

## **Code of Conduct**

Canopy Trust follows the Code of Conduct of Catalytic Finance Foundations as noted below

### **Preamble**

Catalytic Finance Foundation (Catalytic) is committed to providing good working conditions and a healthy working environment for its employees. Catalytic aims to ensure equality, health, and safety for its employees and does not tolerate any act of harassment or discrimination.

Equally, Catalytic expects its employee and contracted consultants to do their best in their work and in their relationships with others in upholding and maintaining the good working conditions and environment.

Thus, employees undertake to carry out in a conscientious, relevant, and responsible way the responsibilities and tasks entrusted to them and to defend the interests of Catalytic in all areas.

This Code of Conduct concerns all employees who conduct activities on behalf of Catalytic, regardless of the occupancy rate.

These regulations are an integral part of each employee's employment contract. Each employee must sign the regulations to certify that he/she has read, approved, and intends to apply them.

The Chief Executive Officer of the Foundation is responsible for compliance with these regulations and acts as a guarantor.

### **1. Purpose and Scope of Application**

These regulations lay down the implementing measures for the health and safety rules applicable to Catalytic, the general and permanent rules relating to discipline, and the provisions relating to the rights of the employee's disciplinary proceedings.

The regulations will be supplemented or clarified, as appropriate, by memoranda.

The provisions of the regulations apply to all employees and service providers of Catalytic. They are intended to help ensure that the work can be carried out in good conditions for the benefit of employees and the Foundation. Employees from contracted companies, temporary workers, and trainees are also required to comply with the provisions of the regulations.

### **2. Accident Prevention and Health Protection**

#### **2.1 Principles**

For Catalytic, security is an integral part of the working environment. All employees must support all measures taken by the Foundation for health insurance and accident prevention.

To ensure safety at work, all safety aspects must be taken into account in all tasks and in all functions. Employees are obliged to work safely and must support each other in this task.

## **2.2. Obligation to announce deficiencies**

Defects observed on buildings, equipment and safety devices must be reported to the management.

## **2.3. Behaviour in case of events and accidents**

Each employee has an obligation to provide first aid to any injured person to the best of their knowledge. There must be a person who is regularly trained for providing first aid, this person could be provided by the property manager of the building or a volunteering employee.

Events and accidents with or without material damage must be documented and reported to management.

## **2.4. Escape routes**

Exits, stairways, and fire-fighting equipment must be specifically designated as such and must be kept free. This is to be ensured by either the property manager or the Foundation itself.

To ensure the safety and preparedness of all staff members, all employees should ensure their participation in the annual evacuation exercises. These exercises are crucial for familiarizing everyone with the emergency evacuation routes and procedures, ensuring a swift and organized response in the event of an actual emergency.

## **2.5. Clothing**

The clothing and appearance of the employees must be adapted to the work in a safe manner that prevents accidents to oneself or to others.

## **2.6. Alcohol and drugs**

No person shall consume alcoholic beverages during working hours. It is forbidden for any employee to be intoxicated while on the premises of Catalytic. It is also forbidden to enter or stay on the Catalytic premises while under the influence of drugs.

Employees under the influence of alcohol and/or drugs will not be allowed to remain at their workplace and will be considered absent. Time away from work will not be paid.

For celebrations at the workplace (e.g. promotions, birthdays, Christmas and New Years, etc.), the management of Catalytic may authorize special exceptions and rules.

## **2.7. Smoking**

Smokers must respect non-smokers. There is a general ban on smoking in the workplace, that is, smoking is allowed only in places where smoking is allowed by law or the property manager. This also includes electronic cigarettes.

# **3. Behaviour and Good Order on the Premises of Catalytic**

All staff must adopt, in the performance of their duties, conducts respecting the freedom and dignity of others.

## **3.1. Precautions / Environment**

Each employee is responsible for the good order of their workstation and must take all feasible precautions to avoid damage to the equipment at their disposal (e.g. computers), and to avoid any

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pollution to the nearby soil, water, and air. The provisions on the protection of the environment must be respected.

### **3.2. Private occupations**

Any private trading activity and any non-Catalytic-related professional occupations are prohibited on the premises of Catalytic. Private work in the company and in the offices must take place outside of working hours.

### **3.3. Photography**

Taking photographs and films for private purposes is prohibited on the premises of the company in the absence of an authorization from management.

### **3.4. Presence in company areas and buildings**

The presence in the company late at night and/or early in the morning (after 8 p.m. or before 6 a.m.), or during non-working days, should be justified by a professional necessity.

### **3.5. Information**

It is forbidden to distribute printed matter on the premises of Catalytic or to collect signatures for purposes unrelated to the Foundation. Displays are only authorized on information panels that can be used by the persons empowered for that purpose.

### **3.6. Work schedules**

The work schedule is 8 hours a day. The core working hours are 10 a.m to 5 p.m.

Employees must respect these hours of work, and management reserves the right to modify working hours according to the needs of professional activities, within the limits imposed by the provisions in force. Employees must comply with any schedule changes from management.

