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About WRI EthicsPoint Hotline

What is the WRI EthicsPoint Hotline?

WRI is committed to an environment in which all staff members, partners, and project beneficiaries feel comfortable speaking up about situations or actions that may be a violation of local laws, WRI values or policies. While each staff member is encouraged to speak with their supervisor, HR or a member of the Executive Team about their concerns, we understand that there may be times when you are not comfortable doing so. WRI has adopted the EthicsPoint system to give staff and partners a way to report these concerns through an anonymous third-party system.

What is EthicsPoint?

EthicsPoint is a comprehensive and confidential reporting tool created by NAVEX to assist WRI in addressing inappropriate workplace behavior, fraud, abuse, and other misconduct.

Why do we need a system like EthicsPoint?

- An effective reporting system will augment our other efforts to foster a culture of integrity and ethical decision-making, while ensuring a completely confidential and anonymous channel for reporting.
- We believe that our employees are our most important asset. By creating open channels of communication, we can ensure the organization is healthy, equitable and inclusive for all employees.

Reporting – General

I'm not a WRI employee, can I still use this system to report issues?

Yes, the EthicsPoint online portal and phone number can be used by anyone who needs to report an issue with a WRI project or staff member.

May I report using either the internet or the telephone?

Yes. With EthicsPoint, you have the ability to file a confidential, anonymous report via either the telephone or online.

What type of situations should I report?

The system is designed for employees to report any violation of our stated Code of Conduct, our Global Safe, Equitable and Inclusive Workplace Policy, other policies, or other concerns you may have. For those with whom WRI works, you can report any ethical misconduct or environmental or social risks and impacts associated with WRI projects.

If I see a violation, shouldn't I just report it to my manager, the Legal team, or Human Resources and let them deal with it?

When you observe some behavior that you believe violates our Code of Conduct, Global Safe, Equitable and Inclusive Workplace Policy, or other policies, we expect you to report it. Ideally, you should bring any concerns forward to your direct manager, any people or project manager at WRI, a member of the HR team or any member of the Legal team. We recognize, however, that there may be circumstances when you are not comfortable reporting the issue in this manner. It is for such circumstances that we have partnered with EthicsPoint. We would rather you report anonymously than keep the information to yourself.

Why should I report what I know? What's in it for me?

We all have the right to work in a positive environment and with that right comes the responsibility of acting in an ethical manner and letting the appropriate people know if someone is not acting appropriately. By working together, we can maintain a healthy and productive environment.

Does management really want me to report?

We certainly do. In fact, we need you to report. You know what is going on in the Institute – both good and bad. You may have initial knowledge of an activity that may be cause for concern. Your reporting can minimize the potential negative impact on the Institute and our people. Also, offering positive input may help identify issues that can improve our organizational culture.

Where do these reports go? Who can access them?

Reports are entered directly on the EthicsPoint secure server to prevent any possible breach in security. EthicsPoint makes these reports available only to specific individuals within the Institute who are charged with evaluating the report, based on the type of violation and location of the incident. Our Director of Employee Relations, Chief People Officer and General Counsel receive copies of all reports, unless they are implicated in the report. If the Director of Employee Relations is implicated in the report, the report will only be sent to the General Counsel. If either the Chief People Officer or General Counsel is

implicated, the report will be sent to the Chair of the Audit and Risk Management Committee.

Isn't this system just an example of someone watching over me?

The EthicsPoint system concentrates on being a positive aspect of our overall philosophy, and allows us to assure a safe, secure, and ethical workplace. You are encouraged to seek guidance on ethical dilemmas, provide positive suggestions, or communicate a concern. Effective communication is critical in today's workplace and this is a great tool to enhance that communication.

We have carefully chosen the best reporting tool to meet our compliance obligations while maintaining a positive reporting environment.

Reporting Security & Confidentiality

It is my understanding that any report I send from a company computer generates a server log that shows every website that my computer connects with. Won't this log identify me as a report originator?

EthicsPoint does not generate or maintain any internal connection logs with IP addresses, so no information linking your computer to EthicsPoint is available. In fact, EthicsPoint is contractually committed not to pursue a reporter's identity.

If you feel uncomfortable making a report on your work computer, you have the option of using a computer outside our work environment (such as one located at an Internet café, at a friend's house, etc.) through the EthicsPoint secure website. Many people choose this option, as EthicsPoint's data shows that fewer than 12% of reports are generated during business hours.

You can also call the EthicsPoint tollfree hotline, which is available 24 hours a day, 365 days a year.

Can I file a report from home and still remain anonymous?

A report from home, a neighbor's computer, or any internet portal will remain secure and anonymous. An internet portal never identifies a visitor by screen name and the EthicsPoint system strips away internet addresses so that anonymity is totally maintained. Plus, EthicsPoint is contractually committed not to pursue a reporter's identity.

Can I still file a report if I don't have access to the internet?

You can file an EthicsPoint report from any computer that can access the Internet. Many public locations, including the public library, have Internet computers. If you don't have

access to or are uncomfortable using a computer, you can call the EthicsPoint tollfree hotline, which is available 24 hours a day, 365 days a year.

I am concerned that the information I provide EthicsPoint will ultimately reveal my identity. How can you assure me that will not happen?

The EthicsPoint system is designed to protect your anonymity. However, if you wish to remain anonymous, you – as a reporting party – need to ensure that the body of the report does not reveal your identity by accident. For example, “From my office next to Jan Smith...” or “In my 33 years...”.

Is the telephone toll-free hotline confidential and anonymous too?

Yes. You will be asked to provide the same information that you would provide in an internet based report and an interviewer will type your responses into the EthicsPoint website. These reports have the same security and confidentiality measures applied to them during delivery.

What if I want to be identified with my report?

There is a section in the report for identifying yourself, if you wish.

Tips & Best Practices

I am aware of some individuals involved with unethical conduct, but it doesn't affect me. Why should I bother reporting it?

WRI chooses to promote ethical behavior. All unethical conduct, at any level, reflects poorly on the Institute’s reputation and ultimately hurts the Institute and all employees, including you. If you know of any incidents of misconduct or ethical violations, consider it your duty to yourself and your coworkers to report it.

I am not sure if what I have observed or heard is a violation of WRI's policy, or involves unethical conduct, but it just does not look right to me. What should I do?

File a report. EthicsPoint can help you prepare and file your report so it can be properly understood. We'd rather you report a situation that turns out to be harmless than let possible unethical behavior go unchecked because you weren't sure.

What if my boss or other managers are involved in a violation? Won't they get the report and start a cover-up?

The EthicsPoint system and report distribution are designed so that implicated parties are not notified or granted access to reports in which they have been named.

What if I remember something important about the incident after I file the report? Or what if the Institute has further questions for me concerning my report?

When you file a report at the EthicsPoint website or through the call center, you receive a unique username and are asked to choose a password. You can return to the EthicsPoint system again either by internet or telephone and access the original report to add more detail or answer questions posed by a WRI representative and add further information that will help resolve open issues. We strongly suggest that you return to the site in the time specified to answer any questions from WRI. You and WRI now have entered into an “anonymous dialogue,” where situations are not only identified, but can also be resolved, no matter how complex.

Additionally, you are given the option to provide an email address when you make an anonymous complaint. Your email won't be included with your report to WRI, but will be held by NAVEX. This will enable NAVEX to notify you by email of updates or follow-ups to your report so you don't have to login in to check for updates or follow-up questions.

Are these follow-ups on reports as secure as the first one?

All EthicsPoint correspondences are held in the same strict confidence as the initial report, continuing under the umbrella of anonymity