



CGIAR

Ethics & Business Conduct

Annual Report

July 2021-July 2022

October 2022

Contents

ABOUT THIS REPORT	3
EXECUTIVE MANAGEMENT TEAM (EMT) MESSAGE	4
AUDIT, FINANCE, AND RISK COMMITTEE CHAIR MESSAGE.....	5
MESSAGE FROM THE HEAD OF ETHICS & BUSINESS CONDUCT	6
FUNCTIONS AND DEVELOPMENTS	7
POLICY DEVELOPMENT.....	8
TRAINING AND CULTURE	9
EXTERNAL OUTREACH	10
ADVISORY AND OMBUDSPERSON	11
OUTLOOK / AREAS FOR DEVELOPMENT.....	17
RESEARCH ETHICS.....	17
ENVIRONMENT, SOCIAL, AND GOVERNANCE	18
ANNEX I: CASE ANALYSIS	19
ANNEX II : CGIAR RESEARCH CENTERS.....	21
LINKS.....	22

ABOUT THIS REPORT

This is the first report of the independently established Ethics and Business Conduct function at CGIAR ("CGIAR Ethics"). This function is building off the key work done and continuing to be done by so many others, particularly at the CGIAR Centers, and in communities of practice around CGIAR.

CGIAR is in the process of seeking to transform its many current policies and practices and adopt a whole of CGIAR culture of ethics, integrity, responsibility, and accountability in accordance with the [CGIAR Ethics Framework](#). This role was given the authority and responsibility to design and steward implementation of the means by which CGIAR can implement a cohesive ethics culture across CGIAR as the glue that helps us operate as 'One CGIAR'. The concept of the function was to have a unit aligned with international best practice and, equally importantly, to be a

key business partner to Centers and to fully support CGIAR's overall mission. This report highlights the work done in the first year of operation of CGIAR Ethics, from July 2021- July 2022. Following messages from the Executive Management Team, and the Head of Ethics and Business Conduct, the report will cover the following areas:

- Functions and Developments
- Policy Development
- Training and Culture
- External Outreach
- Advisory and Ombudsperson
- Reporting
- Formal Complaints and Investigations
- Outlook/Areas to Develop

This report is intended to be available on CGIAR's website, in line with best practices and in the interest of transparency.

EXECUTIVE MANAGEMENT TEAM (EMT) MESSAGE

Ethics is absolutely pivotal to CGIAR succeeding in its mission. Ethics reflects on who we are and how we work, which together deliver impact.

This highlights the importance of the ethics function established this past year. Such a function is a hallmark of a modern and well-functioning workplace, and will only increase in importance as our ethics expectations and requirements and those of our stakeholders continue to increase, and for good reason. We are stewards of the public funds we receive, and we are deeply aware of the potential impacts we can have – positive and negative – on each other and on the communities and countries we work in. We must ensure that we are not only doing our mission, but that we are doing it right.

CGIAR Ethics has a huge opportunity, as we continue the One CGIAR journey, to bring workplaces across CGIAR up to high standard and to keep us there as we continually improve. We must also be a true thought leader on research ethics and in finding innovative ways to link ethical considerations and operations with funding opportunities.

We support the fastest possible implementation of this new approach to exhibit best practice and be a leader in ethics. This will require a big push on ethics at all levels, requiring collaboration and continued learning to improve how we operate. Doing this in a transparent and open way will be key. We are excited to support this and to have CGIAR Ethics working on these issues across CGIAR, in conjunction with many key stakeholders at Centers.

AUDIT, FINANCE, AND RISK COMMITTEE CHAIR MESSAGE

CGIAR's Audit, Finance, and Risk Committee (AFRC), welcomes the first edition of the Ethics Annual Report, which highlights the ongoing commitment of the CGIAR Boards, management and staff to building an organizational culture which upholds the highest ethical standards.

This report also demonstrates the value of establishing an independent Ethics and Business Conduct function ("CGIAR Ethics") that serves all CGIAR Centers, Alliances and the System Organization. The important steps taken to consolidate, streamline and strengthen ethics and integrity process across the system are noticeable. CGIAR Ethics is commended for serving as a partner to Centers, while still prioritising training and culture development in the function's first year of operation.

As highlighted in the report, the development and implementation of CGIAR-wide ethics policies are a key milestone on CGIAR ethics journey. The AFRC will continue to advocate for and support CGIAR Ethics with the implementation of these policies in 2023. These CGIAR-wide policies will underpin a

strong ethics culture and enable standardized and transparent reporting to the AFRC, Boards, funders and ultimately to the public at large.

Stakeholder's expectations relating to ethics and integrity matters continue to evolve, which is especially the case for CGIAR, as a publicly-funded institution. Maintaining the high standards set will require continued prioritisation of ethics at all levels and in all the communities and countries CGIAR works in. This is a responsibility owned and shared by all CGIAR Boards, management and staff. The AFRC commends the collaborative and continued learning approach adopted in this past year and is encouraged to see the commitment to building additional capacity in the areas of research ethics and environmental, social and governance (ESG).

The Committee looks forward to continuing to provide oversight and supporting the adoption of a whole of CGIAR culture of ethics, integrity, responsibility, and accountability.