### **3.7. Delays and Absences**

Any delay must be notified and justified to the management.

Any absence for illness or accident must be reported to the management within 24 hours by sending an email. A medical certificate is required if absence because of illness extends to more than 2 working days. Unjustified and unauthorized absences may give rise to sanctions.

## **4. Protection of the Individual**

### **4.1. Non-discrimination**

We must apply the same rules and values to each individual at work, despite their differences in gender, nationality, ethnicity, religious belief, political ideology, sexual orientation, and others. Under the Gender Equality Act<sup>1</sup>, we must work together to create a climate of respect and trust for the individual, in order to prevent discrimination.

### **4.2. Prevention of Sexual Exploitation and Abuse**

#### **4.2.1 Policy Statement**

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<sup>1</sup> [https://www.fedlex.admin.ch/eli/cc/1996/1498\\_1498\\_1498/en](https://www.fedlex.admin.ch/eli/cc/1996/1498_1498_1498/en)

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Catalytic recognizes that sexual harassment can occur in the working environment and that it can cause severe harm to people who experience it, both in their professional and personal lives. Negative effects on the quality of work, productivity, motivation, and absenteeism also severely penalize the Foundation.

Sexual harassment includes any unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment.
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual.
- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Examples of sexual harassment include, but are not limited to:

- Unwanted physical contact or conduct of any kind, including sexual flirtations, touching, advances, or propositions.
- Verbal harassment of a sexual nature, such as lewd comments, sexual jokes or references, and offensive personal references.
- Displaying or circulating sexually suggestive or explicit objects, pictures, or materials.
- Making or threatening reprisals after a negative response to sexual advances.

Catalytic recognizes and accepts the standards under “United Nations Special measures for protection from sexual exploitation and sexual abuse”<sup>2</sup> and is committed to providing a work environment free from sexual harassment. We believe that all employees have the right to work in an atmosphere that promotes respect, dignity, and equal opportunities. Sexual harassment in any form is unacceptable and will not be tolerated.

This principle applies both to behaviours occurring in the workplace and to those that may occur in other places, if they are detrimental to the person in the course of his or her employment. Any conduct of harassment is punishable by disciplinary measures up to and including immediate dismissal.

In order to ensure a good working climate, improve human resource management and promote employee well-being, the management, in collaboration with staff, implements this policy to prevent harassment. Each employee is entitled to correct and respectful treatment by the management, their colleagues or any person external to Catalytic, in order to preserve their physical and mental integrity.

This Regulation concerns all regular or temporary staff. It applies equally to cases where harassment is committed by a person inside or outside the Foundation. It also concerns cases of harassment by a staff member towards a person outside the Foundation, in the context of work. Service providers are required to apply this policy to their conducts as well.

#### 4.2.2 Reporting Procedures

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<sup>2</sup> ST/SGB/2003/13

(<https://undocs.org/Home/Mobile?FinalSymbol=ST%2FSGB%2F2003%2F13&Language=E&DeviceType=Desktop&LangRequested=False>)

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All complaints will be handled with discretion and confidentiality to the extent possible. Catalytic will conduct a thorough and impartial investigation of all reports. Both the complainant and the accused will be informed of the outcome of the investigation.

Any employee who believes they have been subjected to sexual harassment should report the incident immediately. Reports can be made to the CEO or, in the case of CEO's involvement in the complaint, the complaint should be addressed to a higher authority, i.e. the Council of the Foundation.

The cantonal labour inspectorates are responsible for enforcing the provisions of the Federal Labor Act (LTr), including the principle of respect for individuals in employment relationships.

Thus, in the event of a complaint, the labour inspectorate is empowered to investigate whether there is a situation of sexual (or other) harassment and, if so, to invite the employer to take appropriate measures.

**Useful addresses:**

Major organizations that can provide information and support:

Committee against harassment sex/rape-rescue:  
+41 (0)22 345 20 20

Cantonal inspections of the work of French-speaking Switzerland

LAVI consultation Center: +41 (0)22 320 01 02

GENEVA

Cantonal Office for inspection and labour relations Rue Ferdinand - Hodler 23, P.O. Box 3974, 1211 Geneva 3

Tel: +41 (0)22 327 28 50/ Fax: +41 (0)22 327 05 11

**4.2.3. Violations**

Violations of the regulations as well as other facts of criminal violations will invoke the following measures, depending on the severity of the case:

- Verbal warning
- Written warning
- Dismissal
- Immediate dismissal (Art. 337 CO of the Swiss employment law)

In all cases, civil and criminal law measures, in particular claims for compensation for voluntary or negligent damages, remain reserved under Art. 321 e CO.

**4.2.4. No Retaliation**

Catalytic strictly prohibits retaliation against any individual who reports sexual harassment or participates in an investigation. Any form of retaliation will be met with disciplinary action, up to and including termination of employment.

**4.2.5. Training and Awareness**

Catalytic provides annual mandatory training to all employees on the Prevention of Sexual Exploitation and Abuse (PSEA) and the company's policies and procedures regarding sexual harassment.

