



CODE OF CONDUCT

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A MESSAGE FROM OUR CEO

DEAR COLLEAGUES,

Since 1985, Winrock International has been making a difference in the lives of people around the world. The respect and confidence that they and our funders, subcontractors and vendors have in our organization is rooted in the hard work and integrity of our employees. Our continued success depends on each of us maintaining the highest of standards, where each employee, Board member, volunteer, intern and fellow, and consultant is committed to ethical behavior, honesty, and integrity.

Our shared mission is to empower the disadvantaged, increase economic opportunity and sustain natural resources. Our mission is core not only to what we do, but also how we do it. For example, we comply with all the laws wherever we work. We comply with our funders' requirements. We also have requirements for how we conduct ourselves in the workplace, set forth in this Code of Conduct.

Our Code of Conduct is a collection of guiding principles that are an extension of our mission. This Code dictates how we conduct ourselves in performing this important work and provides resources to help us make informed decisions and act on those decisions with integrity. These principles are required by our funders, and meeting our obligations to our funders requires us to adhere to these principles in letter and spirit. We take ethics and integrity very seriously and believe that all of us have a duty to fully understand this Code. You should use the Code as an everyday guide to help navigate what's right in a particular situation and to minimize legal and ethical risk.

We each have both the privilege and the responsibility of sustaining and building on Winrock's reputation for excellence. To succeed in this endeavor, we must all work together to get the right results in the right way.

Knowing when to seek guidance or speak up is also an important part of personal accountability. I am committed to maintaining a culture where people are encouraged to seek advice, voice concerns or report possible misconduct—and are protected from retaliation when they do so. If you have questions or if something doesn't seem right to you, please contact our Hotline or any of the channels available to you under this Code, including me.

This Code needs to work for you, our valued employees. If you have questions, concerns, or suggestions for a better Code, please contact me directly or contact our Risk and Compliance Office.

All the best,

Rodney Ferguson

January 2019





OUR SHARED RESPONSIBILITIES

At Winrock we follow the laws of every country where we work. We also follow this Code of Conduct. Upholding Winrock's Code of Conduct is a responsibility shared by all involved in contributing to project results, providing solutions, and delivering on Winrock's mission. The Code is mandatory and applies to each employee, Board member, volunteer, intern and fellow, and consultant (also known as our "workforce").

In addition to the Code, we also have Operational Policies and Procedures, which are issued by operational groups (such as Finance, Human Resources or Operations) that apply to specific activities or roles. These Operational Policies and Procedures implement business practices to achieve consistent results and efficiencies, and to minimize legal risks. Compliance with the Operational Policies and Procedures also is a mandatory condition of employment.

Our Code and Operational Policies and Procedures are supported by our Core Values:

- **Accountability**
- **Equity**
- **Innovation**
- **Integrity**
- **Transformation**

These Value reflect our shared beliefs and commitments to each other, our supporters, and those we serve.

As noted by our CEO, Winrock is known as an organization that makes a difference in the lives of people around the world. Our success is based on operating with integrity in every location, on every project. When you operate ethically you send a message to others that they can put their trust in us. By doing the right thing, you not only protect our reputation, but also help Winrock thrive in today's complex and competitive environment.

Conduct or actions prohibited by this Code and the Operational Policies and Procedures is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings, and business-related social events.

INDIVIDUAL RESPONSIBILITIES

You are responsible for becoming familiar with the Code of Conduct, particularly those policies that apply to your job or your work with Winrock. You will be doing your part when you:

- **Stay informed** by learning the Code of Conduct, acknowledging expectations, and participating in briefings and available ethics and compliance training.
- **Seek guidance** and ask questions or consult with others when the right course of action is unclear.
- **Stand firm** by resisting pressure to compromise our standards or policies of the Code or cut ethical corners to meet an objective or complete an activity.
- **Raise concerns** if something does not seem right.

MANAGER RESPONSIBILITIES

If you manage or supervise others, you have been placed in a position of trust. To maintain that trust, you should always:

- **Lead by example** and be a positive role model to others. Champion a culture of integrity.
- **Promote awareness** of Winrock's Code of Conduct and make sure those you supervise are equipped with the knowledge and resources they need to comply with the Code.
- **Monitor the conduct** of those you supervise and take responsibility for activities that occur under your supervision.
- **Be responsive** to anyone who raises an ethics or compliance concern. Keep an open door for concerns. Escalate to the Chief Risk and Compliance Officer violations of this Code, make sure that action is taken, and ensure concerns are resolved in a fair and appropriate manner.

Click [here](#) for more guidance.

WINROCK CODE OF CONDUCT AMBASSADORS

As a Winrock Ambassador, you have been selected to promote the Code of Conduct and help your colleagues learn and understand expectations of each person at your location or nearby work sites. It is a position of trust. You should always:

- **Lead by example** and be a positive role model to others.
- **Promote awareness** of Winrock's Code of Conduct and make sure that new hires and colleagues are equipped with the knowledge they need to comply with the Code.
- **Train colleagues** in compliance and ethics and deliver briefings.
- **Be responsive** by answering questions or escalating an ethics or compliance concern.

WINROCK LEADERSHIP

Our Winrock Leadership is entrusted with the strategic, programmatic, financial, and management operations to fulfill our mission and deliver results to empower the disadvantaged, increase economic opportunity, and sustain natural resources in the United States and around the world. Every Winrock leader should always:

- **Lead by example** and be a positive role model to others.
- **Provide a safe and productive workplace.**
- **Promote awareness and give voice** to all stakeholders to ask questions and raise ethical and compliance concerns or issues.
- **Be responsive** to anyone who raises an ethics or compliance concern. Keep an open door for concerns. Escalate when needed, make sure that action is taken, and ensure concerns are resolved in a fair and appropriate manner.
- **Achieve Winrock's commitment** to integrity, respect, and impact; and to the highest ethical standards, rules of law, and donor expectations.



ASK A QUESTION OR REPORT A CONCERN

Winrock's Code of Conduct is not intended to make you an expert on every issue, but rather to help you spot risks, obtain guidance, and make good choices. We must constantly be alert to the gaps between policies and practices and work to close them. Making the right decision is not always easy. There may be times when you will be under pressure or unsure of what to do. Always remember that when you have a tough choice to make, you are not alone.

Part of the responsibility to report is management's responsibility to act on reports made. Our Core Value of Accountability reflects our commitment to ensure that we take responsibility when staff speak up:

- We are fiscally responsible.
- We hold ourselves and our colleagues responsible for the outcomes of our choices, behaviors and actions.
- We take responsibility for all outcomes, positive and negative.

The following policy, also known as a Whistleblower policy, sets forth guidance and instruction for how to report, and how Winrock commits to responding to you.

HOW TO SPOT AN ISSUE

Before making a decision or pursuing a course of action, consider the following:

- Ask yourself: Does the decision or action meet the letter and spirit of Winrock's Core Values (especially Integrity), Code of Conduct or Operational Policies and Procedures? Is it legal?
- If you are unsure if the Code or a policy applies, ask your manager, your Code of Conduct Ambassador, or the Compliance Officer.
- If you suspect the decision or action violates the Code, raise it. Do not say to yourself, "I don't know." You are not responsible for investigating Code violations; you are responsible for raising them.

HOW TO SPOT AN ETHICAL DILEMMA

In addition to complying with the rules—such as the law, this Code or Operational Policies and Procedures—we at Winrock also have a duty to act ethically and do the “right thing.” Sometimes that is not a clear path. If you have a concern that you or another employee may be acting unethically, or want to discuss an ethical dilemma, speak up. Reach out to any of those identified below, including the Risk and Compliance Officer (whose duties include ethics). Here are some red flags that may indicate an ethical issue:

- Does it serve our Core Values of Accountability, Equity, Innovation, Integrity, and Transformation?
- Are you or someone else trying to keep it a secret?
- Is it something Winrock would not want publicized in the news or on social media?
- If this decision was made public, would you feel comfortable explaining it to colleagues or even investigators?
- Is your judgement impartial, or do you have a personal stake in the outcome that makes you less objective?
- What if everyone at Winrock did it—would that be OK?

YOUR DUTY TO SPEAK UP

One of the most tragic aspects of wrongdoing is when people look the other way or fail to speak up. In addition to knowing the ethical and legal obligations that apply to your job, **you are required to speak up if:**

- **You are aware, or suspect, a violation of the Code of Conduct, the Operational Policies and Procedures, or the law. Note that a suspicion is enough – you do not need to have all the facts or be certain.**



- You are ever unsure about the proper course of action and need advice.
- Particular actions or decisions make you uncomfortable.
- You know or suspect that any of the following persons have been or are about to engage in Code violations or illegal or unethical activity in connection with Winrock’s work:
 - Any one in Winrock’s workforce
 - Vendors, suppliers or other contractors or consultants
 - Partners, grantees, subcontractors
 - Agents, intermediaries or others acting on behalf of Winrock

CHANNELS FOR ASKING QUESTIONS OR RAISING CONCERNS

Winrock has numerous channels of communication for employees with questions, seeking advice or wishing to report concerns. You should choose the channel that feels the most comfortable for you.

| Channel for speaking up | Description |
|--|---|
| Your Manager | Your direct supervisor or unit supervisor. |
| Your Winrock Code of Conduct Ambassador | Usually a colleague and likely working in the same location. |
| Chief of Party or Project Director | For a project, the senior-most position at your work location, or unit director or senior director responsive to questions or reporting a concern. |
| HR Lead or HR Focal Point | Senior-most person at work location responsible for HR functions including employee relations. Or the position which handles most HR-related transactions locally. Another option is a regional HR partner or manager. |
| Other Managers and Leaders | Other trusted managers and leaders at your work location can be helpful with advice, questions and reporting a concern. |
| Chief Risk and Compliance Officer Charlotte Young | Charlotte oversees and facilitates the review of all Code of Conduct concerns and compliance with all legal/regulatory and donor requirements, reporting to the CEO and the Board of Directors. |
| Hotline (can be anonymous) | Our Hotline provides a means to report concerns by identifying yourself or remaining anonymous, if you prefer. You can call using the telephone or can make a report via the website. Ask for your local language if needed. |

WINROCK HOTLINE

The Hotline is available at any time to ask questions or raise concerns but is often used when:

- You feel uncomfortable using another channel of communication.
- Other channels prove ineffective, unable to respond or appear unresponsive.
- You wish to report your concern anonymously.

The Hotline is administered by EthicsPoint/Navex, which is an independent third party that does not log or identify telephone numbers or computer IP addresses. It is available 24 hours a day, seven days a week, in multiple languages. It is available for use by anyone involved with

Winrock including employees, partners, clients or beneficiaries and contractors or consultants.

If you use the telephone option, a trained specialist from EthicsPoint/Navex will make a detailed summary of your question or concern. The details will be forwarded to Winrock's Chief Risk and Compliance Officer or designated representative for further response.



VIA WEB

Winrock.ethicspoint.com



VIA PHONE

[Click here](#) for a list of phone numbers in all the places we work.

ANONYMITY AND CONFIDENTIALITY

You are encouraged to provide your name when raising a concern. This allows those who respond to your concern to contact you if additional information is needed to look into your concern thoroughly. Providing your name also helps us ensure that you do not experience retaliation for making a good faith report. (There may be unique circumstances when disclosing your identity is required by law or is necessary to fully investigate and address your concerns.)

If you choose to identify yourself when making a report, filing online, or accessing the Hotline, Winrock will endeavor to keep your information confidential, sharing it only on a need-to-know basis among those directly handling or overseeing the issues you reported.

If you make a report anonymously using the Hotline, it is important to provide detailed information. EthicsPoint will assign you a case number and you should regularly check the site to respond to information requests from those handling the issue(s) you reported. Cases that lack enough information to pursue may be closed.

Although anonymous reports are allowed, employees may not raise issues, file online, or use the Hotline in bad faith (e.g., to file fabricated complaints for dishonest or hidden reasons). Reports made in bad faith undermine the integrity of filing online or using the Hotline and are subject to disciplinary action.

