

CGIAR Integrated Partnership Code of Ethics & Business Conduct for Personnel

Purpose and Application

- 1.1 This CGIAR Integrated Partnership Code of Ethics and Business Conduct for Personnel outlines the ethical principles and conduct standards expected of all Personnel within the CGIAR Integrated Partnership, a federated group of Centers and the CGIAR System Organization. This Code establishes expectations for professional behavior to foster trust, respect, and accountability within the diverse global network.
- 1.2 The definitions and terms in this document do not alter, change, or modify the terms and conditions or privileges and immunities of the individual Centers.
- 1.3 The Code provides a framework to ensure that all Personnel act in a way that upholds the CGIAR Integrated Partnership's reputation for ethical integrity and scientific excellence. It applies broadly to all categories of Personnel, including full-time and temporary staff, consultants, interns, service providers, and affiliated partners working within or for any CGIAR member organization, subsequently all covered parties are referred to generally as "Personnel". The broad use of the term 'personnel' under this policy shall not be construed to create an employer-employee relationship between any category of person indicated above with the CGIAR System Organization or any CGIAR Center.
- 1.4 This policy was written to complement and coexist with policies of sponsors and funding agencies and will be interpreted consistently where possible, with guidance sought internally from the ethics advisor, legal office, or other designated representative within their member organization.
- 1.5 This Code is not exhaustive. This Code provides minimum global standards for the Centers and System Organization of the CGIAR Integrated Partnership, the Code may be further developed, enhanced, or adapted by individual member organizations based on their specific needs and operational contexts. Each member organization of the CGIAR Integrated Partnership is responsible to prevent, detect, and respond to misconduct, unethical, or illegal acts which may occur through their activities. If a CGIAR Center or System Organization requires higher standards than those in this Policy, the higher standard shall apply.
- 1.6 In their actions and decisions, Personnel contribute to the CGIAR Integrated Partnership's global mission to deliver science and innovation that advance the transformation of food, land, and water systems in a climate crisis. Adhering to this Code fosters an ethical environment that strengthens public confidence and supports the CGIAR Integrated Partnership's efforts towards a world free of poverty, hunger and environmental degradation.

1.7 For questions or support interpreting this Code, Personnel are encouraged to consult their People & Culture / Human Resources unit, or other designated representative within their organization.

2. Guiding Ethical Principles

- 2.1 **Integrity & Honesty:** Personnel shall demonstrate the highest standards of integrity and act in good faith, with intellectual honesty and fairness.
- 2.2 **Impartiality & Objectivity:** Personnel shall avoid any bias arising from personal, financial, or political relationships and shall not allow personal views to interfere with their professional duties.
- 2.3 **Respect & Inclusion:** Personnel shall maintain a work environment that respects diversity, fosters inclusivity, and upholds the dignity of all colleagues.
- 2.4 **Accountability & Responsibility:** Personnel shall take responsibility for their actions, ensuring transparency in decision-making and the proper use of resources, and accurately reporting all financial information.

3. Workplace Conduct

- 3.1 **Conflicts of Interest:** Personnel shall avoid all situations where personal or financial interest conflict with the interests of the Center or System Organization for which they work and its role as a member of the CGIAR Integrated Partnership. Personnel shall promptly disclose any actual, perceived, or potential conflicts of interest in accordance with their organization's applicable policies and procedures, and take action, as advised, to mitigate conflicts, such as recusal from decision-making where conflicts exist.
- 3.2 **Civility & Respect:** Personnel shall ensure an atmosphere of mutual respect and understanding, appreciating the multicultural and international nature of the CGIAR Integrated Partnership.
- 3.3 **No Tolerance for Harassment, Discrimination, or Violence:** Any form of harassment, discrimination, bullying, or abusive behavior is strictly prohibited. Personnel shall be vigilant and proactive in maintaining a workplace free from such conduct.
- 3.4 **Confidentiality:** The protection of confidential and sensitive information is essential to the integrity of the CGIAR Integrated Partnerships. Personnel shall handle all information, and proprietary and private data responsibly and in accordance with the applicable policies of the Center or System Organization for which they work.
- 3.5 **Exercise of Authority:** Managers and supervisors shall use their positions responsibly, fostering a supportive and non-coercive environment, and role model and champion ethical behaviors.
- 3.6 **Intimate or romantic relationships:** Intimate or romantic relationships between colleagues shall not interfere with work or create an environment in which other colleagues may reasonably be expected to feel uncomfortable or professionally disadvantaged because of the relationship. In cases where there is a hierarchical or

