



# CGIAR Code of Ethics and Business Conduct for CGIAR Staff

## Table of Contents

<b>1.</b>	<b>Purpose, Application and Relationship to Other Policies and Procedures .....</b>	<b>4</b>
1.1	Purpose	4
1.2	Application	4
<b>2.</b>	<b>Definitions .....</b>	<b>5</b>
<b>3.</b>	<b>Guiding Principles .....</b>	<b>8</b>
3.1	Duty of loyalty as an International Civil Servant	8
3.2	Integrity	8
3.3	Impartiality	8
3.4	Conflict of interest	8
3.5	Tact, reserve and discretion	9
3.6	Protection of confidential information	9
3.7	Beneficiary safety and child protection prohibition of sexual exploitation and abuse	9
3.8	Privileges and immunities/compliance with applicable local laws	9
<b>4.</b>	<b>Workplace Conduct.....</b>	<b>11</b>
4.1	Civility in the workplace	11
4.2	Prohibition of discrimination, harassment and sexual harassment	11
4.3	Exercise of authority	11
4.4	Accuracy of records	12
4.5	Anticorruption, bribery and misappropriation	12
4.6	Prohibition on financing of terrorism and money laundering	12
4.7	Scientific integrity and ethics	12
4.8	Protection of confidential information	12
4.9	Health, safety and security	13
4.10	Protection and use of CGIAR’s property and resources and access to information on use	13
4.11	Intimate or romantic relationships	14
4.12	Other obligations and responsibilities	14
4.13	Special responsibility of managers and supervisors	14
<b>5.</b>	<b>External Activities.....</b>	<b>15</b>
5.1	Gifts, awards and honors	15
5.2	Financial activities	15
5.3	Outside employment	15
5.4	Political activities/ political office	16
5.5	Prospective and post-employment restrictions	16
<b>6.</b>	<b>Compliance.....</b>	<b>17</b>
6.1	Duty to comply with CGIAR policies, rules and procedures	17
6.2	Consequences of non-compliance	17
6.3	Personal liability for losses due to negligence or contravention of policies	17
6.4	Duty to report misconduct	17
6.5	Protection against retaliation (“Whistleblower” protection)	17
<b>7.</b>	<b>Authority and Relationship to Other Policies and Provisions .....</b>	<b>18</b>
7.1	Authority to approve derogations to the Code	18
7.2	Authority to amend the Code and issue implementing orders or guidelines	18
7.3	Relationship to other policies and provisions	18

## Preamble

In order to fulfill its mission to reduce poverty, improve food and nutrition security, and improve natural resources and ecosystems, both CGIAR<sup>1</sup> as an institution and its staff have an obligation to meet the highest standards of ethical conduct, accountability, efficiency, and respect towards others. This Code of Ethics and Business Conduct has been developed with these objectives in mind. Given that, in their interaction with external entities, Staff are the face of CGIAR, the conduct of Staff is a direct reflection on CGIAR's values and principles. By following both the language and spirit of this Code, all persons working for CGIAR contribute to fostering and maintaining the public trust and confidence necessary for CGIAR to accomplish its mission, as well as creating a positive, productive, and motivating work environment.

The Code is intended to incorporate in the required standards of behavior the guiding principles set out in Part III, as well as CGIAR's Core Ethical Values of Integrity, Dignity and Respect, Sustainability, Excellence and Innovation, and Partnership. Every Staff member is expected to act responsibly at all times in the discharge of that staff member's duties and to avoid any action which may reflect unfavorably on that person's professional image or be detrimental to CGIAR's interests. CGIAR will not tolerate or condone illegal or unethical behavior and will hold accountable anyone who violates these standards.

This Code has been written in broad terms in order to apply across the Organization, but its provisions are not, and cannot be, exhaustive. It is not possible to describe all forms of acceptable or unacceptable conduct, and the Code is not intended to anticipate every question that may arise in the workplace. Reference to the Code and reliance on common sense and good judgment will help resolve issues not specifically dealt with in the Code. If Staff are unsure as to the proper course of action in any matter related to their conduct or the conduct of others, they should seek the advice of their Manager, their People and Culture Partner, and/or CGIAR's Ethics and Business Conduct function.

<sup>1</sup> References in the Code to "CGIAR" are intended to encompass all entities within the CGIAR System unless otherwise noted.