ANTI-RETALIATION POLICY

Winrock will not tolerate retaliation against anyone who, in good faith, reports a concern or participates in an investigation, even if the allegation ultimately is not substantiated. Anyone, regardless of position or tenure, found to have engaged in retaliatory conduct against someone who has raised an ethics or compliance concern will be subject to disciplinary action, and possibly termination. If you feel you

have been subjected to retaliation, you should access the Code of Conduct Hotline online or by telephone for assistance or directly contact the Chief Risk and Compliance Officer.

Winrock encourages managers and employees to self-report violations and, depending on the

specific circumstances, may treat self-reporting as a mitigating factor when assessing any disciplinary measures.

In addition to Winrock's prohibition on retaliation, U.S. federal law prohibits any form of retaliation against any employee as a reprisal for disclosing information that the employee reasonably believes is evidence of gross mismanagement of a federal funding; a gross waste of federal funds; an abuse of authority relating to a federal grant, cooperative agreement, or contract; a substantial and specific danger to public health or safety; or a violation of law, rule, or regulation related to a federal grant, cooperative agreement, or contract. Retaliation is prohibited even if undertaken at the request of an executive branch government official, unless the request takes the form of a non-discretionary directive that is within the authority of the executive branch government official making the request. If an employee believes that he/she has been retaliated against for a good faith disclosure of the type of conduct listed above, he/she may submit a complaint to the Inspector General of the appropriate U.S. federal agency. The employee's rights and remedies may be found at 48 CFR 3.900.

RESPONSIVENESS AND EMPLOYEE COOPERATION

Investigations of Code and policy violations will be led by the Chief Risk and Compliance Officer, working with partners such as HR, Finance, and Programs, as needed and while respecting the need for confidentiality. Employees are required to cooperate with an investigation.

Winrock takes all concerns seriously and will address all reports. Out of respect for the privacy of individuals who may be affected by your report, Winrock may be unable to provide you with detailed results of our investigation and may not tell you what actions were taken in response. Whenever practicable, we will provide you with status updates, so you know that your concern is receiving an appropriate response. Our Chief Risk and Compliance Officer, members of the Executive Team and the Compliance and Audit Committee of Winrock's Board of Directors also monitor the resolution of cases.



ENFORCEMENT

Anyone who violates Winrock's Code of Conduct or the Operational Policies and Procedures, regardless of position or tenure, may be subject to disciplinary action, including termination. The following are examples of conduct that may result in disciplinary action:

- Violating the Code
- Directing or encouraging others to violate the Code
- Failing to report known or suspected violations of the Code
- Interfering with an audit or investigation
- Being uncooperative or untruthful during an audit or investigation
- Retaliating against others for raising a concern

The disciplinary action will vary depending on the seriousness of the offense, whether there is a history of prior conduct, the certainty of the facts, and other factors. Disciplinary action could be any of the following:

- No action taken/no action necessary
- Policy/process review
- Training/advice
- Verbal warning
- Written warning
- Termination

In addition, violations of laws or regulations can trigger legal action against you, your colleagues, Winrock or its partners, or suppliers that could result in:


- Fines
- Suspension
- Debarment
- Imprisonment

Employees will be asked to sign a statement certifying that they understand and will abide by this Code of Conduct. Each person will sign the statement when they begin work for Winrock, and every year after.

EXCEPTIONS TO THIS CODE

Any employee who requests an exception to this Code of Conduct should obtain the exception, in writing, in advance, from the Chief Risk and Compliance Officer. No others are authorized to allow an exception.

Nothing in the Code of Conduct or other Winrock Policies and Procedures is intended to create an express or implied contract of employment. In the U.S. and other applicable countries, the maintenance of this Code does not modify the employment-at-will relationship that may exist between Winrock and its employees. Nothing in this Code creates a contractual obligation on the part of Winrock, nor does it expand any third party or employee legal rights or Winrock's legal obligations.



CODE OF
CONDUCT

ACKNOWLEDGEMENT FORM

I hereby certify, by my signature, that I have read, understand, and will comply with Winrock's Code of Conduct. I understand that it is my personal responsibility to ensure that my actions conform with the provisions in our Code of Conduct and understand that my failure to comply with these provisions may result in corrective actions, up to and including my dismissal from Winrock.

Signature of Employee: _____

Dated: _____





COMMITMENT TO COLLEAGUES AND ORGANIZATION

Winrock is committed to ensuring safe and secure conditions for its workforce, regardless of position or location, and to providing a work environment that promotes staff well-being, resilience, health, and productivity.

Winrock transforms donor contributions and funds into programs and projects to empower the disadvantaged, increase economic opportunity, and sustain natural resources. Winrock combines technical expertise with entrepreneurial innovation to improve lives around the globe. To do this, Winrock must remain uncompromised, efficient and effective in carrying out its work. We must safeguard Winrock's assets and put the interests of the organization first.

Winrock is committed to being a responsible global citizen. Our interactions with governments, regulators, the media and local communities must be grounded on honesty, trust and fairness. We support the legitimate rule of law and promote high ethical standards in the countries and communities where we work.

DIVERSITY AND INCLUSION

One of our Core Values is Equity:

- We treat our Winrock colleagues, our partners and funders, and all who benefit from our work with fairness and respect.
- We believe that being inclusive and encouraging all voices to be heard is fundamental to delivering sustainable, effective solutions and systemic change.
- We promote diversity in our teams and in our decision-making.

Valuing both collective and individual differences—and ensuring diversity in our workforce—helps foster a culture of inclusion and allows each person to thrive in a talent-diverse environment. Winrock strives to achieve an inclusive work environment where individual differences and perspectives are valued and respected.

Winrock's diversity and inclusion goals help inform our recruitment and hiring practices and apply to all levels of employment. A brand that is attractive to a broad diversity of talent is paramount to creating diverse teams around the globe.

Winrock believes that to engage, develop, progress, and retain diverse talent, the messages delivered to attract candidates and employees must be integrated with inclusive talent practices, processes, and systems.

EQUAL EMPLOYMENT OPPORTUNITY (EEO) AND AFFIRMATIVE ACTION

Winrock is committed to equal employment opportunities without regard to race, color, religion, sex, national origin, age, disability, marital status, veteran status, sexual orientation, gender identity, genetic information or any other protected characteristic under applicable law.

Equal employment opportunity applies to all phases of employment, including, but not limited to, recruiting, employment, placement, promotion, transfer, demotion, reduction of workforce and termination, rates of pay or other forms of compensation, employee benefits, selection for training, the use of facilities, and participation in Winrock-sponsored employee activities.

Provisions in applicable laws providing for bona fide occupational qualifications, organizational necessity, or age limitations will be adhered to by Winrock where appropriate.

Winrock pursues affirmative action as called for by applicable U.S. laws and Executive Orders to ensure that minority group individuals, females, disabled veterans, recently separated veterans, other protected veterans, Armed Forces service medal veterans, and qualified disabled persons are introduced into our U.S.-based workforce and considered for promotional opportunities.

The policies and principles of EEO also apply to the selection and treatment of independent contractors, personnel working on our premises who are employed by temporary agencies, and any other persons, firms, or organizations doing business for or with Winrock.

DISCRIMINATION-FREE WORKPLACE

Winrock is committed to a work environment in which all individuals are treated with respect and dignity. Everyone has the right to work in a professional atmosphere that prohibits

discriminatory practices. Winrock expects that all relationships among persons in the office will be professional and free of bias, prejudice and harassment.

Winrock will not condone or permit discrimination, including actions that create a hostile work environment, against any employee or applicant for employment based on race, color, religion, sex, national origin, age, disability, marital status, veteran status, sexual orientation, gender identity, gender expression, genetic information, or other protected characteristic under applicable law. It is Winrock's policy to encourage and support work environments that respect differences and provide all employees with dignity, fairness, and opportunities for professional development in all locations where Winrock works.

All complaints or information about sexual harassment, workplace harassment or discrimination will be investigated, led by the Chief Risk and Compliance Officer. Investigations will be conducted in a timely manner and will be confidential to the extent possible.

HARASSMENT-FREE WORKPLACE

(SEE ALSO WINROCK POLICY: COMBATTING SEXUAL HARASSMENT)

- Harassment is strictly prohibited. Harassment is verbal, written or physical conduct that denigrates or shows hostility or aversion toward an individual because of race, color, religion, sex, national origin, age, disability, marital status, veteran status, sexual orientation, gender identity, gender expression, genetic information or any other protected characteristic under applicable law, and that: Has the purpose or effect of creating an intimidating, hostile or offensive work environment
- Has the purpose or effect of unreasonably interfering with an individual's work performance, or
- Otherwise adversely affects an individual's employment opportunities

Harassing conduct includes epithets, slurs or negative stereotyping; threatening, intimidating or hostile acts; denigrating jokes; and written or graphic material that denigrates or shows hostility or aversion toward an individual or group that is placed on walls or elsewhere on the employer's premises or circulated in the workplace. Harassment can occur in the physical workplace, while employees are traveling for business or at employer-sponsored event or parties. Calls, texts, emails, and social media usage by employees can constitute harassment, even if they occur away from the workplace premises, on personal devices, or during non-work hours.

All complaints or information about sexual harassment, workplace harassment or discrimination will be investigated, led by the Chief Risk and Compliance Officer. Investigations will be conducted in a timely manner and will be confidential to the extent possible.

COMBATTING SEXUAL HARASSMENT

Winrock is committed to maintaining a workplace free from sexual harassment.

WHAT IS SEXUAL HARASSMENT?

Sexual harassment is harassment on the basis of sex, sexual orientation, self-identified or perceived sex, gender expression, gender identity and the status of being transgender. Sexual harassment includes unwelcome conduct which is either of a sexual nature, or which is directed at an individual because of that individual's sex, sexual orientation, self-identified or perceived sex, gender expression, gender identity and the status of being transgender, when:

- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment, even if the reporting individual is not the intended target of the sexual harassment;

- Such conduct is made either explicitly or implicitly a term or condition of employment; or
- Submission to or rejection of such conduct is used as the basis for employment decisions affecting an individual's employment.

A sexually harassing hostile work environment includes, but is not limited to, words, signs, jokes, pranks, intimidation or physical violence which are of a sexual nature, or which are directed at an individual because of that individual's sex.

Sexual harassment also consists of sexually explicit derogatory statements or sexually discriminatory remarks that are offensive or objectionable to the recipient, that cause the recipient discomfort or humiliation, or that interfere with the recipient's job performance. It includes any unwanted verbal or physical advances that are sexual in nature.

Sexual harassment also occurs when a person in authority tries to trade job or other benefits for sexual favors. This can include hiring, promotion, continued employment or any other terms, conditions or privileges of employment, and access to services. This is called "quid pro quo" harassment.

Anyone who feels harassed should report it so that any violation of this policy can be corrected promptly. Any harassing conduct, even a single incident, can be addressed under this policy.

EXAMPLES OF SEXUAL HARASSMENT

The following describes some of the types of acts that may be unlawful sexual harassment and are strictly prohibited:

- Sexually oriented gestures, noises, remarks or jokes, or comments about a person's sexuality or sexual experience, which create a hostile work environment.
- Sex stereotyping, such as when conduct or personality traits are considered inappropriate simply because they may

not conform to other people's ideas or perceptions about how individuals of a particular sex should act or look.

- Sexual or discriminatory displays or publications anywhere in the workplace, such as displaying pictures, posters, calendars, graffiti, objects, promotional material, reading materials or other materials that are sexually demeaning or pornographic. This includes such sexual displays on workplace computers or cell phones and sharing such displays while in the workplace.
- Unwanted sexual advances or propositions, such as:
 - Requests for sexual favors accompanied by implied or overt threats concerning the target's job performance evaluation, a promotion or other job benefits or detriments
 - Subtle or obvious pressure for unwelcome sexual activities
- Physical acts of a sexual nature, such as:
 - Touching, pinching, patting, kissing, hugging, grabbing, brushing against another employee's body or poking another employee's body
 - Rape, sexual battery, molestation or attempts to commit these assaults

WHO CAN BE A TARGET OF SEXUAL HARASSMENT?

Sexual harassment can occur between any individuals, regardless of their sex or gender.

Winrock protects our workforce and beneficiaries; those employed by our partners, grantees, contractors and vendors; and those employed by companies contracting to provide services in the workplace.

Harassers can be a superior, a subordinate, a coworker or anyone in the workplace including an independent contractor, contract worker, vendor, client, customer or visitor.

WHERE CAN SEXUAL HARASSMENT OCCUR?