MESSAGE FROM THE HEAD OF ETHICS & BUSINESS CONDUCT

CGIAR's appreciation of the importance of the ethics function, and of governance and assurance generally, is a tremendous positive. It has been a privilege to support CGIAR on its ethics journey this past year. The office has had great support from the EMT, Centers, the Audit, Finance, and Risk Committee (AFRC), the System Board and System Council, and key leaders in Governance & Assurance, People & Culture, Legal, and more.

Ethics is a critical area for international organizations and is only growing in importance. This is especially true for the incredibly important and geographically dispersed organizations that constitute CGIAR. The fact that we do such an incredible mission still requires us to ensure that we do that mission right.

The primary focuses this first year have been building capacity and awareness. This takes time and has been complicated by the changing nature of the One CGIAR transition. But key functions have been established. It is anticipated that the core team will be fully in place next year, allowing a more strategic focus. And from the start, CGIAR Ethics has served as a partner to Centers on investigations, on providing timely and confidential advice, on training, and on stressing the importance of ethics in all we do. This will continue, with the hope to continually increase cooperation, including via Center-based ethics champions.

CGIAR's [Core Ethical Values](#) have been the guiding principles and have served the office well, in conjunction with Center codes of ethics. Consistency is key and there is scope to align policies and ensure

that all CGIAR staff, wherever located, have the same rights and ethics responsibilities (taking into account local context if necessary). As such, a key initiative is drafting core CGIAR-wide ethics policies that should be adopted this fall, as discussed herein.

There are areas for improvement, which should always be the case, particularly in the constantly evolving world of ethics. One primary area is in transparency, both within CGIAR and externally. CGIAR is continuing to improve to where all ethics complaints are immediately reported to the ethics function, consistently and cooperatively addressed via investigations that respect due process, and are reported in a standardized manner to the AFRC and to funders – and to the public at large. As a publicly-funded institution, we owe that to the larger community and to ourselves. As noted below, under the current system, cases *are* being reported on and addressed; the key is making this more consistent and systematic.

CGIAR Ethics has been asked to delve further into critical areas, including research ethics, an independent redress mechanism (IRM), and environmental, social and governance (ESG) issues. CGIAR Ethics will do this while continuing to fulfil its core functions. Indeed, in these CGIAR Ethics can be a critical business partner and raise the profile of the work we do.

It would be impossible to thank the many people at CGIAR working hard toward making CGIAR a model of excellence in ethics. I can only say that the support is greatly appreciated, and I look forward to continuing this journey together.

FUNCTIONS AND DEVELOPMENTS

The Ethics and Business Conduct function was established in July 2021 to report directly to the Audit, Finance, and Risk Committee.¹ It was envisioned to have three classic international organization ethics office roles: (1) policy development; (2) training and culture development; and (3) advisory (providing confidential, individualized advice on ethics matters). In addition, CGIAR Ethics has (4) supported investigations into alleged misconduct at CGIAR Centers worldwide² and has (5) been actively working on the development of internal justice/dispute resolution (DR) mechanisms.³

CGIAR Ethics currently has a core team of three – the Head, a Case Manager/ Associate and an Executive Assistant. CGIAR Ethics also benefitted from initial part-time support of an Associate from Board and Council Relations. CGIAR Ethics has also recruited a Deputy, who is scheduled to begin in October 2022, and is well advanced in the process of hiring a Chief Investigations Officer as part of Phase 3 of One CGIAR recruitment.

Based upon strong demand from Centers, CGIAR Ethics is expanding into scientific and research ethics as discussed further below. Other areas of work under development are set out below as well.

¹ There is also administrative reporting to the Global Director, Governance and Assurance.

² In many international organizations this is housed in a separate office of investigations/investigations function.

³ In most international organizations this is also a separate office/function and often most closely interacts with Legal. Here the plan is to create a mechanism that will run independently from the ethics function.

POLICY DEVELOPMENT

CGIAR-wide policy development has been challenging due to uncertainty about the exact structure of One CGIAR and the approval levels/authorities for various policies. However, policy support is and has been provided to Centers on an as-requested basis, including coordinating policies between Centers in order to meet bilateral funder requirements.

In addition, there is broad support, including within multiple communities of practice across CGIAR, on adopting key ethics policies on a CGIAR-wide basis. This will help with consistency and help show the commitment of CGIAR – and Centers – to best practices in the ethics space.

The first set of these policies was drafted based on existing CGIAR Center policies, prior drafts from working groups and CGIAR communities of practice, and through consultation with leading ethics experts worldwide. The planned initial set of four policies consists of: The Code of Ethics and Business Conduct; Policy on Protection Against and Prevention of Harassment and Discrimination; Policy on Whistleblowing and Protection from Retaliation, and Safeguarding Policy – Protection Against and Prevention of

Sexual Misconduct, Exploitation and Abuse, and Human Trafficking. In addition, an Investigations Manual will be under the remit of the incoming Chief Investigations Officer, to help ensure investigations – no matter who conducts them – are more uniform, are properly documented, respect due process rights, and are more in line with international best practice including international tribunal jurisprudence.

A Conflicts of Interest Policy and a Dispute Resolution Policy are also in development. The Dispute Resolution Policy required a rethink due to the variances among Centers and the ebb and flow of One CGIAR, but CGIAR Ethics is actively working on proposing a system – unique in the world of international organizations – to accommodate the myriad interests at stake, including important issues related to regional nuances and respecting host country laws. However, this still requires more clarity on the precise nature of One CGIAR and the authorities thereunder.⁴

Additional policies will be coordinated with internal audit, including on anti-fraud, anti-money laundering, and combatting the financing of terrorism (AML/CFT).