# 1. Purpose, Application and Relationship to Other Policies and Procedures

## 1.1 Purpose

This Code of Ethics and Business Conduct (the “Code”) is intended to provide a clear understanding of the standards of conduct expected of Staff in the discharge of CGIAR’s mission. The Code sets out both guiding principles and specific rules of conduct, which are intended to ensure a safe working environment and protect CGIAR’s reputation for excellence and integrity.

All Staff have a duty to adhere to the guiding principles in their daily work, including while on duty travel, and to comply with the specific rules of conduct. Failure to do so constitutes a breach of the Code and may result in disciplinary measures.

## 1.2 Application

This Code applies to all staff, including, for purposes of this Code, temporary staff, consultants, trainees, interns, and students (“Staff” or “Staff Members”). Third parties, including short-term consultants, contractors, vendors, representatives and partners are expected to adhere to the standards set out herein.

CGIAR recognizes that it may not be able to mandate this Code for certain partners such as governments and independent external agencies. CGIAR can, based on a careful risk analysis, elect not to work with such partners, put specific conditions into partnership agreements, or end partnerships based on a partner’s failure to follow the standards described in this Code.

As noted in paragraph 11 below, this Code can apply to conduct outside the workplace if it is incompatible with the standards of conduct herein. Conduct and activities outside the workplace, even if unrelated to official functions, can compromise the image and the interests of CGIAR.

## 2. Definitions

The following definitions apply to the terms used in this Code:

<b>Abuse of authority:</b>	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.
<b>Bribery:</b>	<p>"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 <i>de minimus</i> value) to another person or receive such an advantage in order to:</p> <ul style="list-style-type: none"> <li>○ Induce or encourage the recipient to perform a function improperly;</li> <li>○ Induce or encourage the recipient to expedite the performance of a routine government action; or</li> <li>○ Reward the recipient for the improper performance of a function.</li> </ul>
<b>Bullying:</b>	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.
<b>Conflict of interest:</b>	A situation in which Staff 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 CGIAR, or is otherwise contrary to the interests of CGIAR. A conflict of interest or appearance of conflict of interest may arise when: (a) a Staff Member's private interests interfere or appear to interfere with the interests of CGIAR; (b) a Staff Member takes 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 CGIAR's interests in mind; or (c) a Staff Member receives improper personal benefits as a result of his/her status or affiliation with CGIAR. 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.
<b>Confidential information:</b>	All information disclosed, conveyed or otherwise made accessible to a Staff Member, either directly or indirectly, in any form, whether in writing, oral, visual, electronic or otherwise, that is designated "confidential", or that the Staff 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 CGIAR or the Staff. It includes, but is not limited to, records relating to internal deliberative processes, such as internal notes, memoranda, and correspondence (including e-mails) among Staff.
<b>Corruption:</b>	The abuse or perversion of entrusted authority for private or unlawful gain.

<b>Discrimination:</b>	Any unjustifiable differentiation between individuals or groups or the unjust or prejudicial treatment of different categories of Staff, based on such grounds as a Staff Member'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.
<b>Financing of terrorism:</b>	The commission of any offense as set out in Article 2 of the International Convention for the Suppression of the Financing of Terrorism.
<b>Fraud:</b>	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 System as well as commercial fraud.
<b>Harassment:</b>	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 (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.
<b>Intellectual property:</b>	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 CGIAR work.
<b>Money laundering:</b>	<p>Includes, without limitation, the following types of actions:</p> <p>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;</p> <p>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</p> <p>the acquisition, possession or use of property with the knowledge that such property was derived from a criminal offense.</p>
<b>Property of CGIAR:</b>	Any real, tangible or intangible property that is owned, licensed or leased by CGIAR, including, without limitation, financial assets, moveable property, information, information technology and telecommunications equipment, and other resources. The term also includes, as appropriate, intellectual property as defined above.

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**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. The term "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.

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**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 details.

## 3. Guiding Principles

### 3.1 Duty of loyalty as an International Civil Servant

In the performance of their official functions, Staff have a duty of loyalty to CGIAR, and they shall perform those functions under the exclusive authority of the organization. They must respect the international character of their positions and maintain their independence, and they may not seek or accept instructions relating to their performance of their official functions from, or be influenced in their work by, any external source, including a government or other organization.