Prohibited sexual harassment is not limited to the physical workplace itself. It can occur while employees are traveling for business or at employer-sponsored events or parties. Calls, texts, emails, and social media usage by employees can constitute harassment, even if they occur away from the workplace premises, on personal devices, or during non-work hours.

REPORTING SEXUAL HARASSMENT

Preventing sexual harassment is everyone's responsibility. Winrock cannot prevent or remedy sexual harassment unless it knows about it.

Any employee who has been subjected to behavior that may constitute sexual harassment is encouraged to report such behavior using any of the channels described in this Code: to a manager, Chief of Party, HR Lead or HR Manager, any member of the Executive Team, the Chief Risk and Compliance Officer, or via Winrock's Hotline, online or by telephone.

Anyone who witnesses or becomes aware of potential instances of sexual harassment should report such behavior to the same channels: a manager, Chief of Party, HR Lead or HR Manager, any member of the Executive Team, the Chief Risk and Compliance Officer, or via Winrock's Hotline, online or by telephone.

All managers who receive a complaint or information about suspected sexual harassment, observe what may be sexually harassing behavior, or for any reason suspect that sexual harassment is occurring **are required** to report such suspected sexual harassment to the Chief Risk and Compliance Officer.

All complaints or information about sexual harassment, workplace harassment or discrimination will be investigated, led by the Chief Risk and Compliance Officer. Investigations will be conducted in a timely manner and will be confidential to the extent possible.

ACCOMMODATION POLICY

The Americans with Disabilities Act (ADA) and the ADA Amendments Act (ADAAA) are U.S. federal laws that require employers to not discriminate against candidates and employees with disabilities and, when needed, to provide reasonable accommodations to candidates and employees who are qualified for a job, with or without reasonable accommodations, so that they may perform the essential job duties of the position. Winrock follows these laws globally, wherever we work.

Per the Equal Employment Opportunity Commission and Affirmative Action policy, Winrock complies with all U.S. federal and state laws concerning the employment of persons with disabilities and acts in accordance with regulations and guidance issued by the EEOC. Winrock will not discriminate against qualified individuals with disabilities in all phases of employment, including, but not limited to, recruiting, employment, placement, promotion, transfer, demotion, reduction of workforce and termination, rates of pay or other forms of Winrock-sponsored employee activities.

Winrock will reasonably accommodate qualified individuals with a disability so that they can perform the essential functions of a job unless doing so causes a direct threat to these individuals or others in the workplace and the threat cannot be eliminated by reasonable accommodation; or if the accommodation creates an undue hardship to Winrock.

When a job candidate with a disability requests an accommodation and can be reasonably accommodated without creating an undue hardship or causing a direct threat to workplace safety, the individual will be given the same consideration for employment as any other candidate.



Key Definitions

Disability: A physical or mental impairment that substantially limits one or more major life activities of the individual, a record of such an impairment, or being regarded as having such an impairment.

Major life activities: Term includes caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating and working.

Substantially limiting: In accordance with the ADAAA regulations, the determination of whether an impairment substantially limits a major life activity requires an individualized assessment, and an impairment that is episodic or in remission may also meet the definition of disability if it would substantially limit a major life activity when active.

Direct threat: A significant risk to the health, safety or well-being of individuals with disabilities or others when this risk cannot be eliminated by reasonable accommodation.

Qualified individual: An individual who, with or without reasonable accommodation, can perform the essential functions of the employment position that such individual holds or desires.

Essential functions of the job: Those job activities that are determined by the employer to be essential or core to performing the job; these functions cannot be modified.

Reasonable accommodation: Any changes to the work environment and may include: making existing facilities readily accessible to and usable by individuals with disabilities, job restructuring, part-time or modified work schedules, telecommuting, reassignment to a vacant position, acquisition or modification of equipment or devices, appropriate adjustment or modifications of examinations, training materials or policies, the provision of qualified readers or interpreters where budget allows, and other similar accommodations for individuals with disabilities.

Undue hardship: An action requiring significant difficulty or expense by the employer. In determining whether an accommodation would impose an undue hardship on a covered entity, factors to be considered include:

- The nature and cost of the accommodation.
- The overall financial resources of the facility or facilities involved in the provision of the reasonable accommodation, the number of persons employed at such facility, the effect on expenses and resources, or the impact of such accommodation on the operation of the facility.
- The overall financial resources of the employer; the size, number, type and location of facilities.
- The type of operations of the company, including the composition, structure and functions of the workforce; administrative or fiscal relationship of the facility involved in making the accommodation to the employer.

GENDER EQUITY AND SOCIAL INCLUSION (GESI) POLICY

For Winrock, realizing our mission to empower the disadvantaged, increase economic opportunity and sustain natural resources means we demonstrate meaningful commitment to supporting all people at risk of social and economic exclusion. Our mission is supported through our profound awareness of the consideration of a broad range of drivers and factors that can exacerbate exclusion, including gender and gender identity, race, ethnicity, age, sexual orientation, disability and religion; as well as intersectional dimensions within marginalized communities. We strive for a world where all people are safe from harm, where their voices are equally heard and valued, and where they have equitable access and time to devote to education, to their livelihoods, and to their communities.

Winrock commits to addressing gender equity, racial equity and social inclusion across our

programming to the greatest extent possible to deliver transformative practices, systemic change, and inclusive decision-making. Our goal is to create and foster equitable opportunities for all people to overcome barriers, contribute to their communities' development and realize their full rights and potential.

WINROCK'S GESI POLICY SERVES FOUR PRIMARY PURPOSES:

- **Increase integrity and credibility** amongst donors, partners and allies as a leader who tangibly delivers against commitments in gender equity, racial equity and social inclusion across Winrock programming;
- **Continue to strengthen efforts** to promote gender equity, racial equity and social inclusion in our organization through dialogue, awareness raising, capacity strengthening and targeted monitoring, evaluation and learning (MEL)
- **Hold ourselves accountable** through performance monitoring, learning exchanges and reporting to continuously work across programs and build on demonstrated strengths, experiences and lessons learned; and
- **Report against commitments** on Winrock's accomplishments integrating GESI into programming through internal and external communications with staff, donors and beneficiaries.

Through this policy, Winrock commits to implementing practices that create equal opportunities for people across all offices and provide staff with the awareness, knowledge and tools necessary to implement this policy. This policy reinforces our existing policies on child protection, anti-harassment and anti-discrimination.

As an organization, we recognize and respect individuals of all identities in our work and commit to understanding and responding to their unique needs to maximize equitable benefit. We will commit to ensuring that learning questions are embedded to assess progress towards gender equity and social inclusion

outcomes; and that teams document best practices and challenges, creating mechanisms for cross-learning within communities. We also commit to the notion that gender is not strictly binary, and that terms and definitions related to gender and sexuality are diverse and continue to evolve. At Winrock, we understand that rigid gender norms limit people of all genders and sexual orientations by creating and reinforcing assumptions and systems of privilege (sometimes codified in laws and policies) about their recognition in society and the range of roles and opportunities open to them.



Key Definitions

Gender: The socially constructed roles and responsibilities assigned to males, females, or others in a given culture or location. Ideas about gender are learned and can change over time, and often intersect with other factors such as race, class, age, and sexual orientation.

Sex: The biological differences between males, females, and others especially as differentiated based on reproductive functions. Sex is based on biology, not culture.

Female empowerment is achieved when women and girls acquire the power to act freely, exercise their rights, and fulfill their potential as full and equal members of society. While empowerment often comes from within, and individuals empower themselves, cultures, societies, and institutions create conditions that facilitate or undermine the possibilities for empowerment.

Gender equality: The state or condition that affords all genders equal enjoyment of human rights, socially valued goods, opportunities, and resources. Genuine equality means more than parity in numbers or laws on the books; it means expanded freedoms and improved overall quality of life for all people.

Gender integration: Systematically identifying, and then addressing, gender inequalities during strategy and project design, implementation, and monitoring and evaluation.

Gender justice: the protection and promotion of civil, political, economic and social rights on the basis of gender equality.

Gender sensitive: The ability to acknowledge and highlight gender differences, issues and inequalities to address them in strategies and actions.

LGBT: An acronym for lesbian, gay, bisexual, and transgender. There are many other variations on this acronym that are used in different contexts, including, for example, LGBTI, which adds a reference to intersex people; LGBTIQ, which adds a reference to queer and questioning; and LGBTIQA, which adds a reference to asexuals and allies.

DRUG-FREE WORKPLACE

In compliance with the U.S. Drug-Free Workplace Act of 1988, Winrock has a longstanding commitment to provide a safe, quality-oriented and productive work environment, wherever we work globally. Alcohol and drug abuse pose a threat to the health and safety of Winrock employees and to the security of Winrock's equipment and facilities. For these reasons, Winrock is committed to the elimination of drug and alcohol use and abuse in the workplace.

Employees should report to work fit for duty and free of any adverse effects of illegal drugs or alcohol. This policy does not prohibit employees from the lawful use and possession of prescribed medications. Employees must, however, consult with their doctors about the medications' effect on their fitness for duty and ability to work safely, and they must promptly disclose any work restrictions to their manager.



Key Work Rules:

1. Whenever an employee is present on Winrock premises or is conducting Winrock-related work offsite, they are prohibited from:
 - Using, possessing, buying, selling, manufacturing or dispensing an illegal drug (to include possession of drug paraphernalia)

- Being under the influence of alcohol or an illegal drug as defined in this policy
 - Consuming alcohol, unless as part of a Winrock-approved event; any alcohol consumed at such an event must be consumed responsibly
2. Whenever any employee is operating any Winrock and/or project vehicle, they are prohibited from:
 - Using, possessing, buying, selling, manufacturing or dispensing an illegal drug (to include possession of drug paraphernalia)
 - Being under the influence of alcohol or an illegal drug as defined in this policy
 - Consuming alcohol
 3. The presence of a detectable amount of any illegal drug or illegal controlled substance in an employee's body while performing Winrock business or while in a Winrock facility is prohibited.
 4. Winrock will not allow employees to perform their duties while taking prescribed drugs that are adversely affecting their ability to safely and effectively perform their job duties. Employees taking a prescribed medication must carry it in a container labeled by a licensed pharmacist or be prepared to produce the container if asked.
 5. Any illegal drugs or drug paraphernalia will be turned over to an appropriate law enforcement agency and may result in criminal prosecution.

EMPLOYEE ASSISTANCE

Winrock will assist and support employees who voluntarily seek help for drug or alcohol problems before becoming subject to discipline or termination under this or other Winrock policies. Such employees will be allowed to use accrued paid time off, placed on leaves of absence, referred to treatment providers and otherwise accommodated as required by law.

Employees may be required to document that they are successfully following prescribed treatment and to take and pass follow-up tests if they hold jobs that are safety-sensitive or require driving, or if they have violated this policy previously.

INSPECTIONS

Winrock reserves the right to inspect all portions of its premises for drugs, alcohol or other contraband. All employees may be asked to cooperate in inspections of their persons, work areas and property that might conceal a drug, alcohol or other contraband. Employees who possess such contraband or refuse to cooperate in such inspections are subject to appropriate discipline, up to and including discharge.

CRIMES INVOLVING DRUGS

Winrock prohibits all employees from manufacturing, distributing, dispensing, possessing or using an illegal drug in or on Winrock premises or while conducting Winrock business. Winrock employees are also prohibited from misusing legally prescribed or over-the-counter (OTC) drugs. Law enforcement personnel may be notified, as appropriate, when criminal activity is suspected.

Winrock does not intend to intrude into the private lives of its employees but recognizes that employees' off-the-job involvement with drugs and alcohol may have an impact on the workplace. Therefore, Winrock reserves the right to take appropriate disciplinary action for drug use, sale or distribution while off Winrock premises.

All employees who are convicted of, plead guilty to or are sentenced for a crime involving an illegal drug are required to report the conviction, plea or sentence to the HR Lead or HR Manager within five calendar days of the conviction/plea. Failure to report may result in automatic discharge.



Key Definitions

Winrock premises includes all buildings, offices, facilities, grounds, parking lots, lockers, places and vehicles owned, leased or managed by Winrock or any site on which the company is conducting business.

Illegal drug means a substance whose use or possession is controlled by U.S. federal or other law but that is not being used or possessed under the supervision of a licensed health care professional. (U.S. controlled substances are listed in Schedules I-V of 21 C.F.R. Part 1308.)

Under the influence of alcohol means actions, appearance, speech or bodily odors that reasonably cause a supervisor to conclude that an employee is impaired because of alcohol use.

Under the influence of drugs means a confirmed positive test result for illegal drug use per this policy. In addition, it means the misuse of legal drugs (prescription and possibly OTC) when there is not a valid prescription from a physician for the lawful use of a drug during medical treatment (containers must include the patient's name, the name of the substance, quantity/amount to be taken and the period of authorization).

WORKPLACE VIOLENCE PREVENTION POLICY

Winrock is committed to preventing workplace violence and to maintaining a safe work environment. Winrock has adopted the following policy to address intimidation, harassment or other threats of or actual violence that may occur onsite or offsite.

For the purpose of this policy, "workplace violence" is defined as including, but not limited to:

- Physical violence or acts of aggression toward or by another person
- Physical violence or acts of aggression toward Winrock property or personal property on Winrock premises

- Threats of violence or acts of aggression, whether direct, indirect (veiled) or conditional
- Behavior that acts to intimidate or to instill fear in others
- Menacing gestures
- Bringing, or threatening to bring, weapons to the workplace
- Stalking
- Hostile, aggressive, injurious and/or destructive actions undertaken for the purpose of domination or intimidation

PROHIBITED CONDUCT

- All employees, volunteers, beneficiaries, partners, vendors and donors should be treated with courtesy and respect at all times.
- Employees are expected to refrain from fighting, "horseplay" or other conduct that may be dangerous to others. Conduct that threatens, intimidates or coerces another employee, volunteer, beneficiary, partner, vendor, and/or donor will not be tolerated.
- Winrock employees may not carry or possess weapons or ammunition while on assignment.
- Winrock resources may not be used to threaten, stalk or harass anyone at or outside the workplace.



Take Action:

Indirect or direct threats of violence, incidents of actual violence, and suspicious individuals or activities should be reported as soon as possible to those channels identified in the Reporting Policy, and/or the Security Focal Point or Global Safety and Security. It is important that Winrock is made aware of any potential danger in the workplace as early as possible to ensure proper measures can be implemented to enhance employee safety and security.

When reporting a threat or incident of violence, employees should be as specific and detailed as possible. Employees should not

place themselves in peril, nor should they attempt to intercede during an incident.

Employees should promptly inform the HR Lead or HR Manager of any protective or restraining order that they have obtained that lists the workplace as a protected area.

Employees are encouraged to report safety concerns about intimate partner violence. Winrock will not retaliate against employees making good-faith reports. Winrock is committed to supporting victims of intimate partner violence by providing referrals to Winrock's employee assistance program and community resources and providing time off for reasons related to intimate partner violence.

GLOBAL SAFETY AND SECURITY

Prioritizing the safety and security of each employee and every volunteer, intern, and partner who work on behalf of Winrock is integral to our work culture and environment. Winrock is committed to minimizing safety and security risks and ensuring our workforce is provided the information, support and training to reduce risk exposure while maximizing the impact of our work.

Safety and security are responsibilities shared by both the Winrock workforce and the organization. Winrock operates in every country, especially higher-threat countries, under two guiding principles:

- Our commitment to keep our workforce safe and secure.
- Our commitment to execute projects effectively to contribute to meaningful development.

Winrock's Global Safety and Security (GSS) department proactively addresses the security needs of our workforce and projects by:

- Monitoring the global security and safety environment
- Providing advice and guidance to mitigate developing threats

- Responding to incidents
- Integrating security into the project life cycle, beginning with the design of each proposal

It is critical that each member of Winrock's workforce understand and manage the health, safety, and security risks when working in some of the least-developed countries, hostile and post-conflict situations, and most remote areas in the world.

- Every employee and member of Winrock's workforce has an obligation to learn and understand the context and security issues where they are located. Each must adhere to all pertinent policies and plans concerning safety and security and will be accountable for their actions.
- Each employee has the right to withdraw from or refuse to take a work assignment or travel in an area due to safety and security concerns.
- Winrock has the right to suspend activities or withdraw employees from situations that it considers to be too dangerous.
- An employee does not have a right to remain in a location if they have been instructed to withdraw from it by an authorized Winrock representative.

Effective safety and security management for Winrock is a leadership function. Managers at each tier of the organization are responsible and accountable for ensuring that safety and security policies, standards, plans and procedures are well-integrated into the Winrock project life cycle.

Winrock managers have an obligation to ensure that risks to employees are identified and managed, and that employees receive the support, resources, information and training they need to reduce any risk exposure. Learn more about our [Safety and Security Policy here](#).

COMMUNICATING ON BEHALF OF WINROCK

Winrock is committed to maintaining honest, professional, nonpartisan, and lawful internal and public communications. Winrock must project a consistent voice when providing information to the public and to our funders. It is important that only authorized persons speak on behalf of Winrock.

Communications with U.S.-based media outlets should be referred to and approved by the Senior Director of Communications, while in-country media contact should be done in coordination with the Project Communications Lead with the approval of the Chief of Party or designated representative.

Typical project content like success stories, quarterly and annual reports or press releases announcing standard project actions (launch events, calls for grant applications or similar) may not be published or shared externally without approval from the Project Communications Lead and Chief of Party or COP designated representative.

Press releases, op-eds or blogs detailing high-profile announcements should be cleared by the Senior Director of Communications or designated representative. If already in draft form, this content should be shared at least five business days before being forwarded to the project funder and, if funder approval is not required, at least seven business days prior to planned public release date. If no draft text exists and the Communications team is needed to draft the text, then 10 business days' notice is required. Examples of a high-profile announcement would include:

- High-profile partnership (Fortune 1000 company, notable NGO, national or international media outlet)
- Visit or appearance from a notable public figure (high-profile donor, celebrity or senior government official such as an ambassador, cabinet member or other senior government figure).
- Security or national-disaster-related response.

For project-specific content published on winrock.org, the Communications team will consult with the Chief of Party, assigned Program Officer, or Unit Director for review and approval.

To maintain a high level of visual quality and consistency across all Winrock work and enable any project to generate and retain content with the highest potential, the Senior Director of Communications or designated representative must be consulted before any media contractor or supplier is hired for work costing US\$5000 or more.

All photos used in reports and communications require the consent of the subjects. The photo release form can be found [here](#). For children involved in Winrock-led activities, a special form that provides permission, and includes a photo release choice, can be found [here](#).

In social media or any other communications on behalf of Winrock or as a Winrock employee (e.g., by using Winrock's e mail system) employees should not:

- Write articles for professional journals or other high profile public communications that relate to Winrock without Senior Director of Communications approval
- Use their title or affiliation outside of work without being clear that the use is for identification only
- Accept invitations to speak "off the record" to journalists who ask for information about Winrock, its funders or business partners

See also the [Political Activities and Participation in Candidate Elections](#) Policy for guidance regarding political statements.



Take Action:

If you receive a request for comment or for an interview, before accepting, notify the Senior Director of Communications, Project Communications Lead, or Chief of Party immediately. This includes requests from websites, blogs, podcasts and other forms of media, in addition to inquiries from traditional media such as TV, radio and newspapers.

If you see media coverage about your project, send it to commsteam@winrock.org and make your Project Communications Lead and Chief of Party aware. Additional media relations guidance is available in the [Storytelling Toolkit](#). For any questions about what constitutes proper design or branding, or for communications assistance, contact the Communications team at commsteam@winrock.org.

If you have a speaking role at a significant external event, ensure you have proper approval (e.g., from the COP/PO) and notify the Communications team by posting on the consolidated [Winrock Events Calendar](#).

USE OF THE WINROCK NAME AND LOGO

Winrock's identity is vital for name recognition, visual identification, and for projecting a unified and positive image. All uses of the name and logo must comply with the [Identity System Guidelines](#), which provide for the consistent and unified use of Winrock's name and logo, maintain the Winrock look, ensure correct use of the logo and logotype, and provide customized templates.

The Winrock logo cannot be used on personal social media profiles, blogs or other platforms intended for personal use. Outdated versions of the Winrock logo and/or logotype should be deleted from files and replaced in all materials (including office signs and vehicle labels) with the formats shown in the [Identity System Guidelines](#). Replace old Winrock logos wherever they appear on printed and electronic forms, standard documents and business cards.

For additional assistance, contact the Communications group, which can also provide guidance and support with technical information and associated files for printers and other outside vendors.

USE OF SOCIAL MEDIA

Social media postings about Winrock should be courteous and professional at all times, should not provide confidential or sensitive information, should not speak out in favor of or against anyone running for public office, and should use photos only with permission.

Any social media account, blog, or website created on behalf of Winrock or any Winrock project must secure prior assistance and approval from the Senior Director of Communications.



Take Action:

Most donors or funders prohibit Winrock projects from creating social media accounts. If your project is required to create a profile, contact Communications at commsteam@winrock.org or the Senior Director of Communications for immediate assistance.

If you manage an approved social media account on behalf of a project, additional guidance is available in the [Storytelling Toolkit](#).

EMPLOYEE POSTING ON SOCIAL MEDIA

All employees, volunteers and other Winrock workers are invited (but not required) to share their expertise and passion for their Winrock work on personal social media. If you choose to share highlights from your work on your personal social media, best practices are available in the [Storytelling Toolkit](#).

If you participate in internet discussion groups, chat rooms, bulletin boards, listservs, blogs, social media platforms or other electronic communications, even under an alias, do not give the impression that you are speaking on behalf of Winrock.

Be aware of any security or competitive risks associated with use of social media. If in doubt, do not share your location or any information that could be used to determine your location. If you are traveling for business development, avoid disclosing information that might alert competitors of new business efforts.

If you believe a false statement about Winrock has been posted, do not post or share non-public information, even if your intent is to “set the record straight.” Your posting might be misinterpreted, start false rumors, or be inaccurate or misleading. Contact the Senior Director of Communications, your Project Lead for Communications, Chief of Party, or commsteam@winrock.org.

RESPONSIBILITY

You are personally responsible for your social media activity conducted with a Winrock email address or on Winrock’s website or pages, and/or which can be traced back to Winrock’s domain, and/or which uses Winrock’s information systems, and/or which expressly or implicitly identifies you as an employee of Winrock.

KEEP IT CIVIL

You are prohibited from using social media to post or display comments about Winrock, its work and its workforce that are:

- Vulgar
- Obscene
- Threatening
- Intimidating
- A violation of Winrock’s workplace policies against discrimination, harassment, or hostility

This Code of Conduct, including the Anti-Harassment and Anti-Discrimination Policy, apply to employee behavior within social media and in public online spaces. Do not post any information or conduct any online activity that may violate applicable local, state or federal laws or regulations. Any conduct which under the law is impermissible if expressed in any other form or forum is impermissible if expressed through social media.

NO POLITICAL STATEMENTS AS WINROCK

If from your post in a blog or elsewhere in social media it is clear you are an employee of Winrock, or if you mention Winrock, or it is reasonably clear you are referring to Winrock or a position taken by Winrock, and you express a political opinion or an opinion regarding the organization’s positions or actions, the post must specifically note that the opinion expressed is your personal opinion and not Winrock’s position. This is necessary to preserve Winrock’s goodwill in the marketplace, as well as to preserve Winrock’s public charity status. Use a disclaimer such as “*Opinions are my own and not the views of my employer.*”

INTELLECTUAL PROPERTY – OWNERSHIP AND PROTECTION

Across our global portfolio, Winrock and its employees design solutions for sustainable impact.

Winrock has legal rights to work products and materials created by employees when acting within the scope of their employment. These may take the form of copyrights, trademarks, trade secrets, or patents.

In the absence of agreement to the contrary, materials developed or conceptualized, written, designed, drawn, painted, photographed, constructed, installed or otherwise produced by employees within the scope of their employment are the sole property of Winrock.

Since an employee’s work will generally be presumed to have been created within the scope of employment, employees and their managers are responsible for having a clear understanding regarding the ownership of work products created outside the normal scope of work. Any exception or questions regarding ownership of work products must be reviewed and/or approved by the Chief

Risk and Compliance Officer before beginning work on such materials.

To protect its interest in data products and software, Winrock may use appropriate patent or copyright registrations and notices, confidentiality agreements, and database security measures. Such notices will be incorporated as needed into software or data products. Employees transmitting them to grantees, contractors, or other outside parties are responsible for obtaining appropriate authorizations, including appropriate contractual protections, and clearly communicating any conditions or limitations on usage.

USE AND PROTECTION OF WINROCK PROPERTY AND SYSTEMS

In order to conduct business, Winrock provides its employees with a variety of Winrock-owned business property, including business equipment such as computers (desk tops and laptops), cell or smart phones, office telephones, fax machines, copiers, tools, vehicles, boats, and other types of property. Winrock also provides its employees with access to technology and information systems, such as email, internet, intranet, and telephone systems, which contain Winrock business information.

All Winrock-owned property and systems provided to employees is provided for business purposes and shall be used in a professional and business-like manner at all times. The following are prohibited uses of all types of Winrock-owned property and systems, including email and telephone systems:

- Any illegal use
- Use for personal gain or profit
- Endorsement of for-profit products or services
- Supporting or opposing a candidate for public office or a political party

- Visiting pornographic or obscene websites and/or retaining or transmitting pornographic or obscene material
- Installing unlicensed software on equipment or systems or violating the terms of a software license
- Deliberately or negligently disrupting the operation of any Winrock technology or information system
- Harassing, intimidating, or threatening co-workers or third parties

Personal use of Winrock-owned property and systems must be limited.

Winrock may access its computer and electronic communications systems and obtain communications and information within the systems, without notice to users of the system, in the ordinary course of business when Winrock deems it appropriate to do so. Winrock also may inspect or monitor without advance notice any devices employees use to access Winrock's computer and electronic communications systems, including but not limited to computers, laptops, notebooks, tablet computers or mobile devices. As a result, and as allowed by law, employees should not expect that use of Winrock's computer or electronic communications systems entitles them to any expectation of privacy in anything that they access, view, create, store, transmit or receive on or through Winrock's computer or electronic communications systems, including any personal messages.

Employees shall promptly return all Winrock-owned property at the time of separation from employment with Winrock or as otherwise requested by their supervisors. Technology equipment assets should be sent to IT for proper disposal/wiping. Employees accessing and/or storing Winrock information and using Winrock systems on personally owned devices shall return or delete all requested business-related content (including but not limited to email, software, data, and other proprietary information) upon request of their supervisor.

PRIVACY AND PERSONAL DATA PROTECTION

Winrock is dedicated to protecting the personal data of our donors, beneficiaries, employees, partners, vendors and service providers from unauthorized access, use, disclosure, modification or loss. Winrock has established the global Privacy and Personal Data Protection Principles ("**Principles**") to guide Winrock employees worldwide on the underlying core principles that apply to the collection, use, and disclosure of Personal Information in the course of Winrock's operations and in accordance with law and regulation in the jurisdictions where Winrock operates.

NOTICE

When appropriate and in accordance with applicable law, Winrock will strive to provide individuals with informed and meaningful notice of its privacy practices. Appropriate notices include those provided on Winrock's website at winrock.org and notices provided for staff. Notices should include the following:

- The types of Personal Information collected;
- The purposes for which Personal Information is collected;
- How Personal Information may be used;
- Whether Personal Information will be disclosed to third-parties;
- Any choices offered to individuals regarding the use of their Personal Information; and
- How to contact Winrock with privacy inquiries or complaints.

CHOICE

Where required by applicable law or otherwise deemed reasonable and appropriate, Winrock will strive to provide individuals with choices regarding its collection, use and disclosure of Personal Information about them and/or tracking technology that can be used to track them or their device. Choice will be

presented in a form that is appropriate based on the circumstances and applicable law. Special attention may need to be paid when Sensitive Personal Information is involved, as explicit consent may be required under some circumstances.

DATA INTEGRITY AND ACCESS / CORRECTION

Winrock asks that employees help it maintain accurate, complete and current Personal Information, and inform Winrock in case of changes to their Personal Information. Winrock also takes reasonable steps to maintain accurate, complete and current Personal Information, as required, to accomplish the purpose(s) for which it was collected and used. Winrock generally allows individuals to request reasonable access to their Personal Information to verify and correct it. In some instances, Winrock may deny such requests, consistent with applicable law.

COLLECTION AND USE

Employees must strive to collect and use Personal Information only through means that are lawful and fair and use Personal Information only for purposes that are stated in Winrock's privacy notices, applicable to them, or that can be reasonably understood by reasonable individuals from the context. Winrock requires consent of beneficiaries whose data we collect. Employees should thoughtfully consider information collection practices and limit collection to only that information that is relevant and reasonably necessary to accomplish the intended purposes.

DISCLOSURE

Winrock takes reasonable steps designed to ensure that Personal Information is only disclosed to third parties for legitimate business reasons.

When retaining a service provider that will receive Personal Information, employees (who are authorized to engage such service



providers) should take reasonable steps designed to ensure that those service providers use Personal Information only as instructed by Winrock and properly protect the Personal Information consistent with the sensitivity of the Personal Information.

Winrock also uses technical and organizational security measures designed to limit access to and processing of Personal Information to authorized Winrock personnel, partners and service providers who require access for the performance of their obligations to Winrock and in accordance with the purpose(s) for which it was collected.

TRANSFERS AND STORAGE

When sharing information cross border, Winrock will seek to make such transfer of Personal Information in accordance with local laws of: (i) the country from which the data is being transferred; and (ii) the country to which the data is being transferred.

Winrock's Data Classification Policy (in this Code) and Data Classification Standard Operating Procedure describe how Winrock is to store, transfer and destroy personal data.

RETENTION

Winrock has a Records Management Policy designed to retain Personal Information only as long as is necessary for the purpose(s) for which it was collected and used and securely dispose of it when it is no longer needed.

SECURITY

Winrock strives to protect Personal Information through appropriate administrative, technical, physical and contractual safeguards designed to prevent unauthorized access to, or use or disclosure of, Personal Information. Winrock requests that service providers who process Personal Information on its behalf agree to undertakings that require them to implement appropriate security measures to safeguard this Personal Information.

ICT and other appropriate Winrock staff will respond to reports of incidents in accordance with Winrock's incident response plan.

ENFORCEMENT AND COMPLIANCE

Winrock provides training on the proper processing and protection of Personal Information as part of the onboarding and compliance training provided to relevant Winrock personnel. In conjunction with the ICT Department, the Compliance Office is tasked with the monitoring of compliance with these Principles and updating these Principles, as needed.

The Winrock Service Desk, servicedesk@winrock.org, or the Chief Risk and Compliance Officer, respond to questions or complaints regarding Winrock's handling of Personal Information.

Key Definitions

The following definitions shall apply in these Principles:

Personal Information: any information that identifies an individual or can reasonably be used to identify an individual. Such information is likely classified as Internal or Confidential under the Data Classification Policy and should be managed per that Policy and related Procedure.

Sensitive Personal Information: Personal Information that requires an extra level of protection and a higher duty of care based on applicable law. Examples of Sensitive Personal Information include: credit card or bank account number, social security number, information on medical or health conditions, racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, sexual preferences, or information related to offenses or criminal convictions. Such information is likely classified as Confidential or Highly Confidential under the Data Classification Policy and should be managed per that Policy and related Procedure.

DATA CLASSIFICATION POLICY

Winrock's data, information, and knowledge, including its intellectual property, other confidential information and information that others provide us (Winrock Information), is an important asset. Our funders, donors, employees, consultants, beneficiaries and volunteers expect, and some laws require, that we protect certain types of confidential Winrock Information, including personal information.

This Data Classification Policy describes the several types or classifications of Winrock Information, and for each classification, the appropriate collection, storage, transfer, and destruction, including data handling and security protections, that must be used based on the sensitivity of the information.

Individual obligations. All of Winrock's workforce (each employee, Board member, volunteer, intern and fellow, partners, subcontractors, and consultant) is required to ensure that Winrock Information is appropriately handled and protected. Winrock's workforce must comply with this policy and manage the Information based on the applicable classification.

DATA CLASSIFICATIONS

Winrock classifies Information into four types:

- **Public:** Information that is or has been made freely available outside of Winrock or is intended for public use. Examples: Information on winrock.org; marketing; social media campaigns
- **Internal:** Data that is not classified as Confidential or Highly Confidential, but is valuable to the organization; unauthorized disclosure would cause minimal damage and would not result in material financial loss or serious damage to the reputation. Examples: Employee name and contact information, Winrock Policies and Manuals, training materials, Winrock-wide All Staff emails

- **Confidential:** Sensitive information for which unauthorized use or disclosure could result in serious damage including negative financial outcomes, loss of trust, damage to our reputation, regulatory penalties, civil complaints, or a strategic disadvantage for Winrock. Examples: Budgets, proposals, project data that is not shared publicly, contracts, audit reports
- **Highly Confidential:** Highly sensitive information that Winrock has a legal or regulatory obligation to protect from unauthorized use or disclosure, or for which unauthorized use or disclosure could result in severe or catastrophic damage including financial impacts, loss of trust, damage to the reputation, regulatory penalties, civil or criminal complaints, or a significant strategic disadvantage. Examples: Personal information such as name plus bank account or government identification number, employee medical or health information, beneficiary personal and confidential data, internal strategic analyses for new business, passwords

These classifications apply to data, information, knowledge, or records in any form (written, electronic, or verbal) that Winrock creates, receives, manages or collects.

INFORMATION HANDLING

The following table describes, at a high level, how information within the different classifications is handled to ensure the proper level of confidentiality and protection. Click [here](#) for the Data Classification Procedure with more detailed information regarding the categories, examples, transmission, storage, and other handling requirements. The Highly Confidential classification presents the most risk to Winrock and must be handled with utmost care.

| | Public | Internal | Confidential | Highly Confidential |
|--|--|---|---|---|
| Example of where Information might be located (not comprehensive) | <ul style="list-style-type: none"> External Website winrock.org Email, phone, text, social media | <ul style="list-style-type: none"> Intranet WinShare Email to WI staff only All access Teams sites | <ul style="list-style-type: none"> SharePoint Protected Col-lab or One-Drive Limited access Team sites | <ul style="list-style-type: none"> SharePoint Protected Collab or One-Drive Limited access Teams sites |
| Where to store digital copies | <ul style="list-style-type: none"> Any approved Winrock platform | <ul style="list-style-type: none"> Any approved Winrock platform | <ul style="list-style-type: none"> Any platform with limited and controlled access No removable media | <ul style="list-style-type: none"> Any platform with limited and controlled access No removable media |
| Whether to encrypt while transmitting | <ul style="list-style-type: none"> Not required | <ul style="list-style-type: none"> Not required | <ul style="list-style-type: none"> Not required but recommended | <ul style="list-style-type: none"> Required |
| How to store hard copies | <ul style="list-style-type: none"> Store anywhere | <ul style="list-style-type: none"> Store anywhere within the office (not in a public place) | <ul style="list-style-type: none"> Store with a level of security, such as in office cube/drawer | <ul style="list-style-type: none"> Store in locked files |
| How to destroy | <ul style="list-style-type: none"> Any way acceptable | <ul style="list-style-type: none"> Office trash/ professional recycle OK | <ul style="list-style-type: none"> Shred or burn physical copies; contact the Service Desk for purging of electronic files | <ul style="list-style-type: none"> Shred or burn physical copies; contact the Service Desk for purging of electronic files |



COMMITMENT TO BENEFICIARIES

Across our global portfolio, Winrock designs solutions for sustainable impact by being:

- **Results-Focused:** We measure our success in terms of impact by delivering direct, demonstrable results.
- **Human-Centered:** Our solutions are developed and sustained by the people they are designed to serve.
- **Science-Based:** We apply the best available science to solve development problems. When key evidence is missing, we conduct our own research to find it.
- **Market-Driven:** Our solutions are rooted in long-term economic viability. We provide business training as well as access to markets and finance in the communities we serve.

Our solutions require us to act with integrity and respect to achieve sustainable impact.

COMBATING TRAFFICKING IN PERSONS AND PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE (PSEA)

Trafficking in persons is a global problem and millions of adults and children around the world are trafficked due to the rising demand for cheap labor and prostitution. Winrock acknowledges that it works in environments that are at a high risk for trafficking in persons and is taking steps to prevent it from occurring in our own work and in any of our work with local partners.