⁴ For dispute resolution there is currently a reliance on existing Center policies, some of which do not contemplate an appeal mechanism independent of the Center management itself or, in some instances, from the decision of a single individual. This is potentially detrimental to staff member rights and a liability risk, which many Centers fully appreciate. As such it is hoped that efforts to move quickly to a dispute resolution process(es) will bear fruition and will have the support of the Centers most at risk. Only the Alliance of Bioversity and CIAT and the CGIAR System Organization currently have an independent appeal mechanism (both to the International Labour Organization Administrative Tribunal, ILOAT).

TRAINING AND CULTURE

A key focus of this first year of the ethics function was training and culture development. While training on CGIAR-wide policies was not possible due to those policies still being at the Center level, there were numerous opportunities for training of various kinds, including incorporating Center-specific policies. The training frequency greatly increased in 2022 and there is ever-increasing demand.

Since July 2021, CGIAR Ethics made 41 presentations to CGIAR staff, including training sessions, presentations as an invited guest in-person or virtually with numerous Centers (including six separate offices of the Alliance, ILRI, ICARDA, and the System Organization), as well as events open to general CGIAR attendance. This also included 17 sessions with communities of practice and team leaders around CGIAR, and participation in the People & Culture Community of Practice retreat.

The topics of training have varied around core ethics training, but have also

incorporated elements of respectful workplaces, what it means to be an “international civil servant” at an international organization, and more. In addition, CGIAR Ethics set up ethics training sessions with the Institute of Directors South Africa for all CGIAR Center and entity Board members. These are ongoing, with to date about 1/3 of Directors having attended.

Another aspect of training was the production and release of a “CGIAR: Taking our ethics to 2022 and beyond” video. CGIAR Ethics hopes to produce additional video content soon.

CGIAR Ethics will continue to make efforts to reach out to Centers and CGIAR staff and is anticipating training events at a number of Centers in the near future, including IITA, IRRI, AfricaRice, IWMI and WorldFish. It is hoped that ethics training – along with other core training, such as in Gender, Diversity and Inclusion (GD&I) – will be mandatory across CGIAR in the years to come, which is already the case at a number of Centers.



EXTERNAL OUTREACH

From the inauguration of CGIAR Ethics there was significant outreach to seek guidance and support but, of equal importance, to signal the creation of the function at CGIAR and to signal CGIAR's desire to join the international organization ethics community. CGIAR Ethics met with over 21 senior ethics professionals at international organizations and non-profits, including from the World Bank Group, the Organisation for Economic Co-operation and Development, the European Bank for Reconstruction and Development, the Asian Development Bank, the Global Fund, Gavi, the Green Climate Fund, the Food and Agriculture Organization, the International Monetary Fund, and more.

In April 2022 the CGIAR Ethics Head co-taught a session of the International Labour Organization's course on Managing Employment Disputes Effectively in International Organizations, in conjunction with the Deputy Unit Head, Administrative Law of the International Monetary Fund. This course was attended by 24 senior professionals from a range of prominent international organizations, helping to highlight the work of CGIAR and

the ethics function to the larger international organization community.

CGIAR Ethics also participated in three major international ethics conferences – the Ethics and Compliance Initiative's "IMPACT 2022" conference, Compliance Week Europe's Annual Virtual Conference and the CGIAR Gender Platform's "Cultivating Equality" conference of 2021, and was an invited guest to Bloomberg Media's "Environmental, Social, and Governance (ESG) House" in June 2022.

CGIAR Ethics hopes to increase this robust engagement in the coming year. With one year of the office being established, there should be increased scope for publications, presentations, media outreach, and more. The hope is to increase the visibility of CGIAR in a number of areas including the international organization and ethics spaces, the research ethics and ESG spaces (as discussed more below), and more, to help CGIAR become – and be seen as – a thought leader in the world of international and organizational ethics.

ADVISORY AND OMBUDSPERSON

A key function of CGIAR Ethics is providing individual, confidential advice on a range of issues. This can include providing advice on policies, “pre-complaint” advice (i.e., if someone is contemplating making a formal complaint but wants more information on what the legal requirements are regarding, for example, for harassment), vetting conflicts of interest, etc. As of end-July 2022, CGIAR Ethics addressed 96 independent requests. These are received via multiple sources, including the ethics inbox (ethics@cgiar.org), referrals from Centers, in-person open sessions, and more.

In this role CGIAR Ethics is not acting as an advocate for the individual (i.e., it does not⁵ As the function develops, and particularly once there are uniform CGIAR ethics policies, the hope is for CGIAR Ethics to provide a safe harbor as a “one-stop-shop” for staff members.