Staff who are on assignment from CGIAR to an outside institution may accept instructions from that entity so long as such instructions are consistent with the provisions of this Code and the terms of the assignment.

### 3.2 Integrity

Staff are expected to demonstrate the highest standards of integrity and act in good faith, with intellectual honesty and fairness, in all matters affecting their official duties and the interests of CGIAR. They shall perform their official functions with integrity and without any corruption, favoritism, nepotism, cronyism, or bribery. They must immediately report if a prohibited act has been committed, requested, or otherwise attempted by any person in connection with or in relation to CGIAR.

### 3.3 Impartiality

Staff shall not allow the performance of their official duties to be influenced by any professional, personal or financial relationships, whether past, present or prospective, with any government or other external party or person. They must not allow their own personal or political views to affect or interfere with their work. They must refrain from publicly expressing any opinions concerning political affairs or engage in political activities that could reflect adversely on their impartiality or independence or that would result in an actual, potential or perceived conflict of interest with their status as a Staff Member.

### 3.4 Conflict of interest

Staff must always perform their duties without allowing their own interests, whether personal or professional, to influence the performance of their official duties. They shall conduct themselves with the best interests of CGIAR in mind, without seeking any personal advantage for themselves, their family members or organizations in which they may have vested interest. They must avoid situations where their private affairs or professional interests give rise to an actual, potential or perceived conflict of interest with their obligations to CGIAR or reflect unfavorably on CGIAR.

Staff are expected to make prompt and full disclosure of any actual or potential conflict of interest by seeking advice on a confidential basis, and/or consulting their supervisor as to the appropriate action, so that action may be taken to manage and mitigate the conflict of interest including, but not limited to, recusal of the Staff Member from making or implementing any relevant decisions.

### 3.5 Tact, reserve and discretion

Staff shall always bear in mind the reserve and tact incumbent on them by reason of their international functions, and they shall exercise the utmost discretion with regard to matters of official business and adhere to the requirements of any CGIAR policy regarding proprietary, confidential, and other information. They shall not use to private advantage or disclose to any unauthorized person or entity any confidential or proprietary information known to them by reason of their official position in CGIAR.

Staff Members' obligation to exercise discretion in all matters of official business applies to the issuing of verbal or written statements on behalf of CGIAR. Except where expressly authorized, a Staff Member shall not deliver any speech or lecture, broadcast through any media, or grant any press interviews in relation to CGIAR's policies or activities.

### 3.6 Protection of confidential information

Staff shall not use any confidential information to which they have access through their association with CGIAR for unauthorized purposes, including for private financial advantage, or disclose any such information except as authorized by CGIAR. These obligations concerning the use and disclosure of proprietary and confidential information shall continue after a Staff Member has separated from CGIAR.

### 3.7 Beneficiary safety and child protection prohibition of sexual exploitation and abuse

Any act of sexual exploitation, sexual abuse or sexual violence by a Staff Member is prohibited. Staff may not engage in transactions with, or the provision of resources and support to, individuals or organizations associated with human trafficking.

Staff may not exchange money or other financial benefit, goods or services in exchange for sex, including sexual favors or other forms of humiliating, degrading or exploitative behavior, including forced labor or services. Staff must report concerns regarding any known or suspected violation of this provision.

Staff shall avoid actions or behaviors that could be construed as child abuse or would be inconsistent with CGIAR's commitment to the protection of children as prescribed in the United Nations Convention on the Rights of the Child. Staff shall not engage in any sexual activity with persons under the age of 18 years, regardless of the age of majority or consent locally. A mistaken belief as to the age of a child is not a defense. Sexual activity includes all forms of activity and abuse of a sexual nature, with or without physical contact.

See the Safeguarding Policy for more information.

### 3.8 Privileges and immunities/compliance with applicable local laws

The privileges and immunities enjoyed by Staff are conferred solely in the interests of CGIAR and do not exempt Staff Members from observing applicable laws, including CGIAR's headquarters agreements if any, in the country in which they are present in the performance of their duties, or from complying with their private legal and financial obligations. Staff must avoid actions that could be perceived as an abuse of the privileges and immunities conferred upon CGIAR and its officials. They may not invoke immunities as a defense to non-performance of their private obligations or failure to observe local laws.