Winrock aims to avoid, prevent and detect any trafficking in persons associated with the provision or procurement of supplies or services under any U.S. government contract, grant or cooperative agreement, as well as to promptly address any allegations received. Click [here](#) for Winrock's guidance for complying with USAID anti-trafficking provisions.

All Winrock representatives, including international and domestic, regular full-time and part-time staff, interns, contractors, and volunteers, are responsible for promoting respect for fundamental human rights, social justice, human dignity, and the rights of all people to exist free from fear and stigma. In connection with these principles, Winrock maintains a zero-tolerance policy for sexual exploitation and abuse of the populations it serves by any Winrock representative. Reports of trafficking may be made under the Winrock Reporting policy (above) or to Global Human Trafficking Hotline at 1-844-888-FREE and its e-mail address at help@befree.org.

PROHIBITED CONDUCT:

Employees shall not engage in any acts that directly support or advance trafficking in persons, in the performance of any contract, grant or cooperative agreement anywhere in the world, whether as a prime contractor, prime recipient or subcontractor, or sub-recipient, including:

- Any form or manner of coercion, debt bondage, forced labor or involuntary servitude regarding any attempted or actual trafficking in persons
- Engaging in sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform is less than 18 years of age
- Recruiting, harboring, transporting, transferring, providing, or obtaining a person for involuntary or forced labor or services through the use of fraud, coercion or actual or threatened force
- Any commercial sex acts in connection with their work
- Sexual exploitation and abuse in all forms
- Procuring commercial sex acts
- Destruction, concealment, confiscation, or otherwise denial of employee's access by an employee to the employee's identity or immigration documents, such as passports or drivers' licenses
- Destroying, concealing, confiscating or otherwise denying employees access to their identity or immigration documents
- Deliberate use of any misleading or fraudulent practices during the recruitment of employees or offer of employment, such as misleading information about recruitment costs or about the hazardous nature of the work to be performed in another country
- Deliberate use of recruiters that does not comply with local labor laws of the country in which the recruiting takes place
- On its own or through recruiters, using misleading statements or fraudulent practices to recruit prospective employees,

including materially misrepresenting terms and conditions of employment such as wages and fringe benefits, work location, living conditions, housing costs provided or arranged by any significant costs to be incurred by the employee, or failing to disclose hazardous conditions of the work to be performed

- Failing to provide legally or contractually required return transportation, or payment for the cost of such return transportation upon the end of employment for an employee who was brought by or on behalf of Winrock into another country for the purpose of work
- Failing to provide or pay for the cost of return transportation after the end of an assignment when legally required
- Providing or arranging housing that fails to meet the host country housing and safety standards
- Failing to provide a legally and contractually compliant employment contract, recruitment agreement, or other work document in writing, if required by law of the country or contract
- Charging employees recruitment fees

Key Definitions:

Prostitution means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.

Sex trafficking means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act.

Sexual exploitation is defined as any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including but not limited to profiting monetarily, socially or politically from the sexual exploitation of another.

Sexual abuse is defined as the actual or threatened physical intrusion of a sexual nature, including inappropriate touching, by force or under unequal or coercive conditions.



Trafficking in persons means the recruitment, transportation, transfer, harboring or receipt of persons by means of threat or use of force or other forms of coercion; of abduction, fraud or deception; of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labor or services, slavery or practices similar to slavery, servitude or the removal of organs. The recruitment, transportation, transfer, harboring, or receipt of an individual under the age of 18 for the purpose of exploitation is considered trafficking in persons, even if none of the means listed above (force, coercion, abduction, etc.) are involved. Therefore, minors in prostitution are considered trafficking victims; by definition they cannot have consented to be prostitutes.

Coercion means threats of serious harm to or physical restraint against any person; any scheme, plan, or pattern intended to cause a person to believe that failure to perform an act would result in serious harm to or physical restraint against that person; or the abuse or threatened abuse of the legal process.

Debt bondage means the status or condition of a debtor arising from a pledge by the debtor of his or her personal services or of those of a person under his or her control as a security for debt, if the value of those services as reasonably assessed is not applied toward the liquidation of the debt or the length and nature of those services are not respectively limited and defined.

Forced labor means knowingly providing or obtaining the labor or services of a person by threats of serious harm to, or physical restraint against, that person or another person; by means of any scheme, plan or pattern intended to cause the person to believe that if he or she did not perform such labor or services that person or another person would suffer serious

harm or physical restraint; or by means of the abuse or threatened abuse of law or the legal process.

Involuntary servitude includes a condition of servitude induced by means of any scheme, plan, or pattern intended to cause a person to believe that, if the person did not enter into or continue in such conditions, that person or another person would suffer serious harm or physical restraint; or the abuse or threatened abuse of the legal process.

Commercial sex act means any sex act on account of which anything of value is given to or received by any person.

CHILD SAFEGUARDING POLICY

Winrock is a global leader in addressing child labor prevention with an emphasis on social protection within our focus sectors of agriculture, economic development, and the environment. Our platform is development and rights-based, and applies child labor levels as an indicator of economic and social development. Our approach actively engages governments and communities to work toward integrated, sustainable solutions. Acceptable work for young people is defined and child labor addressed through policies, research, education alternatives, livelihoods, awareness, and monitoring.

Winrock is proud of its child-centered and rights-based approach in supporting children worldwide.

- Winrock will take all necessary steps to ensure that all staff, consultants, volunteers and staff of project partners understand that the welfare and overall development of all children is to be respected.
- Winrock recognizes that all children, whatever their age, culture, disability, gender identity, gender expression, language, racial origin, religious beliefs and/or sexual identity, have the right to protection from abuse as well as other

protections and rights afforded children under the U.N. and ILO conventions on the rights of the child.

- All suspicions and allegations of abuse against children and young persons will be taken seriously and responded to swiftly and appropriately.

A child is defined as a person under the age of 18 (U.N. Convention on the Rights of the Child, 1989). Every Winrock employee has a duty to safeguard all children from harm whether they are project beneficiaries or not.

Any suspicion that a child has been abused should be reported to the Chief of Party or Program Manager, or Chief Risk and Compliance Officer, who will take actions as considered necessary to ensure the safety of the child in question and any other child at risk.

PROMOTE GOOD PRACTICES

All members of the Winrock workforce are expected to demonstrate exemplary behavior when working with children to safeguard the child, themselves, and Winrock.

- Always work in an open environment and avoid private or unobserved situations with children and young people.
- Treat all children and young people with respect and dignity.
- Always put the welfare of each child and young person first.
- Ensure that any activities in which children are engaged do not keep them out of school and in hazardous circumstances.
- Maintain a safe and appropriate distance with children and young people (e.g., it is not appropriate for staff, consultants or volunteers to have an intimate relationship with a child or to share a room with them).
- Ensure that if any form of manual or physical support is required, it should be provided openly and according to the local custom and culture as well as to international conventions. Some parents and children

are becoming increasingly sensitive about manual or physical support and their views should always be carefully considered.

- Ensure that if children and young persons are taken away for the day or night, they always are accompanied by a male and female member of staff.
- Be an excellent role model; this includes not smoking or drinking alcohol in the company of young people.
- Requesting written parental or official consent if staff, consultant, volunteers and staff of project partners are required to transport children and young people.
- Ensure appropriate company with a child or young person while in a car or other vehicle.
- Follow proper international protocols when taking pictures of children.

PROHIBITED PRACTICES

The following practices are prohibited:

- Spending time alone with a child (one on one) or with children away from others
- Employing children as domestic servants or for any other work
- Taking or dropping off a child to an event
- Engaging in rough physical or sexually provocative games with children, including horseplay
- Sharing a room with a child
- Allowing or engaging in any form of inappropriate touching of children
- Making sexually suggestive comments to a child, even in fun
- Reducing a child to tears as a form of control
- Allowing allegations made by a child to go unchallenged, unrecorded or not acted upon
- Using sporting or extracurricular events as an opportunity to take inappropriate photographs or film footage of children in vulnerable positions

If a situation arises where a one-on-one is unavoidable (e.g., the child sustains an injury and needs to go to the hospital, or a parent fails to arrive to pick a child up at the end of a class or session), it should be with the full knowledge/consent of someone in charge of the office or the child's parents, as soon as possible given the emergency situation.

IMAGES OF CHILDREN

Winrock's reporting and external communication activities often include photographs of children. Such photographs are often included in widely circulated reports, web-based stories and other documents.

The following guidelines are intended for Winrock staff, partners, and vendors hired to take photographs/video for program activities. Consult with the designated Communications focal person for your office or project, or contact communications@winrock.org with any questions or support needed when planning field visits when persons under 18 will be interviewed or participate in official activities.

- Comply with local traditions and any legal restrictions for reproducing personal images or images of children.
- Obtain informed consent from the child's parent or legal guardian before photographing or filming a child. Winrock staff or the photographer/videographer must explain how the photograph or film will be used.
- Ensure children photographed or filmed are adequately clothed and in poses that will not be viewed as sexually suggestive.
- Ensure images are an honest representation of the context and facts.
- Take steps to remove anything that could reveal identifying information about a child, including physical and digital labels on photographs, films and files.
- Present children in a dignified manner and not as being vulnerable and submissive.

- Review all photographs and footage prior to disseminating images to ensure that guidelines have been followed.

PROGRAM VISITS AND CONTACT WITH CHILDREN

If a child is to participate in a Winrock-led activity, site staff must obtain [a release form](#) from the parent/caregiver and explain to participants the risks of the participation, including all caretakers, guardians, and parents of children at the site. If an adult or guardian/caretaker of a child has not signed the form prior to the visit, the child cannot be included in photographs, video, quotes or other materials intended for publication, marketing or other use that are gathered during the visit. Copies of the release forms should be filed in the project office.

Children must never be left alone with visitor(s). Winrock employees must adhere to the two-adult rule: Two or more adults are required to supervise all activities where children are involved and present.

If visitors join Winrock employees on a site visit or participate in activities with children under 18, they should also sign a [child protection acknowledgement form](#).

If Winrock plans to collect data on children, guardians must provide informed consent around data collection. Informed consent form is found [here](#).



COMMITMENT TO DONORS AND PARTNERS

Our donors and funders provide the resources that make Winrock's work possible, and each of us must be responsible stewards of those resources. We are committed to following the regulations and terms established by our institutional donors, as well as the expectations of all donors that the funding they provide serves all efficiently and effectively.

Working in partnership with local, national and international civil society organizations, as well as state and private-sector entities, is fundamental to Winrock's mission. We are committed to promoting effective partnerships that enable Winrock to pursue its strategic goals, resulting in more effective, responsive solutions for sustainable impact that reach more people.

We are committed to free and fair competition, to the support of those who share our adherence to ethical and responsible practices, and to the eradication of fraudulent or corrupt practices by those seeking improper gain from funding intended for our beneficiaries.

FINANCIAL INTEGRITY

Our books and records must accurately and fairly reflect our transactions in sufficient detail and in accordance with our accounting practices and policies. Some employees have special responsibilities in this area, but all of us contribute to the process of recording operational results or maintaining records.

Our Core Value of Accountability reflects our commitment to ensure that we are financially responsible:

- We are fiscally responsible.
- We hold ourselves and our colleagues responsible for the outcomes of our choices, behaviors and actions.
- We take responsibility for all outcomes, positive and negative.

Our Core Value of Integrity reflects our commitment to ensure that we are financially responsible:

- We are honest, fair, and transparent with our Winrock colleagues, our partners and funders, and all who benefit from our work.

BUSINESS RECORDS

The accuracy and completeness of our disclosures and business records is essential to making informed decisions and to ensure accountability to our funders, regulators and others. Ensure that the information you record is accurate, timely and complete, and maintained in a manner that is consistent with our internal controls, disclosure controls and our legal obligations.



Take Action:

- Create records that accurately reflect the truth of the underlying event or transaction. Be guided by the principles of transparency and truthfulness.
- Write carefully in all of your business communications. Write as though someday the records you create may become public documents.
- Watch out for records that are not clear and complete, or that obscure the true nature of any action.
- Watch out for undisclosed or unrecorded funds, assets or liabilities.
- Watch out for improper destruction of documents. Follow the Record Management policy in this Code.

ACCOUNTING PRACTICES

All payments and transactions must be properly authorized in accordance with Winrock operating procedures and Delegations of Authority, and fully and accurately recorded in Winrock's books and records.

All payments and transactions must follow all applicable laws, requirements of Winrock donors and funders and established accounting policies.

Winrock will not tolerate dishonesty, including false recordkeeping.



Take Action:

- Never issue incorrect, incomplete or incorrect information, or information which could confuse the person who receives it.
- Never rationalize or even consider making false representations or falsifying records.
- If you are aware of or suspect false record-keeping or representations by others, you must report such activities immediately using the channels described in the beginning of this Code.

PROHIBITED CONDUCT EXAMPLES:

- Making payments for Winrock without supporting documentation or for a purpose contrary to that described in supporting documentation
- Establishing undisclosed or unrecorded Winrock funds or assets
- Making false or misleading entries in, or omitting important information from, Winrock records
- Manipulating bookings for the purpose of affecting a specific financial reporting period
- Documents should only be disposed of in compliance with Winrock's Record Management Policy, and should never be destroyed or hidden.
- Never destroy documents in response to or in anticipation of an investigation or audit.

More information on Winrock's accounting policy can be found [here](#), and the Project Finance Manual can be found [here](#).

ANTI-CORRUPTION POLICY

Winrock has a zero-tolerance policy toward bribery and corruption in any form. Winrock is committed to observing the highest standards of ethical conduct in its operations throughout the world. Winrock's anti-corruption policy is found [here](#).

THIRD PARTIES ACTING ON BEHALF OF WINROCK

It is especially important that we exercise due diligence and carefully monitor third parties acting on our behalf.

We carefully screen all third parties, including suppliers, consultants, and vendors who work on Winrock's behalf, particularly when dealing in countries with high corruption rates and in any situations where "red flags" indicate further screening is needed before retaining the third party.

Third parties must understand that they are required to operate in strict compliance with our standards and to maintain accurate records of all transactions.

ANTI-MONEY LAUNDERING/ANTI-TERRORIST FINANCING

Money laundering is a global problem with far-reaching and profound consequences. It is defined as the process of converting illegal proceeds so that funds are made to appear legitimate, and it is not limited to cash transactions.

Involvement in such activities undermines Winrock's integrity, damages our reputation and can expose our organization and the individuals involved to severe sanctions. Winrock must screen employees and its vendors and partners to ensure that individuals and companies are not sanctioned. Immediately report any suspicious financial transactions and activities to the Chief Risk and Compliance Officer and, as required, to appropriate government agencies.

ANTITRUST AND FAIR COMPETITION

Winrock believes in free and open competition and will not engage in improper practices that may limit competition. We never look to gain competitive advantages through unethical or illegal business practices.

Antitrust laws are complex, and compliance requirements can vary depending on the circumstances, but in general, the following activities must be avoided and, if detected,

reported to the Chief Risk and Compliance Officer:

- Sharing Winrock's competitively sensitive information or that of our funders with a competitor
- Sharing competitively sensitive information of business partners or other third parties with their competitors
- Attempting to obtain non-public information about competitors from new hires or candidates for employment
- Engaging in conversations about competitively sensitive information with colleagues or competing organizations
- Collusion—when organizations secretly communicate or agree on how they will compete. This could include agreements or exchanges of information on supplier pricing, terms or wages.
- Bid-rigging—when competitors or service providers manipulate bidding so that fair competition is limited. This may include comparing bids, agreeing to refrain from bidding or knowingly submitting noncompetitive bids.

See [Winrock's Procurement Policy](#) for more information.

GLOBAL TRADE

All employees, officers and directors must strictly comply with laws that govern our operations including the import, export and re-export of technology. Any violation of these laws, even without knowledge, could have damaging and long-lasting effects on our business.

Watch Out:

- Be cautious when transferring technical data and technology to someone in another country, such as through email, conversations, meetings or database access. This restriction applies to sharing information with some coworkers, as well as non-employees.

SUPPLIER, VENDOR, OR CONSULTANT RELATIONS AND PURCHASING

Winrock evaluates and engages with qualified suppliers, vendors, and consultants or contractors on an objective basis, grounded in fairness. When selecting suppliers, we assess each supplier's ability to satisfy our organizational and technical needs and requirements.

We make procurement and purchasing decisions based on the long-term cost and benefit to Winrock. All agreements are negotiated in good faith and must be fair and reasonable for both parties.

RECORDS MANAGEMENT POLICY

Winrock's business "Records" are assets of Winrock and must be managed properly to preserve their value and to protect Winrock from risks associated with improper records management. Examples of business Records can be found in the Retention Schedule table shown below. This policy addresses the management, storage, retention, and destruction of Winrock Records. It applies to all employees and all Records, no matter where the Records are located (including, without limitation, on devices owned by Winrock employees) or how they are stored (e.g., paper vs. electronic form). Unless expressly stated otherwise in this Policy, Records shall be managed according to their content, not the form in which they were created or stored.

Winrock is committed to effective records retention to preserve its history, ensure that critical records are available to meet organization needs, comply with legal requirements, optimize the use of space, minimize the cost of record retention, and ensure that outdated and useless records are destroyed.

This Policy also states Winrock employee's obligations in retaining records, including but not limited to: paper records, photographs, sound or video recordings, emails, word processor documents, spreadsheets, databases, HTML documents, scanned or imaged documents,

and any other type of file warehoused online or on the cloud, on a mainframe, server, computer hard drive or any external storage medium.

IMPLEMENTATION

Each department and project will review this policy periodically to determine any special circumstances that necessitate changes in the retention periods. Request for changes in retention periods or deviations from specified retention duration should be made to the Chief Risk and Compliance Officer.

In addition, each department and project will ensure its staff are fully informed of this policy and confirm that they agree to comply with it. Employees will conduct periodic reviews of all Records, including text/formatted files (e.g., Microsoft Word documents) and will purge all those they consider unnecessary or outdated. Each department and project will use an indexing system to ensure timely and convenient access to Records.

In accordance with the Retention Schedule, after three years, all text files not marked for retention (such as "Permanent") will be purged from the network and repositories/collaboration sites by the IT Department. Text/formatted files the staff deems vital to the performance of their job should be stored in a folder marked "Permanent" to avoid routine destruction.

APPLICABILITY

This policy applies to all Winrock business records, including but not limited to: paper records, photographs, sound or video recordings, emails, word processor documents, spreadsheets, databases, HTML documents, scanned or imaged documents, and any other type of file warehoused online or on the cloud, on a mainframe, server, computer hard drive, or any external storage medium.

To the extent that there are multiple copies of records in electronic form, only one copy of each record needs to be retained. Likewise, if there are multiple drafts of a particular record, only the final record needs to be retained.

Original paper Records may be imaged so long as the image is accurate, remains readable, preserves the integrity of the Records, including but limited to signatures, writing, and or graphic images, and is reliable and secure against alteration. Original paper Records that are imaged must be retained for one year to permit periodic validation and quality control reviews.

GENERAL RULE

Generally, Records should be destroyed as soon as possible after they no longer serve a business purpose, unless (1) the Record is specified on the Retention Period Schedule, below, in which case the Record should be maintained per that retention period; or (2) the Record falls into one of the three exceptions. To serve a business purpose, a Record must be actively used, and for a specific purpose; keeping Records merely because the Records may come in handy, when there is no clear reason for retaining them, is not appropriate. Drafts (non-final versions of Records) should be destroyed as soon as reasonably possible once the Record is finalized and the drafts no longer serve a business purpose.

Exceptions to the business need rule are if the Record:

- Is subject to a Legal Hold
- Must be retained to satisfy a contractual obligation or other notice by an awarding agency
- Must be retained to comply with applicable law

DESTRUCTION

Subject to the exceptions, retained Records shall be destroyed after expiration of the business need, or applicable retention period set forth below. IT will purge Records from the network as noted, above, in accordance with the Schedule, with approval from the CFO for financial Records. Records containing sensitive information should be disposed of in a manner that makes them unreadable (e.g.,

shredding paper records or disposing of them in approved containers, using secure deletion software for electronic records stored on magnetic media).

For retention periods, refer to the [Retention Schedule](#) posted on Winshare.

CONFLICT OF INTEREST POLICY

It is the policy of Winrock that before engaging in an activity, an employee shall identify conflicts of interest and situations that may give rise to an appearance of a conflict of interest, and also obtain approval to proceed, so that proceeding mitigates damage to our integrity and reputation. Certain high-level conflicts are required to be reported to the U.S. Internal Revenue Service and other regulators. For USAID funded work, all conflicts are required to be disclosed to USAID immediately.

WHAT IS A CONFLICT?

A conflict of interest exists when an individual who is responsible for acting in the best interests of Winrock has another interest or loyalty that could influence or impair, or may appear to influence or impair, the individual's ability to act in Winrock's best interests. Conflicts exist, for example, when a Winrock employee can either influence or make a decision on contractual, procurement, recruitment and employment, or other business transactions, and that employee has a relationship with the business or persons being hired.

Conflicts of interest may be actual, potential or even just a matter of perception. **Conflicts must be approved per this policy before proceeding.**

WHO IS COVERED?

Conflicts can be caused by relationships with or among these covered persons:

- Employees
- Families of employees

- Close personal friends
- Board members
- Families of board members
- Entities owned or controlled by employees, board members, or their families

Families means (as defined by the U.S. Internal Revenue Service) spouse, ancestors, brothers and sisters (whether whole or half-blood), children (whether natural or adopted), grandchildren, great-grandchildren, and spouses of brothers, sisters, children, grandchildren, and great-grandchildren, and any person with whom the covered person shares living quarters under circumstances that closely resemble a marital relationship or who is financially dependent upon the covered person. Families may also extend to members of the same clan, tribe, or communities and vary depending on the location and culture.

CONFLICT REVIEW, MITIGATION, AND APPROVAL

If an actual, perceived, or potential conflict is present, an employee must first try to avoid the activity—not do it. If avoidance is not in the best interest of Winrock, approval must be obtained before proceeding. Employees must disclose the conflict to the Chief Risk and Compliance Officer, with a proposed means to mitigate—or minimize—the conflict. The Chief Risk and Compliance Officer will decide whether the mitigation acceptably minimizes risk to Winrock.

Approval is required under this policy prior to proceeding with the action. Submit conflict approval requests [here](#).

The Chief Risk and Compliance Officer will make the necessary disclosures to funders (e.g., USAID) and regulators. Specific examples of conflicts and the approval requirements are set forth below. Approval requirements vary depending on the level of risk incurred.

EXAMPLES OF CONFLICTS OF INTEREST

Conflicts of interest are not always clear-cut

and easy to define and require case-by-case analysis; not all types are listed here. Early consultation with your supervisor or the Chief Risk and Compliance Officer can assist in determining if a conflict exists, by analyzing the facts and determining strategies for avoidance or mitigation.

1. Transactions with Persons or Entities Covered by this Policy

Transacting business can create conflicts. Examples include hiring a company that is owned by a relative; entering into a partnership with a company that you own or control or your relatives own or control; or giving business to a close personal friend. If money flows between Winrock and the conflicted entity or person, that creates the conflict.

a. Procurement Decisions

A common transactional conflict arises during a procurement, for example, when a Winrock employee's procurement decisions are influenced by personal interests. This may include:

- Familial or close personal relationships between procurement staff and subcontractors
- Procurement staff having a direct financial interest in a bidder or subcontractor
- Procurements made where staff have an employment link to the subcontractor

b. Subaward Decisions

A common transactional conflict arises during a subaward, for example, when a Winrock employee's subaward decisions are influenced by personal interests. This may include:

- Familial or close personal relationships between procurement staff and subcontractors
- Procurement staff having a direct financial interest in a bidder or subcontractor
- Procurements made where staff have an employment link to the subcontractor

2. Hiring Members of the Same Family or Persons Known to You

Such hiring may be a conflict and is addressed separately in the policy by this name in the Code.

3. Second Jobs

- To ensure that there are no conflicts you must disclose and discuss outside employment with your manager.
- Managers must consult with the Chief Risk and Compliance Officer to determine if the conflict cannot be mitigated or if the proposed mitigation does not adequately address the issue.
- If approved, an employee must ensure that the outside activity does not interfere with work at Winrock.
- Working for a funder, supplier, or subawardee raises conflicts that are not allowed.
- Any approved side or personal business should not compete with Winrock.