The breakdown of advisory issues is set out below (Chart A). There were many questions about policies, which is understandable in light of there being no CGIAR-wide policies on a range of issues. The other major area of inquiry was interpersonal misconduct, including harassment and discrimination. There were very few concerns regarding sexual harassment; the most common theme was of potential bullying and general mistreatment, as well as concerns

represent the individual in a case against the organization, another staff member, etc.) nor for CGIAR (i.e., it is not defending CGIAR as in-house legal counsel might). Instead, the role is to independently consider issues in light of CGIAR’s Core Ethical Values and to provide information and recommendations. This is done, when relevant, with the appropriate parties at Centers while ensuring confidentiality since, at present, CGIAR Ethics is not able to provide a safe harbor (e.g., from a misconduct finding). As such, it is required to confirm with an entity – with the consent of the individual concerned – on any particular recommendation if it is to be binding.

regarding respectful workplaces and respect for colleagues. Unfortunately, these concerns were expressed even at, and sometimes directed toward, high levels of the organization, with concerns over actions and behaviors that, even if they might not amount to misconduct, were viewed as not being respectful. This is particularly concerning in light of the international nature of CGIAR and its Core Ethical Values, including Dignity and Respect.

Another advisory area that is growing has been in conflicts of interest. This is most welcome as it highlights that an increasing number of staff members are aware of potential conflicts and are taking the

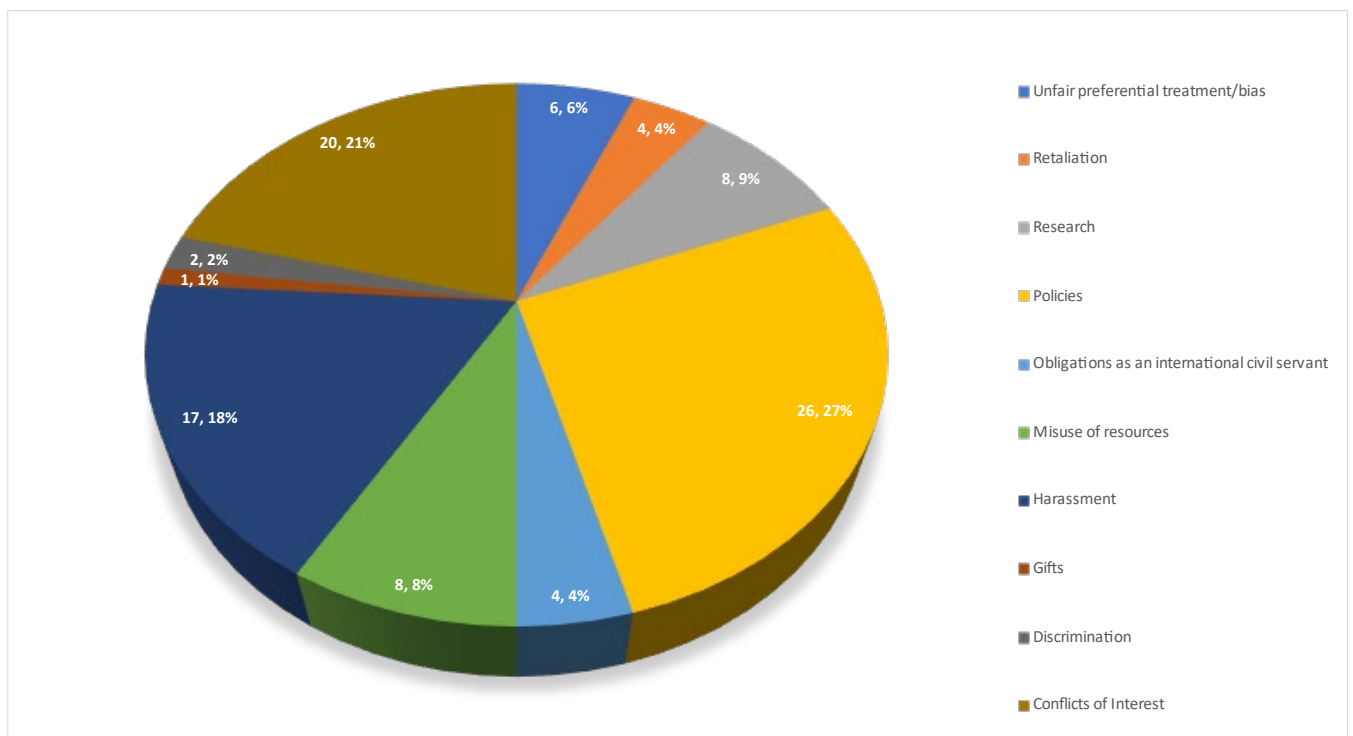
⁵ For example, if a staff member is seeking approval on a conflict of interest, CGIAR Ethics can provide its view but will liaise with the Center that is the employer of record – confidentially, and with the consent of the staff member – to ensure the Center agrees.

initiative to seek guidance. Conflicts of interest is an area that will require more work and consideration by CGIAR Ethics in the near future.

Finally, CGIAR Ethics arranged a contractual ombudsperson to be available to all staff. The ombudsperson is independent, impartial, and confidential, and acts as an informal resource to help to listen to concerns and complaints and

help staff explore options to resolve the issue. The availability of an ongoing ombudsperson (or people) will be continually assessed depending on use, demand, etc, including to consider whether additional capacity – including in multiple languages – might be necessary. The hope is there will be good demand for such invaluable services, and the ombuds function can then be built up accordingly.

Chart A: Advisory issues



REPORTING

Under current financial framework agreements, there is a duty on CGIAR Centers to promptly inform the CGIAR System Organization if there is a credible concern of financial irregularities⁶ in connection with the implementation of activities financed by Window 1, 2 and 3 Funds. The CGIAR System Organization carries the duty to promptly inform funders.⁷ In addition, under annual Decision Letters, there is a requirement to report a credible concern of interpersonal misconduct⁸ in connection with the implementation of activities financed by Window 1, 2 and 3 Funds.⁹ In practice, this interpersonal misconduct requirement covers all employees of CGIAR since there is a high likelihood at least some portion of their work or

funding is from those funds, absent clear evidence to the contrary.

Reporting is done via several mechanisms. The primary means has been via the AFRC as well as the Assurance Oversight Committee of the System Council.¹⁰ In addition, Centers have reported directly to bilateral funders as necessary, and members of the System Council have been informed as needed on an *ad hoc* basis. In addition, an annual certification process, whereby CGIAR Centers are required to submit a Letter of Assurance to the CGIAR System Organization, helps ensure nothing is missed. This Annual Report is also a means to encapsulate the cases this past year and provide a broad overview.

⁶ “Financial irregularities” is defined as: “a. corruption, including bribery, nepotism and illegal gratuities; b. misappropriation of cash, inventory and all other kinds of assets; c. financial and non-financial fraudulent statements; and d. other use not in accordance with the agreed work programs and financing plans.”

⁷ This is not to the exclusion of bilateral reporting requirements of Centers.

⁸ The full language states:

“(a) Centers will take all reasonable necessary measures to avoid, prevent, detect and manage interpersonal misconduct (such as harassment, sexual harassment, sexual exploitation and abuse and other forms of interpersonal misconduct) in connection with the implementation of activities financed by Window 1, 2 and 3 Funds in accordance with applicable CGIAR Policies and the relevant entities’ own policies and procedures as applicable.

(b) In the event that there is a credible concern of interpersonal misconduct in connection with the implementation of activities financed by Window 1, 2 and 3 Funds, Centers will take swift and appropriate action to stop the misconduct, investigate any suspected misconduct and initiate other corrective measures as relevant in accordance with applicable CGIAR Policies and the relevant entities’ own policies and procedures as applicable.

(c) Centers will promptly inform the System Organization and any relevant Lead Center(s) if there is a credible concern of serious interpersonal misconduct in connection with the implementation of activities financed by Window 1, 2 and 3 Funds. Centers will specify the nature and impact or scope of the concern, as well as the corrective measures initiated. These provisions will apply unless and until replaced by the relevant section expected to be included in escalation procedures upon approval by the System Council.”

⁹ In practice any interpersonal misconduct allegation should be reported, absent a clear, affirmative showing by a Center that none of the employee salaries or programs worked on at any point – whether related to the accused or any parties involved – involve any Window 1, 2, or 3 Funds.

¹⁰ It is understood this committee is undergoing revisions and as such the reporting to this committee, and its name, may change.

In the coming year CGIAR Ethics will propose a number of revisions to continually improve reporting, relying on CGIAR Centers to promptly inform CGIAR Ethics of all potential and actual cases.¹¹ This discussion and notification is essential to ensure consistency in addressing and reporting issues, and indeed can help with crisis management.¹² As noted below, a part of this is continuing the call for all Centers to

use CGIAR's singular whistleblowing hotline to the maximum extent possible.

There are many positive signs. Multiple critical cases have also demonstrated excellent collaboration and coordination among Centers and teams – ethics, internal audit, human resources/people and culture, senior management, and Boards. These difficult issues have been dealt with in a thoroughly professional manner.

¹¹ And, indeed, it is important to rely on CGIAR Ethics' professional expertise in helping determine what is reportable or not.

¹² There has been great progress during this first year in Centers informing CGIAR Ethics of cases, resulting in what is likely an increase in overall reporting – and likely not an increase in underlying issues – compared to prior years. There is always room for improvement and continued dialogue. It is expected, at an organization the size of CGIAR and in the environments Centers operate in, that there would be some incidents, and in the view of CGIAR Ethics the important thing is how CGIAR has been transparent in reporting and addressing them, as well as what steps can be taken to reduce the risk of future incidents. Everyone understands that an issue any Center can impact other Centers (i.e., the issue would be viewed by the public as a “CGIAR” issue), so it is important to continue to work on reporting and addressing issues in a uniform manner.

FORMAL COMPLAINTS AND INVESTIGATIONS

CGIAR Ethics secured, based on direction by the AFRC, assurances that all CGIAR Centers have an available whistleblowing hotline, all via one external provider. CGIAR Ethics has also requested that all Centers make a link to the reporting hotline clear on their website(s), and almost all have since done so. As noted above, the next stage will be to continue to recommend that Centers transfer their individual hotlines to the one at the One CGIAR level (i.e., with CGIAR Ethics), www.lighthouse-services.com/cgiar, in order to lower costs, gain efficiency, and to ensure maximum transparency in reporting and addressing issues.

CGIAR Ethics also established a case tracking mechanism, led by a Case Manager (Associate), to support all Centers and CGIAR-level complaints. The Case Manager and case management system have been essential in supporting and shepherding investigations at

numerous Centers and working closely with Center-level staff.

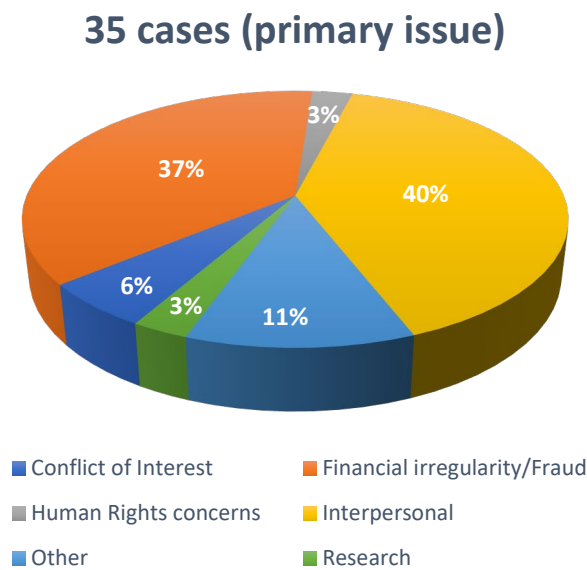
The process a complaint follows depends to a degree on where it is filed – either at a Center and reported to CGIAR Ethics, or reported directly to CGIAR Ethics and then discussed with a Center. But either way it is a collaborative process to help identify the nature of the issue, to conduct a preliminary review, and determine if an investigation is required. One consideration is who will do the investigation – whether it be at the Center level, relying on resources at Internal Audit or People and Culture, or elsewhere, having CGIAR Ethics conduct the investigation, or having an external investigator. There is also a level of review by CGIAR Ethics in all cases that Centers report early enough to CGIAR Ethics for engagement, so that Centers can ensure they are following best practices and due process.¹³

¹³ Centers that report simply after the fact may be missing out on this valuable additional assurance and service from CGIAR Ethics, which is there ultimately to help ensure best practices and, in that respect protect Centers from potential liability. As such, as noted in “Reporting”, all Centers are encouraged to discuss issues with CGIAR Ethics at the earliest point possible.

The breakdown of cases reported, in one form or another, is set out in Chart B below. The vast majority of these do not meet the technical reporting thresholds of the System Organization to funders – whether due to being only bilateral funds

involved, being non-credible, or being a different type of issue than those covered. These are being included here to provide a more transparent picture of the complaints and issues being addressed across the CGIAR system.

Chart B: Formal Cases



Some quick takeaways are obvious. Key areas of harassment, discrimination, and mistreatment again come to the fore. This is addressed in “advisory” above, but in the view of CGIAR Ethics this is a sign that we need to collectively reflect on how we treat each other and staff, how we ensure we treat those with dignity and respect, and importantly that we do not neglect the importance of gender, diversity, and inclusion in *all* we do.

Another prominent area is financial irregularities. This is not a surprise considering how and where CGIAR Centers operate, in often challenging environments. It is a positive that these issues have come to light, generally with a

significant lead by Internal Audit, and that actions are taken rapidly to address.

In the view of CGIAR Ethics, the increased caseload from prior years is a positive sign. It is far more likely that we are simply getting increased *reports* and not increased *incidents*. A number of reports also related to alleged incidents in prior years, which perhaps indicates a newfound willingness to come forward. How these cases are dealt with – and being as transparent as possible with the staff and the organization as a whole while being respectful of privacy concerns – will be key in encouraging continued whistleblowing and reporting.

OUTLOOK / AREAS FOR DEVELOPMENT

RESEARCH ETHICS

There have been numerous calls around CGIAR for support on research ethics. This includes programmatic support, such as working with the Gender Equity in Research initiatives and proactively reviewing initiatives and programs for potential ethics issues, as well as potentially setting up CGIAR-wide or regional Institutional Research Ethics Committees (IRECs) / Institutional Review Boards (IRBs), which are currently being done at the Center level but with some Centers providing support to others.

This is a complex area to meet relevant national requirements as well as, for example, requirements for publication of CGIAR articles in major academic and

other journals. In addition, there are, on occasion, research ethics questions that come out of investigations and complaints.

It is hoped to develop this function further to have responsibility for: (1) programmatic support; (2) developing an IREC/IRB system that works for CGIAR; and (3) supporting investigations and research ethics queries/requests for advice as they arise. This will be a challenging area considering the breadth and depth of CGIAR's research, and will rely heavily on ongoing cooperation with Centers and focal points within them.

INDEPENDENT REDRESS MECHANISM

An area that CGIAR Ethics will seek to address in the coming year is the need for an independent redress mechanism (IRM) for external parties who are or may be affected by CGIAR's projects or programs (see, for example, the Green Climate Fund's IRM at [Independent Redress Mechanism | Green Climate Fund](#)). Having such a mechanism is a requirement for multiple funders.

This function is *effectively* already performed by CGIAR Ethics, as CGIAR Ethics has and will continue to address external complaints in addition to those arising from staff members. In practice,

the process to address these issues is similar to an internal complaint by a staff member or contractor, whereby CGIAR Ethics will work closely with the relevant Center(s).

However, increasingly funders require that an IRM be clearly designated as such and linked on the website for outside parties to use. Accordingly, CGIAR Ethics will revise the website to reflect this function and seek to encapsulate it in a more formal manner. CGIAR Ethics will seek to work directly with the Green Climate Fund's technical assistance team to align with best international practice.

ENVIRONMENT, SOCIAL, AND GOVERNANCE

Another area that CGIAR Ethics seeks to become more engaged in is with the Environmental, Social and Governance (ESG) space. ESG traditionally related to investing; i.e., seeking to align investments with goals of sustainability, social benefit, and governance issues. However, the term has transcended the investment space and is increasingly used to refer to organizations conducting holistic reviews of their operations along these three lines; i.e., measuring an organization's impact on society, the environment, and how transparent and accountable the business is.

CGIAR Ethics hopes to support this important work as it is already doing to a degree. This would include supporting

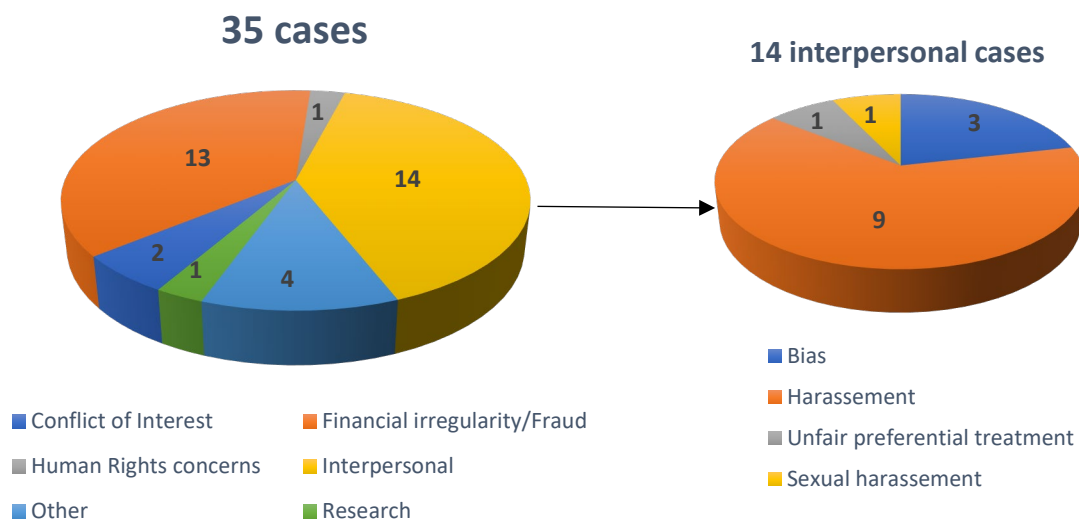
Contemplated initiatives include better tracking the carbon footprint across CGIAR, identifying relevant standards, making efforts to identify and address any

and working with CGIAR finance teams as they consider possible innovative products and potential finance sources that might be seeking ESG-type investments, and what the requirements and applicable standards would be. On a broader corporate level, this relates to ensuring that CGIAR itself is adhering to best practices; i.e., that its mission – as essential as it is – takes into account CGIAR's own impact (for example CGIAR's carbon footprint and ESG considerations in procurement, infrastructure and more) and that CGIAR does not overlook other areas such as social impacts and governance. Indeed, CGIAR is already taking this into consideration, including via extensive work on Gender, Diversity, and Inclusion.¹⁴

gaps, and more. This will require a multi-disciplinary approach, working across Centers and with many key stakeholders.

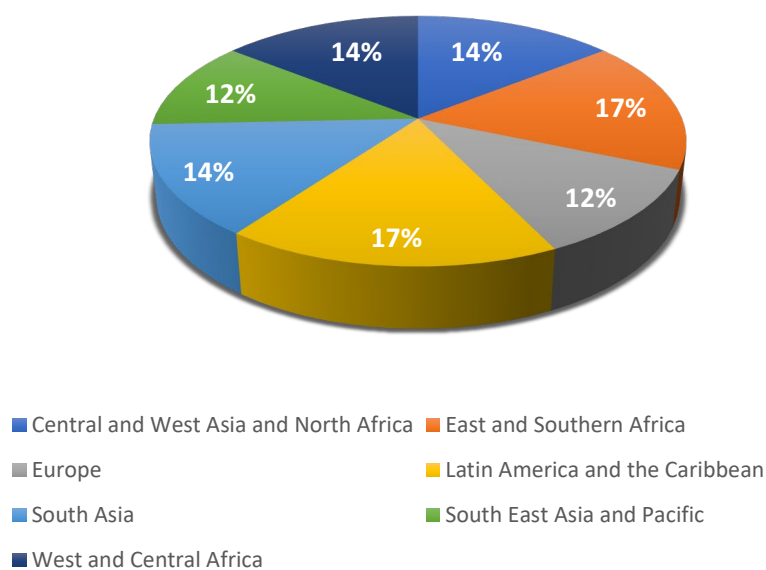
¹⁴ As an example, CGIAR Ethics presented at a webinar on the CGIAR GENDER Platform's Gender Research Ethics Toolkit, and hopes to deepen this engagement in the future to highlight the interconnectivity of these issues.