supervisory relationship or function/role between two people engaged in an intimate or romantic relationship, they shall notify their respective supervisors and their human resource / People & Culture manager so that appropriate steps can be taken to avoid or mitigate an actual or perceived conflict of interest. In addition, there may be heightened risks or considerations under the CGIAR Integrated Partnership Anti-Harassment and Discrimination Policy when there are intimate or romantic relationships among colleagues.

- 3.7 **Anticorruption, bribery, and misappropriation:** In order to uphold the CGIAR Integrated Partnership's commitment to transparency, integrity and fairness in its operations, Personnel shall not engage in any type of illegal or unethical act. Such acts include, but are not limited to, the receipt or solicitation of a bribe; forgery or unauthorized alteration of any document; extortion; corruption; theft; conspiracy; embezzlement; misappropriation of funds, property or resources; false representation; concealment of material facts; and collusion. Personnel must not take improper advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of facts, or any other illegal or unethical trade practice.
- 3.8 **Prohibition of financing of terrorism and money laundering:** Personnel shall use their best efforts, and Centers and the System Organization shall establish and maintain appropriate preventative measures in place to ensure, that no direct or indirect support or resources are provided to individuals or entities involved in the financing or support of terrorism or money laundering.
- 3.9 **Prohibition of sexual exploitation or abuse and Human Trafficking:** Any act of sexual exploitation, sexual abuse, sexual violence, or other acts of a similar nature are prohibited. Personnel shall not engage in transactions with, or the provision of support to individuals or organizations associated with human trafficking.

See the CGIAR Integrated Partnership Safeguarding Policy: Protection Against Sexual Misconduct, Exploitation, Abuse, and Human Trafficking for more information.

4. External Activities

- 4.1 **Gifts and Honors:** The customary exchange of gifts or tokens of modest value is permitted if in accordance with the policies of each Center or the System Organization and may be a reasonable aspect of developing and maintaining business relationships. Personnel shall not attempt to influence external parties through payments, gifts, offers of employment, or otherwise unlawful conduct. Personnel are expected to follow all applicable procurement policies, processes and procedures. Personnel's offer or acceptance of hospitality, such as meals during the normal course of business or other reasonable business expenditure, is permissible provided it has the principal aim of establishing cordial business relations, provided it is also permissible under other CGIAR Integrated Partnership or member policy and local law. Personnel should seek approval in accordance with their organization's policies or procedures before accepting any gifts,

awards, or honors that could reflect poorly on the CGIAR Integrated Partnership or influence, or be perceived as influencing, fair, and objective decision making.

4.2 **Outside Employment:** Any external employment or board membership shall be disclosed and approved in accordance with relevant policy and procedures to avoid potential or perceived conflicts of interest.

4.3 **Political Neutrality:** Personnel may engage in personal political activities responsibly, such as voting or belonging to political parties, without implying the CGIAR Integrated Partnership's endorsement, or creating conflicts with their professional responsibilities. Personnel may not engage in any partisan political activity that may interfere with or conflict with their professional duties, or reflect adversely on the integrity, independence, or impartiality of their organizations or the CGIAR Integrated Partnership.

5. Integrity in Science & Research

5.1 Personnel shall demonstrate the highest standards of scientific and research integrity in any scientific research they undertake on behalf of the CGIAR Integrated Partnership, as further elaborated in the Research Ethics Code and other applicable policies.