4. Board Service or Other Civic Activities

Employees serving on boards or other governing bodies of for-profit or nonprofit organizations may, in some cases, create a conflict.

- First, any board service that could take away time from your job at Winrock must be approved by your manager.
- Second, the following activities must be approved by the Chief Risk and Compliance Officer:
 - Service on boards of any entity with which Winrock conducts business, including as a recipient or provider of funds;
 - Service on a governmental regulatory board or quasi-judicial or quasi-legislative commission that may take actions that could affect Winrock; and
 - Employees running for or holding public office shall report the activity to the Compliance Officer prior to proceeding.

5. Acceptance of Gifts, Gratuities, or Business Courtesies

These actions may create a conflict and are addressed separately by the policy by this name in the Code.

DISCLOSURE AND MANAGEMENT OF A CONFLICT OF INTEREST

Employees (report and obtain approval for conflicts): All employees shall identify conflicts of interest before taking any conflicted action and address the conflict as noted above (obtain approval from the Chief Risk and Compliance Officer before proceeding).

Senior Directors, Directors, and Chiefs of Party or Project Directors (report and obtain approval for conflicts and annually acknowledge the Policy): In addition to the above, Senior Directors, Directors, and Chiefs of Party or Project Directors have an enhanced obligation to report and address conflicts because of their position within Winrock. The Chief Risk and Compliance Officer shall circulate annually a Conflicts Acknowledgment Form that requires acknowledgment that each understand and adhere to Winrock's Conflict of Interest Policy. The form must be acknowledged immediately upon receipt.

Executive Team and Board of Directors (report and obtain approval for conflicts, annually acknowledge the policy and annually disclose all affiliations): Winrock's Executive Team and members of the Winrock Board of Directors also have enhanced obligations to report conflicts, as conflicts relating to this group may require reporting of conflicts to regulators. In addition to addressing conflicts as they arise per this policy, both acknowledgment and affiliation disclosure is required. The Chief Risk and Compliance Officer shall circulate annually an Acknowledgment and Affiliation Disclosure Form for the ET and Board to:

- Acknowledge understanding of and adherence to Winrock's Conflict of Interest Policy, and

- List entities in which they, or a member of their families, have a material interest or occupy a position that might create a conflict of interest under this policy.

PRINCIPLES FOR EVALUATING CONFLICTS

In evaluating conflicted situations to determine an appropriate course of action, the Chief Risk and Compliance Officer shall be guided by the following:

- Are there alternative approaches that would avoid the conflict?
- Is there an actual or perceived private benefit or private inurement that must be avoided?
- Is the transaction being conducted transparently, with full disclosure of the conflict?
- Does the transaction support Winrock's mission?
- Is there a consequence to Winrock for not proceeding that might outweigh the reputational or other impact of the conflict?
- What is the nature and the risk to Winrock's reputation if the action proceeds?
- What is the mitigation proposed and does it minimize risk to Winrock?

RESTRICTIONS AND CONFLICTS OF INTEREST IN CONNECTION WITH GOVERNMENT EMPLOYMENT

Winrock employees who are or have been employed by any government, including federal, state, and non-U.S. governments including universities, may face restrictions on the activities to which they may devote their time and attention in service to Winrock. The obligations of these individuals to their government employers may impair their ability to serve Winrock and should be considered by management. Similarly, employees of Winrock who have left previous government employment may be barred by government ethics regulations from working on certain Winrock matters which were within the purview

of their official duties during their government employment, or in some cases, from accepting employment with Winrock.

Winrock employees must disclose to their manager any such current or previous government employment to avoid conflicts of interest in connection with their government service.

HIRING MEMBERS OF THE SAME FAMILY OR PERSONS KNOWN TO YOU

Winrock may employ a member of an employee's family, household, clan, tribe or community (for this policy, "family") provided the individual meets the necessary qualifications for employment.

Employees are required to disclose their family relationship to the Hiring Manager, Recruiter, and Chief of Party or designated representative as soon as the candidate is identified and before any hiring decision is made. In consultation with the Chief Risk and Compliance Officer, a determination will be made as to whether a conflict of interest exists and if possible, requires mitigation actions.

The failure to disclose the relationship may result in the withdrawal of an offer of employment or the termination of employment.

Winrock prohibits an employee from directly hiring or supervising a family member. For this policy, a family member is defined as:

- Relationships by blood — parent, child, grandparent, grandchild, brother, sister, uncle, aunt, nephew, niece, first cousin
- Relationships by marriage — spouse or domestic partner (as defined by law), step-parent, stepchild, step grandchild, brother-in-law, half-brother, sister-in-law, half-sister, uncle, aunt, nephew, niece, and spouse or partner of any of the above
- Clan, tribal, or community relationships
- Cohabiting couples or significant others
- Member of the employee's household

The candidate will not be hired if employment would:

- Place one in the position of directing, determining, reviewing or processing the work, job performance, or salary or pay of the other
- Allow one to have any influence in the other's employment, promotion, transfer, salary administration, and other related management or personnel considerations
- Present any other potential conflict of interest, particularly with respect to sensitive or confidential issues

If employees become family members or establish a romantic relationship after their employment begins, employees must report any applicable relationship changes immediately to their manager. Winrock will make reasonable efforts to assign job duties to mitigate any conflict of interest, such as supervision by one of the other.

POLITICAL ACTIVITIES AND PARTICIPATION IN CANDIDATE ELECTIONS

Winrock is a non-political, nonpartisan organization. Winrock does not make contributions or expenditures in connection with any election to any political office, or in connection with a primary election or political convention or caucus held to select candidates for any political office.

As a condition of its exemption from paying U.S. federal taxes, Winrock is prohibited from participating in any political activity related to the election of candidates for any public office. This restriction means that Winrock, and its employees, directors, and volunteers who could be perceived as acting on behalf of the organization, are barred from activities that could be reasonably inferred to support, oppose, or express any opinion about the merits of candidates for office at the international, national, state/provincial, or local levels. Examples of such prohibited activities include, but are not limited to:

- Use of resources, such as email or facilities, in association with a candidate
- Use of Winrock's name and/or logo in association with a candidate
- Distribution or publication of a candidate's voting record
- Responding to questionnaires about a candidate or the candidate's record or position on issues

Each employee has the right to voluntarily participate in the political process, including making personal political contributions and candidate electioneering. However, you must always make it clear that your personal views and actions are not those of Winrock, and never use Winrock funds, resources or facilities for any political purpose. Employee's political activities must be conducted on the employee's own time and only off Winrock premises.

Employees must obtain the prior approval of the Chief Risk and Compliance Officer before seeking to be elected to public office or accepting an appointment to public office.

LOBBYING

The lobbying activities of Winrock throughout the world are managed to assure compliance with local, state and federal laws regarding influencing government policies and government officials. To assure that Winrock does not exceed the acceptable limits on resources spent on lobbying, Winrock employees and volunteers must track and report lobbying activities to the Finance Department. U.S. federal funds (including nonfederal funds used to match federal funding) may not be used to attempt to influence legislation or influence decisions regarding grants and contract awards in the U.S. Further, U.S. federal funds may not be used to influence the outcome of an election, referendum, initiative, or similar procedure in the U.S. or other country, at the federal, state, or local level. No funds from private foundations may be used to attempt to influence legislation anywhere in the world.

WINROCK INTERNATIONAL SIGN-ON ADVOCACY LETTER POLICY

Invitations for Winrock to join a sign-on letter advocacy campaign should be directed to the President & CEO for consideration and final approval. The President may, in turn, seek recommendations from Senior Management Team members about the appropriateness of the advocacy position, which must be consistent with Winrock's mission and work.

GIFTS, GRATUITIES, AND BUSINESS COURTESIES

Winrock is committed to competing solely on the merit of our people, programs, and projects. We avoid any actions that create a perception that favorable treatment of outside entities by Winrock was sought, received or given in exchange for personal business courtesies.

Business courtesies include gifts, gratuities, meals, refreshments, entertainment or other benefits from persons or companies with whom Winrock does or may do business.

Winrock will neither give nor accept business courtesies that constitute, or could reasonably be perceived as constituting, unfair business inducements that would violate law, regulation or policies of Winrock or our partners, donors and funders or beneficiaries, or would cause embarrassment or reflect negatively on Winrock's reputation.

ACCEPTING BUSINESS COURTESIES

Most business courtesies offered to us during our employment are offered because of our positions at Winrock. We should not feel any entitlement to accept and keep a business courtesy.

Although no employee may use their position at Winrock to obtain business courtesies, or ask for them, we may accept unsolicited business courtesies that promote successful working relationships and good will with the firms that

Winrock maintains or may establish a business relationship.

Employees who award contracts or who can influence the allocation of business, who create specifications that result in the placement of business, or who participate in negotiation of contracts must be particularly careful to avoid actions that create the appearance of favoritism or that may adversely affect Winrock's reputation for impartiality and fair dealing.

The expected course is to refuse a courtesy from a supplier when Winrock is involved in choosing or reconfirming a supplier or under circumstances that would create an impression that offering courtesies is the way to obtain Winrock business.

MEALS, REFRESHMENTS AND ENTERTAINMENT

Winrock employees may accept occasional meals, refreshments, entertainment and similar business courtesies that are shared with the person who has offered to pay for the meal or entertainment, provided that:

- They are not inappropriately lavish or excessive for the local context.
- The courtesies are not frequent and do not reflect a pattern of frequent acceptance of courtesies from the same person or entity.
- The courtesy does not create the appearance of an attempt to influence business decisions, such as accepting courtesies or entertainment from a vendor whose contract is expiring in the near future.
- The employee accepting the business courtesy would not feel uncomfortable discussing the courtesy with their manager or colleague or having the courtesies known by the public.

GIFTS

Employees may accept unsolicited gifts, other than money, that conform to the reasonable ethical practices of the local marketplace, including:

- Flowers, fruit baskets and other modest presents that commemorate a special occasion.
- Gifts of nominal value, such as calendars, pens, mugs, caps and t-shirts (or other novelty, advertising or promotional items).

If possible, share such gifts with others in the office. Lavish gifts may not be accepted. Employees may not accept compensation, honoraria or money of any amount from entities with whom Winrock does or may do business. Other honoraria or payments (such as jury duty fees) should be remitted to Winrock if the work was done while working for Winrock. Tangible gifts (including tickets to a sporting or entertainment event) that have an appreciable value in the local market may not be accepted unless approval is obtained from Chief of Party, Unit Director or equivalent.

- The practice does not violate any law or regulation or the standards of conduct of the recipient's organization.
- The business courtesy is consistent with industry practice, is infrequent in nature, and is not lavish.
- The business courtesy is properly reflected on the books and records of Winrock.

OFFERING BUSINESS COURTESIES

Any employee who offers a business courtesy must assure that it cannot reasonably be interpreted as an attempt to gain an unfair business advantage or otherwise reflect negatively upon Winrock. An employee may never use personal funds or resources to do something that cannot be done with Winrock resources. Accounting for business courtesies must be done in accordance with approved Winrock operating procedures.

Other than to our government customers, for whom special rules apply, we may provide nonmonetary promotional gifts such as company logo apparel or similar promotional items to our partners, donors or funder, or beneficiaries. Further, Chief of Party, Unit Director or equivalent may approve other courtesies, including meals, refreshments or entertainment of reasonable value, provided that:

REVISION HISTORY

| DATE OF CHANGE | SUMMARY OF CHANGE |
|----------------|---|
| 2/21/19 | Removed "anonymous" (pg. 6) and minor typos |
| 2/27/19 | V.2 : Updated Communications Policy |
| 7/1/2019 | V.3: Clarified with numerous updates |
| 10/18/19 | V.4: Added link to Trafficking guidelines |
| 1/30/20 | V.5: Added Core Values, non-partisan language, updated social media policy, updated guide for managers |
| 7/8/2020 | V6: Added Data Classification Policy (which replaces Confidentiality Policy), revised and updated Privacy and Personal Data Protection, added reference to new Anti-Corruption Policy, added Sign On Advocacy Letterclau in Lobbying Policy, and deleted Confidentiality Policy |

