures, please refer to the Eyenovia Employee Handbook.

The procedures for responding to workplace violence emergencies include:

1. Alerting employees through text messages, emails, and audible alarms where applicable.
2. Providing clear information about the presence, location, and nature of the emergency.
3. Evacuating the affected worksite considering its unique characteristics and in accordance with established evacuation protocol.
4. If evacuation is not immediately feasible, direct employees to designated safe rooms within facilities. Lockdowns, closing blinds and staying quiet are also advisable where applicable.

Our commitment to a safe workplace extends to recognizing and responding to potential and actual violence. While intervention may be a natural instinct, company policy prioritizes the safety of all employees. Any threats of violence, verbal or otherwise, should be reported immediately to a supervisor or designated representative. In the case of actual violence, intervening can be a complex situation. There will likely be limitations on safe intervention depending on the severity of the situation. It's important to remember that no employee is expected to put themselves or others at risk of bodily harm. When faced with an active violent incident, focus on securing your own safety and the safety of those around you by calling emergency services or following established evacuation procedures.

3.2. Training

All employees are required to have training and instruction on this Plan; including knowledge of how to access the most up-to-date version of this Plan; key definitions; how to report workplace violence incidents or concerns; how to recognize workplace violence hazards; how to seek assistance to prevent or respond to violence; and strategies to avoid physical harm. Any such training

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

will be interactive, and allow for questions and answers with the persons responsible for maintaining this Plan.

Training and instruction about this Plan is provided:

- when this Plan is first established;
- to all employees annually;
- whenever new or previously unrecognized workplace violence hazards have been identified; or
- when changes are made to this plan.

To the extent that training is provided when a new or previously unrecognized workplace violence hazard has been identified — or when changes are made to this Plan — such training will only cover the new hazards and/or changes to this Plan.

Detailed evacuation procedures tailored to the Reno and Redwood City worksites have been developed by appointed individuals. The appointed roles for each worksite are the following:

- Reno: General Manager (main) and Quality Manager (backup). Evacuation materials are available in Egnyte and upon request.
- Redwood City: VP of Global Manufacturing Operations (main) and Manufacturing Administrative Assistant (backup). Evacuation materials available in Egnyte and upon request.
- Laguna Hills: Chief Executive Officer (main) and Director of Commercial Operations and Training (backup).
- New York City: Corporate Controller (main) and Staff Accountant (backup).

For Laguna Hills, the shelter in place location is the office of the CEO, and the evacuation route is through the staircase immediately outside of the office.

For New York, the shelter in place location is under the steel beams, and the evacuation route is through the backdoor of the office that leads to a staircase.

3.3. Correcting Workplace Violence Hazards

Workplace violence hazards shall be corrected in a timely manner based on the severity of the hazards. Hazards shall be corrected according to the following procedures:

- When observed or discovered hazards are confirmed; and

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

-
- When an imminent hazard exists which cannot be immediately abated without endangering employee(s), we will work to remove all endangered employees from the area except those necessary to address the existing hazard.
-

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

4. Post-Incident Procedures

4.1. Investigation Any workplace violence incident must be thoroughly investigated. Procedures for investigations shall include:

- Interviews of employees injured and any witnesses;
- Examining the workplace for factors associated with the incident;
- Determining the cause of the incident;
- Taking corrective action to prevent the incident from recurring; and
- Recording the findings and taking action.

4.2. Recordkeeping The Company is required to maintain a violent incident log for each workplace violence incident, and must maintain such records for at least five (5) years. The log includes the following information: the date/time/location of the incident, a detailed description of the incident, a classification of the incident, and the consequence(s) of the incident.

The log does *not* include any personal identifying information sufficient to allow the identification of any person involved in a violent incident.

Please contact Mariia Owens for copies of any of these records.

4.3. Plan Updates This plan will be reviewed and updated annually, when a deficiency is observed or becomes apparent, and after a workplace violence incident.

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

Acknowledgement of Receipt and Review

I, hereby, certify to the Company that:

1. I have received, read, and understand my obligations outlined in the Company's Workplace Violence Prevention Plan;
2. I intend to comply with the Plan; and
3. I understand that it is my responsibility to comply with its terms, as well as any future updates or revisions to the Plan.

User's Name

User's Signature

Today's Date

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

Exhibit 1. Workplace Violence Incident Log

Please do **not** include any personally identifying information (e.g., names of individuals involved, addresses, emails, telephone numbers, SSNs, etc.) in this log.

Date & Time of Incident: _____

Location: _____

Workplace Violence Type:

Type 1 Violence: Workplace violence committed by a person who has no legitimate business at the worksite, and includes violent acts by anyone who enters the workplace or approaches workers with the intent to commit a crime.

Type 2 Violence: Workplace violence directed at employees by customers, clients, patients, students, inmates, or visitors.

Type 3 Violence: Workplace violence against an employee by a present or former employee, supervisor, or manager.

Type 4 Violence: Workplace violence committed in the workplace by a person who does not work there, but has or is known to have had a personal relationship with an employee.

Detailed Description of Incident:

Persons Involved (note: please identify whether the perpetrator was a customer, client, stranger, coworker, manager, ect.):

Title: Workplace Violence Prevention Plan	Document No.: N/A	Total Pages: 16
Author: Human Resources & Training	Revision: 06.06.2024	

Description of Circumstances at Time of Incident (e.g., employee completing usual job duties, low staffing level, employee working in unfamiliar or new location):

Classification of Incident Location:

- Workplace
- Parking Lot or Other Area Outside Workplace (please describe):
- Other (please describe):

Type of Incident (check all that apply):

- Physical Attack without a Weapon (including, but not limited to, biting, choking, grabbing, hair pulling, kicking, punching, slapping, pushing, pulling, scratching, or spitting)
- Attack with a Weapon or Object
- Threat of Physical Force or Threat of the Use of a weapon or Other Object (including, but not limited to, a firearm, knife, or other object)
- Sexual Assault or Threat (including, but not limited to, rape, attempted rape, physical display, or unwanted verbal or physical sexual contact)
- Animal Attack
- Other (please describe):

Consequences of Incident (including whether security or law enforcement was contacted, and actions taken to protect employees from continuing threat):

Person Completing This Log:

Job Title of Person Completing This Log:

Date Completed: