

RESPECT AND PROTECTION OF INDIVIDUALS

POLÍTICA PARTICULAR

CODE: ETI- PP Respect
and protection of
individuals

PREPARED BY:

REVIEWED BY:

APPROVED BY:

EFFECTIVE DATE:

Our Mission

*"Operating from the global south, we foster collaborative processes to drive systemic changes
for human dignity and planetary care."*

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1. DOCUMENT TYPE

INTERNAL POLICY: Derived from ETI - PG Code of Ethics

2. BACKGROUND

In Fundación Avina we recognize that **human rights** are universal, inalienable and indivisible, therefore, all people are entitled to respect and protection regardless of their socioeconomic status, ethnicity, religion, sex, language, political opinion or any other opinion.

In Fundación Avina we are committed to operating under the principle of **Zero Tolerance** to any form of violence, particularly with regards to gender-based violence, discrimination, harassment and abuse of power to guarantee that all employees of the organization and related third parties are treated with dignity and respect as our highest values.

Within this context, at Fundación Avina we underscore the respect and protection of human rights of people in vulnerable situations and we are committed to setting up mechanisms to honor this commitment.

This policy emphasizes respect and protection of the rights of people in vulnerable situations and the prevention of harassment, discrimination and abuse of power.

This policy is part of our Code of Ethics (ETI - PG Code of Ethics) and is closely related to our Internal Policy on Gender Equality and Diversity (ETI - PP Gender Equality and Diversity).

3. OBJECTIVE

Lay the groundwork for the care and protection of individuals, the prevention, mitigation, and, where necessary, remediation of potential direct or indirect harm to vulnerable groups, including but not limited to women, Afro-descendants, and indigenous peoples.

The objective of this policy is to reflect the way we uphold our commitment to respect human rights, protect the rights of people in vulnerable situations and our commitment to preventing situations of discrimination, harassment and abuse of power.

4. SCOPE

This policy applies to all individuals directly or indirectly linked to Fundación Avina. This policy encompasses, but is not exclusively limited to, the following entities: employees, legal persons, consultants, volunteers, interns, suppliers, ally organizations, co-investors, social groups, governmental bodies, corporations, and others.

5. DEFINITIONS AND ABBREVIATIONS

Definition of situations that this policy seeks to prevent

Harassment: is any unwelcome behavior or misconduct that could reasonably cause offense or humiliation to another person. Harassment can take the form of words, gestures or actions intended to annoy, alarm, abuse, belittle, intimidate, embarrass or create an intimidating, hostile or offensive work environment. Harassment can be based on the grounds of: birth, racial or ethnic origin, religion or belief, opinion, disability, age, sexual orientation or any other personal or social condition or circumstance.

Workplace harassment/mobbing: actions produced by a harasser in the workplace intent on producing fear, terror, contempt for- or discourage a subordinate, colleague or other level of relationship, thus resulting in psychological violence that occurs systematically and recurrently over an extended period of time.

Sexual harassment: is any unwelcome sexual advance, unnecessary physical contact, touching, stroking, requesting sexual information, favors, verbal expression or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that could reasonably be perceived as insinuating, intimidating, offensive or humiliating to another, and that is intended to obtain sexual favors from a person when the harasser abuses of his or her position of power over the person who is subject to it. Sexual harassment is usually an ongoing pattern of behavior, but it can also be a one-off incident. Sexual harassment can occur between individuals of the opposite sex or of the same sex. Both men and women can be victims or offenders.

Abandonment and negligent treatment: it refers to the persistent failure to meet the basic physical and/or psychological needs of individuals who are unable to take care of themselves (children, people living with disabilities, elderly persons) either by intentional abandonment or breach of duty by those responsible for the care and the reasonable possibility of avoiding risks. This abandonment has consequences on the healthy, physical, spiritual, moral or mental development of the person in this vulnerable situation.

Abuse of power: is the act committed by a higher ranking individual who oversteps his or her authority; it is the improper use of a position of influence, power or authority over another person. This is particularly serious when a person uses his or her power or authority to improperly influence the career or conditions of employment of another, including, but not limited to: appointment, contract renewal, performance evaluation or promotion. Abuse of power may also include conduct that creates a hostile or offensive work environment including, but not limited to, the use of intimidation, threats, blackmail or coercion. Discrimination and harassment, including sexual harassment, are particularly serious when accompanied by abuse of power.

Emotional abuse: it is the ongoing emotional mistreatment that has an impact on the emotional development of individuals. Emotionally abusive acts include, restricting movement, demeaning, humiliating, intimidating (includes cyber bullying), and threatening, frightening, discriminating, mocking, and other forms of non-physical hostile treatment or rejection.

Physical abuse: any intentional physical contact an individual makes with another individual without their consent, resulting in actual or potential physical injuries, whether visible or not. Physical abuse injures or endangers the individual who receives it. In most cases, children are the victims of this type of abuse. Physical injury can also be caused by a parent or caregiver who provokes symptoms or deliberately induces an illness in a child.

Sexual abuse: forcing or persuading vulnerable individuals to engage in sexual activities that they do not fully understand or have limited capacity to choose whether or not to consent. This may include, but is not limited to, rape, oral sex, penetration or non-penetration, acts such as masturbation, kissing, stroking or touching. It may also include inducing looking at children, or producing sexual images, watching sexual activities and encouraging children to behave in sexually inappropriate ways.

Discrimination: is any unfair or undeserved unequal treatment of a person or group on the basis of race, sex, religion, nationality, ethnicity, sexual orientation, disability, age, language, social status or any other circumstance. Discrimination can be a one-time event that affects a person or group of people in a similar situation and it can be expressed through harassment or abuse of power.

Commercial exploitation: exploiting people in vulnerable situations at the workplace and during other activities for the benefit of others or to the detriment of their physical or mental health, education, moral or socio-emotional development. Includes, but is not limited to child labor.

Sexual exploitation: a form of sexual abuse that includes engaging in any sexual activity in exchange for money, gifts, food, shelter, affection, status or anything else they or their families need. It usually involves coercion or manipulation of vulnerable groups, which involves befriending them, gaining their trust and inducing them to use drugs and alcohol. The abusive relationship between victims and perpetrators leads to an imbalance of power with limited options for the victims. Sexual exploitation can involve an adult perpetrator exercising economic, emotional or physical control over a young person. It may also involve social pressure by manipulating or forcing victims into sexual activities, sometimes within gangs and gang-affected neighborhoods. It may also involve networks of opportunistic or organized perpetrators who profit financially from smuggling young victims between places to engage in sexual acts with multiple people.

Vulnerability: The state of individuals or groups who are susceptible to harm, abuse, or discrimination due to their inability to withstand, cope with, or recover from adverse circumstances, thereby placing them at risk. This may include physical, economic, social, cultural, educational vulnerability or others.

Vulnerable groups: are social groups who share specific condition that is the object of widespread contempt or a social prejudice, or who experience a historical situation of oppression or injustice, and thereby systematically suffer a reduction in their possibilities of enjoying and exercising their rights and freedoms.

Sectors of the population or groups whose age, sex, marital status, ethnicity or any other condition places them at risk, thus hindering their inclusion into productive life, development and access to better conditions and wellbeing. Groups that lack basic elements for subsistence and personal development, and insufficient tools to overcome structural or circumstantial disadvantages.

Vulnerable groups are considered to be population groups such as girls, boys and young people living on the street, women, people with non-binary identities, LGBT community, migrants, people with disabilities, elderly persons, indigenous population, people living in poverty, and others.

Violence: is the intentional use of physical or verbal force to achieve an end, especially to dominate someone or impose something, which results or is very likely to result in harm, trauma or even death.

Violence against women: any gender-based action or conduct that causes death or physical, sexual or psychological harm or suffering to women, whether in her public or private life.

6. DEVELOPMENT

At Fundación Avina, our practices, conversations and transactions take place within the framework of **respect and protection of human rights**.

The institutional values and principles enshrined in our Code of Ethics represent our benchmark to guide our behavior in terms of respecting and protecting people's rights and the prevention of discriminatory practices, harassment and abuse of power.

Our values are embodied in our actions:

Respect

Honesty

Accountability

Modesty

Solidarity

6.1. INSTITUTIONAL COMMITMENT

At Fundación Avina **we do not tolerate human rights violations** of people in vulnerable situations by individuals who, directly or indirectly, are connected with the organization. Neither do we tolerate discriminatory practices, harassment or abuse of power in any field of action.