5.2 Personnel shall avoid any action that would involve the unethical use of intellectual property.

5.3 Personnel must also ensure that there are no actual or perceived conflicts of interest that might call into question the validity or accuracy of their work.

6. Privileges, Immunities, and Compliance with Applicable local laws

6.1 Personnel shall abide by all applicable law and regulations. The privileges and immunities that may be enjoyed by Personnel are conferred solely in the interest of CGIAR Center or System organization through which they are employed, and do not exempt Personnel from observing applicable laws in the countries in which they are present in the performance of their duties.

7. Compliance & Reporting

7.1 **Duty to Report:** Personnel shall promptly report any known or suspected violations of this Code, misuse of resources, abuse of authority, or unethical conduct in accordance with the misconduct reporting procedures of their Center or System Organization.

7.2 **Good Faith Reporting:** Reports should be made in good faith in accordance with relevant procedures for reporting misconduct and contain sufficient detail to allow for proper assessment. Anyone who files a complaint that is known to be false or malicious, or with a reckless disregard for the truth of the statements made, may be subject to administrative or disciplinary action.

7.3 **Protection Against Retaliation:** The CGIAR Integrated Partnership shall maintain a whistleblower and protection from retaliation policy that protects individuals reporting misconduct in good faith from retaliation.

7.4 Consequences of non-compliance: Personnel's non-compliance with this code or any other policy, procedure, or rule may be considered as misconduct and may result in disciplinary action in accordance with applicable policies.

7.5 Confidentiality: All reports will be treated with the highest level of confidentiality, with information shared on a need-to-know basis, ensuring the protection of due process, adherence to applicable law, and the rights of all parties involved, subject to the immunities and privileges of the Center of System Organization.

8. Amendments

8.1 Amendments or updates may be made to the present Code to reflect evolving standards, and additional guidelines may be developed for specific contexts within CGIAR Integrated Partnership.

9. Relationship with Other Policies

9.1 This Code is intended to complement, not replace, other CGIAR Integrated Partnership policies, including those specific to Centers and the System Organization. It should be applied alongside relevant Personnel policies, procedures, and guidelines.

Annex A: Definitions

1. **Abuse of Authority:** The improper use of a position of influence, power or authority by an individual towards others, whether through a one-time incident or series of incidents. It is particularly serious when the alleged offender uses influence, power or authority to improperly influence the career or employment conditions of another, e.g., through decisions on assignments, contract renewal, performance evaluation or promotion.
2. **Bribery:** Bribery” or “bribe” means to directly or indirectly offer, promise, or provide a financial or other advantage (including hospitality or gifts and other expressions of appreciation in excess of a de minimus value) to another person or receive such an advantage in order to:
 - a) Induce or encourage the recipient to perform a function improperly;
 - b) Induce or encourage the recipient to expedite the performance of a routine government action; or
 - c) Reward the recipient for the improper performance of a function.
3. **Bullying:** Repeated offensive, cruel, intimidating, insulting or humiliating behavior that undermines an individual or a group of individuals. Bullying may be physical, verbal, visual or written.
4. **Conflict of Interest:** A situation in which Personnel have an actual, perceived or potential personal interest (whether financial, personal or otherwise) that may affect, or be affected by, the conduct of their duties and responsibilities with respect to the Center or System Organization they are employed by as a member of the CGIAR Integrated Partnership. A conflict of interest or appearance of conflict of interest may arise when:
 - a) Personnel’s private interests interfere or appear to interfere with the interests their organization;
 - b) Personnel take action or has interests that make it difficult to discharge his/her functions impartially and effectively and to discharge his/her official duties with only their organizations interests in mind; or
 - c) Personnel receive improper personal benefits as a result of his/her status or affiliation with the CGIAR Integrated Partnership. Conflicts of interest can be of a financial nature, arise from personal relationships/ family members, take the form of intellectual bias, or generate unfair or competitive advantage.
5. **Confidential Information:** All information disclosed, conveyed or otherwise made accessible to Personnel , either directly or indirectly, in any form, whether in writing, oral, visual, electronic or otherwise, that is designated “confidential”, or that the Personnel knows, or has reason to know, is confidential or sensitive or not generally available to the public, including the fact that such information has been delivered to member organizations of the CGIAR Integrated Partnership. It includes, but is not limited to, records relating to internal deliberative processes, such as internal notes, memoranda, and correspondence (including e-mails) among Personnel.
6. **Corruption:** The abuse or perversion of entrusted authority for private or unlawful gain.
7. **Disciplinary action:** Refers to a formal response or measure taken by an employer to address behavior or actions by an individual that violates established rules, policies, or standards. The purpose of disciplinary action is typically to correct undesirable behavior,