All future employees should be subject to background check for sexual misconduct and are required to sign a "Self-Declaration of Absence of Sanctions Related to Sexual Exploitation and Abuse (SEA)" at the time of signing the employment contract.

## **5. Behaviour and Anti-Corruption/Fraud Policy**

This chapter brings together the principles and rules of conduct which all those who operate and/or maintain relationships with Catalytic are subject to.

The purpose of this chapter is to report and disseminate the values and rules of behaviour of reference that Catalytic's offices shall continually abide by and uphold in the exercise of their activity.

This chapter is binding and must be observed by all members of the office staff of Catalytic, including those having a function of representation, administration or management, service providers, as well as by each individual, acting in the name and on behalf of Catalytic, whether in Switzerland or abroad.

It requests all entities within the network of Catalytic to adopt the present Code of Conduct.

The general ethical principles of Catalytic represent the founding values that guide the modalities for achieving the mission of Catalytic.

These general principles are:

- |               |                       |
|---------------|-----------------------|
| 1. Honesty    | 5. Non-discrimination |
| 2. Loyalty    | 6. Transparency       |
| 3. Correction | 7. Responsibility     |
| 4. Solidarity |                       |

The work of Catalytic, must be performed with professionalism, moral rigor and managed with care.

Catalytic has the imperative principle of respect for laws and regulations in force in all the countries where it operates. Salaried staff, employees, suppliers, partners, and donors are all included, so that any person having a relationship with Catalytic undertakes to respect this principle.

What is contrary to the law is contrary to the value of Catalytic.

Employees, partners and collaborators are not to pursue a profit or personal benefit or for Catalytic, in violation of the laws in force and of the rules contained in the Code of Conduct.

Catalytic provides its activities with transparency. Any operation and transaction are registered, authorized, verifiable, legitimate, consistent and appropriate, according to the laws in force and internal procedures. Any practice of corruption and collusive behaviour are prohibited without exception. Individuals or bodies having a relationship with Catalytic must have access to complete and accurate information on the activities which concern them.

For employees and third parties who work with Catalytic, it is prohibited to use the information they have read for other purposes which do not concern the implementation of the tasks entrusted to them by Catalytic.

Catalytic does not accept any gift or benefit which would be anonymous or would be accompanied by intent or conditions towards its targets. Catalytic ensures that its donors share the same ethical values. Similarly, the choice of partners must be guided by the same ethical principles contained in the Code of Conduct.

Catalytic favours technical and economic operators in the intervention countries where the good quality of the goods, work and services is guaranteed. Catalytic makes its choice of suppliers based on its Procurement Policy which promotes efficiency, fairness and transparency. Catalytic requires respect for the laws and ethical standards.

Any communication externally should be truthful, controllable, non-aggressive and respectful of the rights and dignity of people.

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Relations with persons or bodies exercising a function of control and audit must be based on principles of efficiency, accuracy and transparency. Catalytic's offices and partners collaborate with supervisory bodies avoiding any obstruction. They shall not hide information or provide documentation stating false information as well as prevent or interfere with the operation of the control and audit activities.

If a violation of the Code of Conduct is proven, Catalytic will adopt measures against those responsible for the violations. The disciplinary measures are those under the contract in the case of salaried staff, and such measures as deemed necessary or appropriate to prevent the repetition of the violation in the case of external persons.

## **6. Anti Money Laundering/Know Your Client Policy**

Catalytic is committed to preventing money laundering by complying with all applicable laws and regulations.

Catalytic has a due diligence process for partners and service providers based on a KYC process. The KYC process consists of the use of a professional KYC tool (Moody's Grid) to check legal record of the entity as well as the main shareholders and research on the internet for media exposure. Companies must complete this process and provide supporting documents, which will be checked by Catalytic before funds can be forwarded.

The information collected in the KYC process allows Catalytic to better know its partners before accepting them as potential service providers or sub-contractees. The KYC process also helps Catalytic to assess the conditions of compliance with national laws and international conventions, especially on the fight against corruption and money laundering.

## **7. Conflict of Interest**

In the performance of its activity, Catalytic initiates partnerships and/or concludes agreements, to develop collaborations and lead actions consistent with its objectives. All employees of Catalytic as well as partners are called upon to prevent all situations able to create a conflict between its objectives and activities. In the event of conflict of interest, individuals to whom this Code of Conduct applies will inform without delay the management, who can escalate depending on the nature of the conflict.

## **8. Grievance mechanism**

An employee who is subject to or witness to any misbehaviour should report the incident immediately. Reports can be made to the CEO or, in the case of CEO's involvement in the complaint, the complaint should be addressed to a higher authority, i.e. the Council of the Foundation. Catalytic will also consider reports that have been made from anonymous sources.

Catalytic strictly prohibits retaliation against any whistle-blowers (i.e. individuals who filed a report internally or externally) or participates in an investigation. Any form of retaliation will be met with disciplinary action, up to and including termination of employment.

### **Declaration:**

I, \_\_\_\_\_, hereby acknowledge that I have read and understood the Code of Conduct and agree to abide by it.

**Signature, Date**