Respect for the privacy of Staff in their private lives does not preclude CGIAR from taking action with respect to a Staff Member whose conduct outside the workplace is incompatible with the standards of conduct in this Code. Staff Members must therefore bear in mind that their conduct and activities outside the workplace, even if unrelated to their official functions, can compromise the image and the interests of CGIAR.

A violation of the criminal laws of any jurisdiction by a Staff member shall be a breach of the Code insofar as such violation imputes dishonesty, malfeasance, or actual or threatened violence to that Staff member or otherwise renders that Staff Member unfit to be a Staff Member or to continue to be appointed to a particular post within CGIAR. A Staff Member who is detained, arrested, charged with an offense, convicted or imprisoned in connection with a criminal offense, other than a minor traffic violation, must ensure that the relevant Center head of People and Culture/Human Resources, is informed as soon as practicable.

## 4. Workplace Conduct

### 4.1 Civility in the workplace

CGIAR is committed to providing a workplace that fosters a climate of trust, respect and cooperation and is conducive to the well-being of all Staff. Accordingly, everyone working at CGIAR, regardless of the location of their duty station, is expected to contribute to a productive and motivating work environment that is fair, safe and inclusive for all.

In an international and multi-cultural work environment like CGIAR, Staff should bear in mind that their own cultural norms and values may not be shared by colleagues, and they should therefore be sensitive to potential misunderstandings or disagreements based on those differences. At the same time, these differences do not excuse inappropriate behavior or harassment. In the context of CGIAR's work environment, all officials are expected to observe the highest possible standards of behavior and shall treat others with courtesy, dignity and respect.

### 4.2 Prohibition of discrimination, harassment and sexual harassment

Staff have an individual and collective responsibility to create and maintain a working environment that is positive and harmonious. This means ensuring that their own standards of behavior are consistent with the Code and avoiding any action or conduct that would constitute harassment, sexual harassment, discrimination or favoritism. Staff Members may not favor certain groups over others based on their personal characteristics, backgrounds or views, particularly in terms of the recruitment or hiring of individuals to collaborate with CGIAR. They are also expected to take action if they observe that another Staff Member may be subject to harassment, sexual harassment or discrimination in violation of the Code and the Anti-Harassment Policy.

Harassment does not depend on the intention of the offender, but rather the impact of his/her behavior on the recipient. If a specific action could reasonably be perceived as offensive, humiliating or intimidating, that action may be regarded as harassment, whether or not such harm was deliberate.

Staff should also avoid behavior that, although not rising to the level of harassment or sexual harassment, may nonetheless be inappropriate or offensive to others. They should handle interpersonal conflicts with an open attitude through private and respectful dialogue.

### 4.3 Exercise of authority

Staff are expected to respect authority as well as use it responsibly, and they must not take actions that exceed the scope of their authority as set out in the relevant delegations of authority. If they delegate a task to others, they remain responsible for its proper execution and therefore need to exercise adequate supervision and control. The use of authority for improper purposes, such as coercion (e.g., with a view to obtaining sexual favors from others) or personal favoritism, will not be tolerated.

Staff shall administer the funds, resources and supplies entrusted to them by CGIAR with the utmost care and be accountable for their use. They may not commit CGIAR financially unless officially authorized to do so.

#### 4.4 Accuracy of records

In order for CGIAR to maintain accurate records and internal control systems, Staff must record all transactions and prepare accurate, truthful and complete records, in accordance with established records management policies, and they shall not intentionally conceal or falsify the true nature of any CGIAR transaction. Staff must not provide false or intentionally misleading information to CGIAR, or delete, conceal or create false or misleading records of CGIAR.

#### 4.5 Anticorruption, bribery and misappropriation

In order to uphold CGIAR's commitment to transparency, integrity and fairness in its operations, Staff must not engage in any type of illegal or unethical act. Such acts include, without limitation, the receipt or solicitation of a bribe; forgery or unauthorized alteration of any document; extortion; corruption; theft; conspiracy; embezzlement; misappropriation of CGIAR funds, property or resources; false representation; concealment of material facts; and collusion.

Staff 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. Staff will not attempt to influence external parties with payments, gifts, offers or employment, or otherwise unlawful conduct. They are expected to follow all procurement policies, processes and procedures as required by CGIAR.

A Staff Member's offer or acceptance of hospitality, such as meals during the normal course of business or other reasonable business expenditure, is permissible so long as it has the principal aim of establishing cordial business relations. However, Staff may not offer or receive hospitality where it could reasonably appear to have the intention of influencing another in order to secure an advantage, perform a function improperly, or expedite the performance of a routine action.

#### 4.6 Prohibition on financing of terrorism and money laundering

Staff shall use their best efforts to ensure that payments provided to or by CGIAR do not provide direct or indirect support or resources to individuals or entities involved in the financing or support of terrorism or money laundering.

#### 4.7 Scientific integrity and ethics

Staff are expected to demonstrate the highest standards of scientific and research integrity in any scientific research they undertake on behalf of CGIAR, as further elaborated in the Research Ethics Code and other applicable policies, and they will be held responsible for ensuring adherence to CGIAR standards. Staff shall avoid any action that would involve the unethical use of intellectual property. Staff must also ensure that there are no actual or perceived conflicts of interest that might bias their work or otherwise call into question the validity or accuracy of their work.

#### 4.8 Protection of confidential information

Staff shall handle all confidential and proprietary information with the greatest care and in accordance with applicable CGIAR policies on the handling and use of information, and data protection. They are responsible for coding information as confidential or proprietary as warranted, in order to protect it from intentional or inadvertent disclosure.

Confidential or proprietary information that is acquired by a Staff Member directly or indirectly in connection with that Staff Member's affiliation with CGIAR may not be disclosed to any third party without CGIAR's specific authorization and may be disclosed to other Staff only on a need-to-know basis and in accordance with any specific directives prescribed by CGIAR.

If Staff are summoned by law to produce CGIAR documents or appear before a judicial, administrative or legislative body to give evidence or information known to them by reason of their official position, they shall immediately inform the Group General Counsel, and follow their instructions in this regard.

#### 4.9 Health, safety and security

CGIAR is committed to providing Staff with a safe workplace to the extent reasonably possible and to promoting high standards of employee health. Staff are accordingly expected to comply with CGIAR's policies, rules and procedures concerning workplace health and safety in the conduct of their daily assignments, including in connection with official travel on behalf of CGIAR. Staff shall use CGIAR's property diligently, with due regard to the health and safety of people who are likely to be affected by such use.

CGIAR does not tolerate any level of violence or threat of violence by Staff in any form, whether committed on work premises or elsewhere. Violence may be grounds for disciplinary action. Substance abuse, including the use of illegal drugs and the harmful or excessive use of alcohol, is incompatible with the health and safety of the workplace and is strictly prohibited. All Staff are expected to exercise good judgment and not engage in any behavior that may adversely affect their performance or that may be harmful to them or fellow colleagues.

Staff are expected to report any incidents in contravention of this section or defects in the work environment that may jeopardize their own safety or that of others as soon as they become aware of them.

#### 4.10 Protection and use of CGIAR's property and resources and access to information on use

Staff are responsible for the appropriate use and protection of CGIAR's property and resources, which must be used with care, integrity, and for authorized purposes only. Staff must use their best efforts to prevent, detect and report fraud, waste, and abuse or any other prohibited acts that come to their attention. A Staff Member who is found to have engaged in theft, sabotage or willful damage of CGIAR property or unauthorized use or duplication of intellectual property provided by CGIAR will be subject to disciplinary action.

Information technology (IT) and equipment provided by CGIAR for use by its Staff in the performance of their official duties remain the property of CGIAR. Staff may make reasonable personal use of CGIAR-provided IT and telecommunications systems, including Internet access, email and telephonic facilities, so long as they do so in compliance with policies and procedures prescribed by CGIAR. Staff have no expectation of personal privacy in their use of CGIAR IT and communications systems, and CGIAR makes no guarantee regarding personal privacy with respect to communications sent to, from, or stored in CGIAR systems, which may also be subject to monitoring and storage.

Upon the end of their term with CGIAR, Staff shall promptly return all property issued to them by CGIAR unless otherwise agreed in writing by a duly authorized representative of CGIAR.

#### 4.11 Intimate or romantic relationships

CGIAR recognizes that an intimate or romantic relationship may exist or develop between two people employed by CGIAR. The fact that a relative, spouse, significant other or close friend is working at CGIAR does not automatically mean there is a conflict of interest. However, intimate or romantic relationships between colleagues should not interfere with work or create an environment where other colleagues might 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 must notify their respective supervisors and the Global Director, People and Culture, so that appropriate steps can be taken to avoid or mitigate an actual or perceived conflict of interest. In addition, there may be heightened considerations under the Anti-Harassment Policy when there are intimate or romantic relationships among colleagues.

#### 4.12 Other obligations and responsibilities

Staff must promptly inform the relevant Center Head of Human Resources, in writing, of any change that might affect their status and entitlements under the provisions of the relevant Center's personnel policies (e.g., its Personnel Policy Manual). Such changes include, but are not limited to, marital status and dependency status.

#### 4.13 Special responsibility of managers and supervisors

Managers and supervisors have an additional responsibility to set a positive example and demonstrate the highest standards of professional behavior and personal conduct in their own behavior, as well as to communicate CGIAR's policy in these areas to Staff. In their daily actions and communications with colleagues, they should foster a harmonious work environment where all Staff are treated with dignity and respect, and they should clearly communicate that harassing or offensive behavior or discrimination will not be tolerated.

Managers and supervisors are expected to take all necessary measures to ensure a safe and respectful working environment that is free of harassment and discrimination as well as other offensive behavior. They are expected to pay attention to a deteriorating work atmosphere and take steps to promptly resolve problems in a sensitive manner, and ensure that prompt action is taken to stop any form of harassment or discrimination, and that potentially offensive material is not displayed or circulated in the workplace.

They are also expected to make themselves available to those who wish to raise concerns in confidence, advise on measures available to deal with those concerns promptly and effectively, and contribute to the constructive resolution of workplace concerns.

## 5. External Activities

### 5.1 Gifts, awards and honors

Staff are required to seek approval from the Director of Ethics and Business Conduct prior to accepting any gift, award, honor or other form of recognition from any government or from any other authority external to CGIAR, in connection with services rendered during their period of employment with CGIAR.

### 5.2 Financial activities

Staff may not use confidential non-public information known to them by reason of their official position to obtain financial advantage for themselves, their family members or other third parties, or for any other unauthorized purpose. Staff may not hold a financial interest in any business concern if it has or will have the ability to benefit them by virtue of their official position in CGIAR.

### 5.3 Outside employment

Full-time employment with CGIAR is normally not compatible with other gainful employment or professional activities. Other paid or unpaid activities may, with the prior approval of CGIAR, be undertaken, so long as the Staff Member does not spend the Staff Member's CGIAR working hours or use CGIAR facilities or property on such tasks, and the activities undertaken do not place the Staff Member in a situation that creates an actual or perceived conflict of interest.

Unless it is approved by CGIAR, Staff may not accept an invitation to sit on a Board of Directors or similar body or perform managerial or executive functions for an outside entity in their private capacity. A Staff Member may be authorized to participate in the work of the outside entity in an official capacity if this is considered to be in the interests of CGIAR.

Staff Members who are employed on a part-time basis may take up additional employment, subject to the approval of the Global Director, People and Culture and on such conditions as the Global Director, People and Culture may prescribe.

Public statements and publications Staff must refrain from making public statements or publications that are incompatible with their obligations as a CGIAR official, in particular the obligation of tact and discretion.

Unless authorized in advance, any public statement or publication by a Staff Member that is not made in their official capacity should avoid giving the impression that CGIAR endorses or assumes any responsibility for its contents. If necessary, an appropriate disclaimer should be included stating that the opinions expressed are purely private and do not necessarily represent the position of CGIAR. With respect to public statements or publications in areas connected with CGIAR's activities, CGIAR should be informed in advance of any intended statement or publication and given the opportunity to make observations or raise concerns.

CGIAR owns the intellectual property rights in all intellectual property produced by Staff in the course of their official duties. It has right to publish any such written material in the manner it deems appropriate, after consultation with the Staff Member concerned. If CGIAR does not choose to publish the work of a Staff Member, the Staff Member may, with the approval of the relevant department head, publish the work elsewhere. However, Staff may not accept any remuneration from a third party for any work produced in the course of their official duties.

## 5.4 Political activities/ political office

Although Staff may engage in personal activities, such as voting or belonging to political parties, that reflect their national sentiments or religious or political convictions, they may not engage in any partisan political activity that may interfere or conflict with their professional duties or their status as CGIAR officials or reflect adversely on the integrity, independence and impartiality of the organization. They may not utilize or represent their official CGIAR position or capacity in their activities.

A Staff Member who becomes a candidate for, or accepts an appointment to, public office shall immediately offer to resign his/her position at CGIAR.

## 5.5 Prospective and post-employment restrictions

Staff who are in negotiations concerning prospective employment with another employer should bear in mind the need for integrity and discretion. They are expected to disclose such negotiations to CGIAR so that appropriate mitigation measures may be taken (such as recusing themselves from involvement in matters that could benefit, or could be perceived to benefit, the prospective employer, and/or a cooling off period before taking up new duties). If the prospective employment is with an organization, whether public or private, with which CGIAR has an existing relationship, the Staff Member must abstain from any activity related to the prospective employer in order to avoid an actual or perceived conflict of interest.

Staff should not take improper advantage of their functions and positions with CGIAR, including revealing non-public information obtained in the course of their CGIAR work, when negotiating for prospective employment outside CGIAR or after their separation from CGIAR.

## 6. Compliance

### 6.1 Duty to comply with CGIAR policies, rules and procedures

All Staff must conduct themselves in accordance with the requirements set out in this Code, any relevant personnel policies (e.g., the relevant Personnel Policy Manual) and all other mandatory rules, policies and procedures of CGIAR, as well as the terms of their employment contracts and conditions of service.

Upon appointment, Staff shall sign an affirmation of the duty to comply

Staff have a continuing obligation to familiarize themselves with the provisions of the Code and any revisions thereto.

### 6.2 Consequences of non-compliance

A Staff Member's noncompliance with this Code or any other policy, rule or procedure of CGIAR may be considered as misconduct and, as such, may result in disciplinary measures, including termination of employment, administrative sanctions and/or other remedial measures, as appropriate and taken in accordance with applicable policies or, depending on the violation, even referral to local authorities for possible criminal prosecution.

### 6.3 Personal liability for losses due to negligence or contravention of policies

CGIAR reserves the right to recover from a Staff Member all losses and expenses incurred by CGIAR as a result of any negligence by a Staff Member or as a result of the Staff Member's contravention of any policy, rule or procedure.

### 6.4 Duty to report misconduct

Staff are required to report to Ethics and Business Conduct any confirmed or suspected fraudulent activity, waste of resources or abuse of authority, or any other prohibited acts in connection with CGIAR's activities. However, the intentional filing of a false or misleading report, or an attempt to cover up breaches of this Code, will itself be considered as a violation of the Code and may result in disciplinary action. See the Policy on Whistleblowing and Protection from Retaliation for more information.

### 6.5 Protection against retaliation ("Whistleblower" protection)

Staff who, in good faith, report suspected wrongdoing will be protected from retaliation in accordance with CGIAR's policy on whistleblowing and protection against retaliation. Any retaliation or threat of retaliation against individuals reporting alleged or suspected misconduct to CGIAR, or against individuals participating in the investigation of such allegations (for example, as witnesses), may be considered misconduct and subject to disciplinary measures. See the Policy on Whistleblowing and Protection from Retaliation for more information.

## **7. Authority and Relationship to Other Policies and Provisions**

### **7.1 Authority to approve derogations to the Code**

In exceptional circumstances, waivers or derogations from the requirements of this Code may be authorized by the Global Director, People and Culture. In the interests of transparency, the motivation for any such waivers or derogations shall be duly documented.

### **7.2 Authority to amend the Code and issue implementing orders or guidelines**

This Code may be amended or revised, as appropriate. From time-to-time CGIAR may promulgate operational directives/procedures and guidelines consistent with the Code, in order to apply, interpret and give effect to its provisions.

### **7.3 Relationship to other policies and provisions**

The Code is intended to be construed reasonably in light of its purpose and applied in conjunction with other CGIAR policies and procedures. It does not preclude the application of any existing CGIAR policy or procedure, or any other standards of conduct prescribed by CGIAR, including, without limitation, personnel policies (e.g., a Personnel Policy Manual), and the CGIAR Code of Conduct for Governance Officials. The Code may be supplemented by additional policies, operational directives/procedures, or guidelines concerning particular subjects covered herein.