ensure accountability, and maintain a respectful and productive environment. Disciplinary action may include but is not limited to; verbal warnings, performance improvement plans, written warnings, suspension, demotion, and/or termination of employment.

8. **Discrimination:** Any unjustifiable differentiation between individuals or groups or the unjust or prejudicial treatment of different categories of Personnel, based on such grounds as a Personnel's race, gender, religion, nationality, ethnic origin, sexual orientation, disability, age, language, or any other protected characteristic under applicable law. It may constitute a series of events or a one-time incident.
9. **Financing of Terrorism:** Refers to the act of providing, collecting, or managing funds or resources with the intention, knowledge, or reasonable suspicion that they will be used to support terrorist activities. This financing can involve legal or illicit funds and may directly or indirectly benefit individuals, groups, or organizations engaged in terrorism.
10. **Fraud:** Obtaining a benefit or causing a loss by dishonest or other intentionally improper means through the knowing misrepresentation of the trust or concealment of a material fact to induce another to act to his or her detriment; this term applies to activities relating to the CGIAR Integrated Partnership as well as commercial fraud.
11. **Harassment:** Refers to any unwelcome or offensive conduct that has had, or might reasonably be expected to have, the effect of: (1) offending, humiliating, embarrassing or intimidating another person(s), and/or (2) creating an intimidating or hostile work environment and/or unreasonably interfering with another person(s)' ability to carry out their functions at work. See the Anti-Harassment Policy for more information.
12. **Intellectual Property:** The right to patents, copyrights, and trademarks and any other form of legally protected intellectual property with respect to goods and/or services and other materials which bear a direct relation to or are produced, prepared, or collected in consequence of or in the course of work.
13. **Money Laundering:** Includes, without limitation, the following types of actions:
 - a) the conversion or transfer of property, knowing that such property is derived from crime, for the purpose of concealing or disguising the illicit origin of the property or of assisting any person who is involved in the commission of the crime to evade the legal consequences of his/her actions;
 - b) the concealment or disguise of the true nature, source, location, disposition, movement, rights with respect to, or ownership of property, with the knowledge that such property was derived from a criminal offense; or
 - c) the acquisition, possession or use of property with the knowledge that such property was derived from a criminal offense.
14. **Sexual exploitation:** 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.
15. **Sexual Abuse:** refers to the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. This definition includes sexual relations with a child, defined as a "human being below the age of eighteen years" in the United Nations Convention on the Rights of the Child. Any person of any gender identity may be the victim of sexual exploitation. See Safeguarding Policy for more details.

16. Sexual harassment: Any unwelcome and unwanted behavior of a sexual nature, whether verbal or physical, that is offensive or creates a hostile or intimidating work environment. Sexual harassment may include unwanted sexual advances, unsolicited requests for sexual favors, or any other behavior of a sexual nature that might reasonably be expected or perceived to intimidate, cause offense or humiliation to another, when such conduct interferes with work or is made a condition of employment. See Anti-Harassment Policy for more detail.