ANNEX I: CASE ANALYSIS



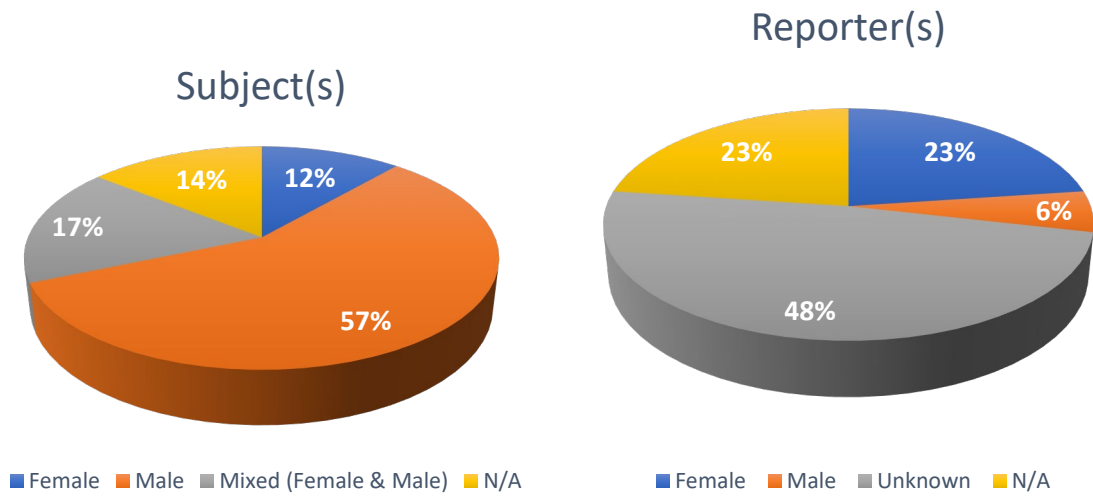
- 64.3% of interpersonal cases were allegations of harassment, 21.4% of bias.
- In 3 other cases where the primary issue was not interpersonal related, the secondary issue was.

CGIAR locations

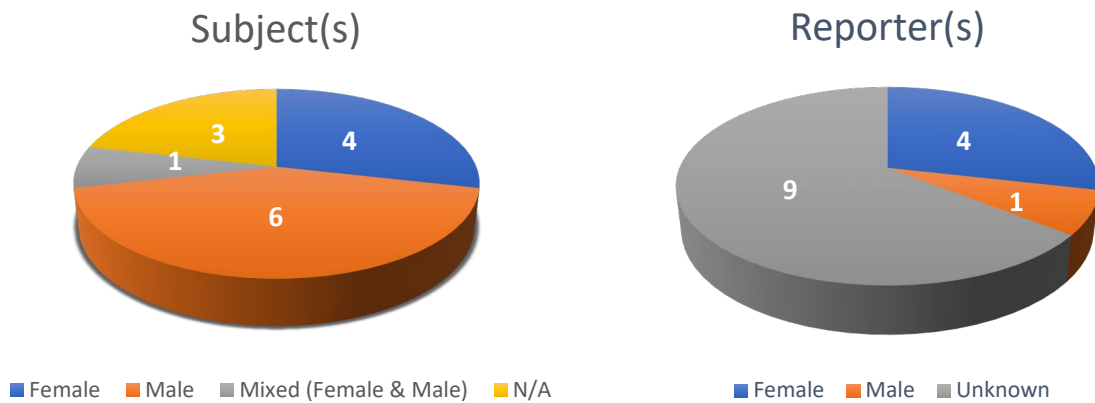


Gender

All cases



14 interpersonal cases



Other data

- *In 83% of cases, the allegations were against members of staff occupying management positions*
- *In all but 1 of the 14 interpersonal cases, the allegations were against direct line managers*

ANNEX II : CGIAR RESEARCH CENTERS



CGIAR Member Center Headquarters



● The Africa Rice Center (AfricaRice)

[Ethics at AfricaRice](#)



● The Center for International Forestry Research (CIFOR)

[Ethics at CIFOR](#)



● The International Center for Agricultural Research in the Dry Areas (ICARDA)



● The International Institute of Tropical Agriculture (IITA)

[Ethics at IITA](#)



● The International Water Management Institute (IWMI)



● Bioversity International

[Ethics at Alliance](#)



● The International Maize and Wheat Improvement Center (CIMMYT)

[Ethics at CIMMYT](#)



● The International Crops Research Institute for the Semi-Arid Tropics (ICRISAT)



● The International Livestock Research Institute (ILRI)

[Ethics at ILRI](#)



● World Agroforestry (ICRAF) [Ethics at ICRAF](#)



● The International Center for Tropical Agriculture (CIAT)

[Ethics at Alliance](#)



● The International Potato Center (CIP)

[Ethics at CIP](#)



● The International Food Policy Research Institute (IFPRI)

[Ethics at IFPRI](#)



● The International Rice Research Institute



● WorldFish

CGIAR Research Centers as of 31 December

LINKS

[https://www.cgiar.org/how-we-work/accountability/ethics/
Core Ethical Values](https://www.cgiar.org/how-we-work/accountability/ethics/Core%20Ethical%20Values)
ethics@cgiar.org
www.lighthouse-services.com/cgiar
[Independent Redress Mechanism | Green Climate Fund](#)



CGIAR is a global research partnership for a food-secure future. CGIAR science is dedicated to reducing poverty, enhancing food and nutrition security, and improving natural resources and ecosystem services. Its research is carried out by 15 CGIAR Research Centers in close collaboration with hundreds of partners, including national and regional research institutes, civil society organizations, academia, development organizations and the private sector.

CGIAR System Organization

1000 Avenue Agropolis
34394 Montpellier France

Tel: +33 4 67 04 7575

Fax: +33 4 67 04 7583

Email: contact@cgiar.org

www.cgiar.org