Fundación Avina refers to all behaviors related to discrimination, inequality, violence, harassment or abuse as **"unacceptable behaviors."**

Discrimination has negative effects on people's lives in terms of loss of rights and unequal access to these rights, which can lead to isolation, violence and, in extreme cases, even to death.

One of the main tasks of the States is to establish concrete actions to ensure full respect for and safeguarding of human rights, including respect for the rights of specific population groups that, due to their conditions, may suffer from rights violations.

We use international standards applicable to the respect and protection of these groups as a reference and frame them in the following objectives:

- Promote a culture of respect, protection and advocacy of adequate support for vulnerable people affected, directly or indirectly, by the projects led and/or implemented by Fundación Avina.
- Develop an effective model of implementation and adoption of internal and external systems that facilitate respect and protection for these groups, ensuring that their rights are not violated by employees of the organization or others acting on its behalf.
- Broaden the scope of this commitment to include all key personnel within the organization and other individuals involved in project implementation.
- Principles of respect and protection will be applicable in all work processes with these groups of people.

6.2. GENERAL PRINCIPLES OF OUR INSTITUTIONAL COMMITMENT

- All individuals have the right to protection, without discrimination, against any type of harm, regardless of gender, sex, age, disability, ethnicity, race, religious belief.
- All vulnerable people have the right to respect, protection and reparation when faced with possible harm.
- All people directly or indirectly linked to Fundación Avina have the responsibility to respect and ensure the protection of these groups, regardless of the circumstances affecting them.
- All organizations linked to Fundación Avina have the duty to safeguard the well-being of the groups of people they work with, come into contact with- or those who are affected by their work and operations.

- All organizations linked to Fundación Avina have the responsibility to ensure that ally organizations meet the minimum requirements for the protection and advocacy of the well-being of these groups of people.
- All protection actions for these groups must be defined and developed in their best interest and care.

6.3. GENERAL GUIDELINES FOR IMPLEMENTATION

We underscore the **prevention** of “unacceptable behaviors” as an essential component of the actions we undertake at Fundación Avina. We advance prevention as follows:

Raise awareness: Fundación Avina carries out regular and mandatory awareness-raising sessions and briefings, so that all individuals linked to Fundación Avina and its allies become aware of the **zero tolerance to unacceptable behavior** and receive guidance on the respective policy and procedures. Awareness-raising is present in conversations at all levels of the organization, in our impact platform and is a cross-cutting theme in all of our internal and external procedures.

Adherence by ally organizations: Subscription to this policy is included in the provisions of Fundación Avina contracts with its allies. Non-compliance with this policy in an alliance may result in unilateral termination of the contract.

To reiterate, this policy applies to all individuals or organizations directly or indirectly involved with Fundación Avina: employees, consultants, volunteers, interns, suppliers, ally organizations, co-investors, social groups, government, companies and others, as applicable. In this regard, basic, non-exclusive guidelines for verifying the behavior of each of these groups have been established, in order to mitigate any risks that may arise, so that they can be immediately verified.

Internal management

- At all stages prior to the onboarding of employees (publications, recruitment, interviews) we respect and protect vulnerable people and avoid “unacceptable behavior.”
- During interviews with candidates, we talk about respect and protection of vulnerable people and groups.



- This is clearly stipulated in the Terms of Reference for positions where there may be potential interaction with vulnerable populations.
- If necessary, candidates and external hires are requested to submit references about previous work in this matter.
- The person who joins Fundación Avina signs a document where he/she expressly states that he/she is aware of the Policy of Respect and Protection of Individuals, as well as related policies.
- Induction programs for employees include topics of respect and protection of individuals, prevention of discrimination and unacceptable behavior.
- All individuals directly or indirectly involved with Fundación Avina have to adhere to this policy, which constitutes a commitment to the organization, and therefore non-compliance with this policy may result in legal consequences.
- We create spaces to raise awareness on protection and care standards that apply to vulnerable groups; we train those responsible for programs or areas to identify prohibited behavior that violate the dignity of people.
- As part of prevention and awareness-raising, we reinforced with re-inductions at least every two years. When necessary, this is reinforced by administering institutional evaluations to measure the extent to which they understand our commitment to these issues.
- We include the practices of respect, protection and “prevention of unacceptable behavior” in the procedures that govern the ethical conduct of our employees, as outlined in our Code of Ethics.
- We hold annual performance evaluations to monitor or collect relevant information about our employees' conduct, including in matters of respect and protection of individuals.
- We provide channels for individuals to express concerns regarding conflicts that affect vulnerable populations.
- We foster an environment that prevents harassment, abuse or violence, ensuring that policies, procedures and assistance are in place in the event of cases of this nature.
- We promptly address situations and concerns expressed by people in vulnerable situations.

**With supplier
agencies or
individuals**

- We keep a database of suppliers—both individuals or agencies—for use throughout the organization, with information on those who have demonstrated respectful and protective behavior toward different vulnerable groups. This database is in our CRM management system, where transactions with agencies or suppliers are recorded.
- We immediately disable suppliers who have been questioned for behaviors that violate the respect and protection of vulnerable groups. The disabling will take place whenever there are violations to this policy, as per our grievance prevention and management procedure.

**With social capital
and alliances on the
ground**

- We disseminate this and other policies to our ally organizations.
- There is reference to this policy and procedures in any cooperation agreement to be signed and accepted in order to receive funds from Fundación Avina.
- We added this point to the investment and reporting forms to ensure ally organizations pay due care and attention to this matter.
- If applicable, this point is included in the terms of reference of the internal audit.
- We verify that Fundación Avina's policy has been accepted prior to conducting field visits, where we interact with vulnerable groups.
- This policy aligns with the Business Relation Protocol under which all co-investors are evaluated based on different perspectives, including compliance with human rights of all individuals.
- We value, listen to and respect all vulnerable groups.
- Our policies are clearly displayed on our website, including this one, to support the guidelines governing our actions.
- Our budgets include a line item for communications on respect and protection to disseminate and reinforce this commitment among the different stakeholders involved in the different projects, as required.
- We record and file information related to protection management, sharing best practices with the different vulnerable groups through different dissemination mechanisms.

7. HOW SHOULD WE ACT?

At Fundación Avina we have a Grievance Prevention and Management Procedure (See ETI - PR Grievance Prevention and Management), enabled on our website www.avina.net, through which we receive queries about projects that have been approved by Fundación Avina and present situations that require immediate attention and action by the organization, which may damage or have negative effects on people, including vulnerable individuals.

This procedure sets out guidelines applicable to the grievances received, opens the space to jointly search for solutions to issues of concern to different groups, systematizes the issues that arise in terms of attention and monitoring, and it harvests lessons learned and use them to improve our management.

Any and all communications received through this procedure are immediately reviewed by the Fundación Avina **Ethics Committee**, which will initiate a review process, evaluating the case and corresponding instance, handling the investigation if within its jurisdiction, searching for a solution and response for the corresponding party. It is important to note that each grievance recorded in the system will be processed jointly with the stakeholders who are directly involved both internally and externally to the organization.

Through its internal mail comitedeetica@avina.net this committee may also receive information on situations considered unacceptable behavior.

In the case of external grievances involving individuals involved in Fundación Avina's ally organizations, the internal protocols of the ally organizations will be respected. We will continue monitoring the due process and ensuring that it is governed by the legal principles established in the international policies on the subject matter.

8. RESPONSIBILITIES

Director and Management:

- Ensure that the team understands this Internal Policy of Respect and Protection of Individuals and prevention of unacceptable behavior.
- Give meaning to this policy by setting an example with their own behavior.
- Guide employees in situations that raise doubts.

Employees-individuals doing internships, volunteering or consulting:

- The principles of respect and protection of individuals should be reflected in their own behavior in all their fields of action.
- Identify and communicate any behavior that is not aligned with this perspective.

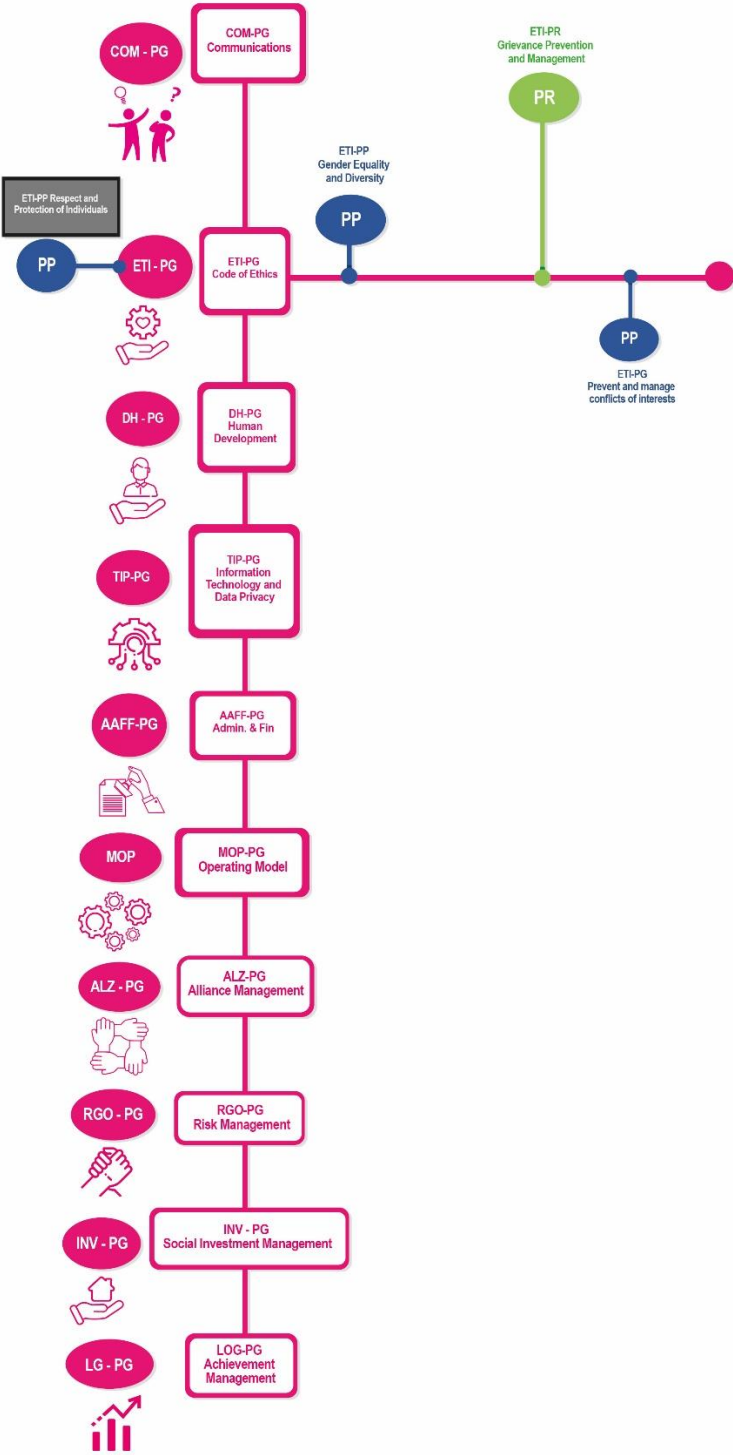
Ethics committee

- Assess and monitor the situation of respect and protection of people's rights internally and within the Avina ecosystem.
- Define and implement actions focusing on raising awareness and promoting practices based on respect and protection of individuals, discrimination prevention, inequality and inequity, prevention of harassment and abuse of power.
- All the areas of the organization maintain a permanent dialogue to uphold this policy as a living principle to serve as inspiration for all actions and to strengthen the institutional identity of employees and their immediate environment.
- Follow the progress and institutional challenges in respect and protection of human rights and promote improvements for the organization in this area.
- Review this policy on a yearly basis.
- Implement measures and controls, as needed, to comply with laws related to gender rights and equality in the countries where Fundación Avina operates.
- Analyze any situation where a violation of this policy is detected, and define and implement actions to prevent, sanction or repair the damage caused.
- Advise and support to employees involved in such situations.

- Reflect the respect for human rights and the protection of rights in vulnerable situations as well as the prevention of unacceptable behavior during the onboarding process of employees, assignment of positions/roles, training and professional development processes.



9. RELATED DOCUMENTS



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10. 9-GRAPHIC SUMMARY:

