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Dear Colleagues of the Alliance,

Acknowledging and respecting the long history of highly ethical business practices, we are proud to lead the Alliance and are committed to protecting and enhancing its reputation by fully supporting a culture that reflects our values. Upholding this hard-earned reputation is vital to our continued success and is a responsibility that each of us shares.

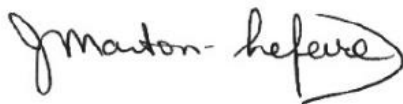
The text of the Alliance Code of Ethics and Conduct that follows is our road map for putting our values into practice, and is an important tool to help us drive our behavior, general conduct, and decision-making in a manner that fosters a workplace climate that is underpinned by respect for each other's rights and the rights of the people we serve. This Code also demonstrates our consolidated efforts to build the best of the Alliance culture.

This Code applies to all Alliance employees, staff members, and all those who have an employment or contractual relationship with the Organization and who are expected to adhere to the standards it sets, in both words and actions.

We will continue to review the Code periodically to reflect the enhancements we are making to support a culture of collaboration, constructive feedback, and learning and development. If you have ideas for the Code's improvement or if you have questions about its intent or applicability, please talk with your supervisor or turn to the other resources identified in the Code.

Please join us in reviewing the Code's ethical standards and strive to apply them in your work each day. Thank you for your help to ensure that our Alliance is a fair and principled organization.

Sincerely,



Julia Marton-Lefèvre
Alliance Board Chair




Juan Lucas Restrepo Ibiza
Director General



Bioversity International and the International Center for Tropical Agriculture (CIAT) are part of CGIAR, a global research partnership for a food-secure future.
Bioversity International is the operating name of the International Plant Genetic Resources Institute (IPGRI).

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PART ONE: INTRODUCTION

1. PURPOSE OF THIS STAFF CODE OF ETHICS AND CONDUCT

What is the Staff Code of Ethics and Conduct?

This Code was developed combining a Code of Ethics and a Code of Conduct into a single governing document, which describes our ethical standards and serves as a foundation for our Organization policies, procedures, and guidelines. This document has also been reviewed to ensure alignment with the CGIAR Integrated Partnership Code of Ethics & Business Conduct for Personnel. It establishes expectations for professional behavior to foster trust, respect, and accountability within a diverse global network.

Why do we have a Code?

This document is a clear statement of what we believe in and the way we work. It represents a crucial resource intended to help us recognize issues involving organizational integrity and take appropriate actions with confidence.

2. APPLICABILITY

This Code provides a global ethical framework to guide our conduct based on the Organization's fundamental values, respecting all applicable laws and regulations of the countries where we operate.

3. SCOPE

Who is covered under the Code?

This Code applies to all categories of employees, including full-time and temporary staff, consultants, interns, and all those who have an employment and/or contractual relationship with the Organization when performing their duties and responsibilities, in their personal conduct inside and outside of the workplace, engaging in any outside employment or activity, and post-employment.


4. DEFINITIONS AND ACRONYMS

Definitions of key concepts are provided in Annex 1.

BOT: Board of Trustees

CGIAR: CGIAR is a global research partnership for a food-secure future dedicated to reducing poverty, enhancing food and nutrition security, and improving natural resources.

ODU: Organizational Development Unit

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SMT: Senior Management Team

PART TWO: OUR FUNDAMENTAL VALUES

1. OUR VALUES




Integrity: We are honest, tell the truth, keep promises, admit mistakes, earn trust, and always act professionally by being accountable and transparent.

Sustainability: We plan responsibly for the long term and are committed to environmental protection, social equity, economic well-being, food security, safety, and global prosperity.

Partnership: We value the diverse voices of our internal and external stakeholders and seek all forms of engagement, collaboration, and teamwork.

Excellence and innovation: We strive for excellence by maintaining high standards of scientific rigor, actively encouraging innovation and creativity, and pursuing our interest in learning and discovery.

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Diversity and inclusion: We value and embrace diversity and inclusion through proactive dialogue and inclusive behaviors, promote equity and fairness, avoiding all forms of discrimination, and promote human rights, including in the form of safe and respectful workplaces.

PART THREE: ETHICS IN SCIENCE AND RESEARCH

1. Why do we need science and research ethics?

This Code provides guidelines for the responsible practice of science and research. It is an introduction to our ethical principles, which are developed in detail in our Alliance Research Ethics Policy and relevant research policies and underlying documents.

2. Living our principles in science and research

Honesty and integrity in research methods: We are committed to ensuring that our research is conducted according to appropriate ethical, legal, and professional frameworks, obligations, and standards, and that our research partners uphold the same.


Objectivity and avoiding bias – conscious and unconscious: We strive to ensure that our research is designed, conducted, and reported in a transparent way, and without any deviation from the truth. Employees 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.

Critical review of outcomes, including peer review publication: At the Alliance, methodology and findings should be open for discussion, and researchers shall strive to ensure that their results have been critically reviewed and guarantee that we produce good-quality research and results.

Openness and transparency of research findings and methods, including publication of all results (positive or negative): We are committed to ensuring widespread diffusion of our research findings accurately and truthfully.

Respect for authorship: plagiarism, attribution, and permission: We seek to define the criteria for attribution of authorship for all research outputs.

Respect for intellectual property: patents, trademarks, copyrights, and technology transfer for scientific inventions: We are committed to ensuring appropriate referencing and acknowledging of sources of intellectual property inputs and research objects, and proper recognition of contributions to the research outputs, also in line with the [CGIAR Principles on the Management of Intellectual Assets](#).

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Keeping promises: confidentiality and anonymity: We shall protect the privacy of those who voluntarily agree to participate in research, in line with all applicable laws and regulations of the countries where we operate.

Research participants’ and stakeholders’ protection: Through its Institutional Review Board and supporting policy, the Alliance strives to ensure appropriate evaluation of research applications that involve human research participants and stakeholders, taking into consideration the potential risks and benefits of the research to the subjects, and the adequacy of protections against risk, while respecting human dignity, privacy, and autonomy.

Protection of the environment and genetic resources: We are committed to the conservation, restoration, and sustainable use of biodiversity and genetic resources to improve environmental conservation, agricultural sustainability, and food and nutrition security.

Artificial intelligence and use of “Big Data”: At the Alliance, artificial intelligence and “Big Data” shall be used as a research tool that aims to improve people’s quality of life, respecting the privacy and confidentiality of research participants and stakeholders.

PART FOUR: INTEGRITY AND TRUST IN OPERATIONS AND INTERPERSONAL CONDUCT

As part of the world’s largest global agricultural innovation network (CGIAR), we are committed to promoting an institutional culture of ethics, integrity, and accountability, and thereby enhance the trust in, and the credibility of, the Alliance, both internally and externally within the context of the [CGIAR Ethics Framework](#).


The Alliance recognizes that the ethical conduct of all those who are covered under this Code is fundamental to its success as an organization.

This section is substantially based on the Alliance’s and CGIAR’s Ethical Values. All Alliance staff are expected to read and embrace all the documents developed under the corresponding standards of the countries where we operate.

1. Civility and respect

We are deeply committed to treating each other with understanding, dignity, and respect. We demonstrate politeness, courtesy in behavior and speech in all our dealings with each other, and general awareness of the rights and concerns of others. All Staff shall ensure an atmosphere of mutual respect and understanding, appreciating the multicultural and international nature of the Alliance.

Promoting positive interrelationships and ensuring a peaceable work experience comes first for our Organization.

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2. Discrimination, harassment, bullying, and abuse of authority

At the Alliance, we strive to promote and protect people’s health, well-being, and human rights, thus enabling them to live free from any harm, exploitation, and abuse. The lines below provide principles of expected behavior that are developed in detail in our Alliance’s Anti-Harassment and Discrimination Policy, Safeguarding Policy, and underlying documents.

The safety and welfare of vulnerable adults and children are of utmost importance and it is the duty of all our employees to protect them. The Alliance operates under zero tolerance for any form of discrimination, harassment, bullying, and abuse of authority.

Managers and supervisors shall use their positions responsibly, fostering a supportive and non-coercive environment.

Annex 1 provides definitions of discrimination, harassment (including sexual harassment), bullying, and abuse of authority. Specific provisions related to sexual harassment, complying with local regulations in countries where we operate, are dealt with in the Anti-Harassment and Discrimination Policy.

Examples of prohibited conduct associated with harassment include but are not limited to slurs; negative stereotyping; racial, ethnic, or religious epithets; written or graphic material; offensive jokes; bullying; non-violent threats or insults; belittling; aggression; abuse; or molestation, whether emotional, verbal, or physical.

3. Legal compliance, prohibition of sexual exploitation, abuse, and human trafficking


We are committed to high standards of ethics and integrity and compliance with all applicable global and local laws across our global operations, including the prohibition of actions that would support or advance sexual exploitation, abuse, or human trafficking. Staff shall not engage in any act of sexual exploitation, sexual abuse, sexual violence, human trafficking, or other acts of a similar nature. Similarly, employees are prohibited from engaging in transactions with or providing support to individuals or organizations involved in such acts.

Annex 1 provides definitions of sexual exploitation, abuse, and human trafficking.

4. Safety, health, and environmental sustainability

At the Alliance, we are committed to providing our employees with a safe and healthy working environment. We promote sustainability and environmental awareness at all levels of the Organization by complying with all applicable legal environmental requirements as well as our internal policies where specific environmental legislation is non-existent or insufficient.

We ensure that our employees are aware of the environmental impact of their work activities and encourage them through regular training to minimize those impacts.

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We endorse the protection and enhancement of biodiversity and ecosystems through employee awareness programs and stakeholder engagement and we aim for continual improvement of the environmental performance of our activities by reviewing our internal instruments, management systems, objectives and targets, policies, and practices.

5. Conduct outside of work and when on duty travel

All those who are covered under this Code shall be aware that their conduct and activities outside the workplace, even if unrelated to official duties, can compromise the image and interests of the Organization. While recognizing the right of staff to engage in personal activities, national sentiments, or their political and religious convictions, staff are not permitted to use or represent their official position or capacity in these activities as these might be in conflict with their employment and might adversely affect the integrity, independence, and impartiality of the Organization.

PART FIVE: TRANSPARENCY OF RESOURCES AND FUNDING

1. Avoiding conflicts of interest: personal

A conflict of interest is a situation in which staff personal interests interfere or have the potential of interfering with the interests of the Alliance. The way we conduct ourselves in our business dealings influences our reputation and the trust we maintain with stakeholders. By taking proactive steps to prevent conflicts of interest, we send a clear message about upholding the Organization’s integrity.


Employees shall avoid all situations in which personal or financial interests conflict with the interests of the Alliance. Personnel shall promptly disclose any actual, perceived, or potential conflicts of interest, and take action, as advised, to mitigate conflicts, such as recusal from decision-making when conflicts exist.

Anyone covered under this Code is therefore encouraged to discuss any potential personal conflict with his or her supervisor, or the Senior Ethics Officer. The Alliance’s Conflict of Interest Policy provides further guidance on the disclosure process and mitigation actions as required.

What follows are several areas where conflicts commonly arise.

A. Gifts, honors, and awards

Business gifts and entertainment can promote understanding and goodwill provided that these are legal in the operating context and are aligned with the provisions of this Code. As a global organization, we operate in different countries with specific cultural norms and local practices. We respect cultural norms to the extent possible under the local laws and regulations by which we are governed, but those activities shall be aligned with the provisions of this Code.

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Employees shall not attempt to influence external parties through payments, gifts, offers of employment, or otherwise unlawful conduct. Employees are expected to follow all applicable procurement policies, processes, and procedures.

Employees' 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 and provided it is also permissible as per local laws, regulations, and cultural norms. As a principle, employees should seek clearance from the Senior Ethics Officer before accepting any gifts, awards, or honors that could reflect poorly on the Alliance or influence or be perceived as influencing fair and objective decision-making.

It is permissible to exchange modest gifts with an outside party or entity so long as they are freely given, without coercion, of nominal value below US\$50, and not offered to affect our ability to make objective and fair business decisions, but these gifts must be disclosed to the corresponding supervisor.

Gifts valued at or over US\$50 should be reported to the Senior Ethics Officer, who will maintain a registry for the purposes of transparency.

B. Outside employment and activities


The Alliance generally supports and approves activities that contribute to professional development and further the Organization's mission. Outside employment and activities include (but are not limited to)

- Employment (including temporary or part-time employment, consultancy).
- Holding a position on a board or panel of any entity external to the Alliance (including non-profit and commercial entities).
- Teaching and speaking, including in an educational setting.
- Writing and publishing activities not related to Alliance work and activities.
- Volunteer or charitable activities (*when holding a managerial position, when the Alliance collaborates with the charitable organization, or when the charitable activities do not conflict with the mission and interests of the Alliance, etc.*).

Paid or unpaid activities can be undertaken provided that the staff member does not use working hours on such tasks and does not use office facilities or property, and such outside employment and activities shall not adversely affect the employee's performance with the Organization, create a conflict of interest, or be in conflict with the regular employment schedule of the employee.

Alliance employees seeking to pursue outside employment or engaging in any outside activities, whether paid or not, are required to obtain prior approval from the Senior Ethics Officer.

Employees must take appropriate action to identify, disclose, and avoid potential conflicts of interest with the performance of their official duties.

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C. Close personal relationships and avoiding nepotism

What is a close personal relationship?

It is a relation with a family member (or another person the staff member is close to) that could impair the employee’s objectivity when making business decisions.

Employees are required to declare a close personal relationship to their supervisor when there is a real or perceived potential conflict of interest. What follows are several circumstances in which a declaration is required:

- Any employee involved in staff recruitment must inform his/her supervisor if he/she has a close personal relationship with any of the candidates for appointment. He/she should not be involved in the selection process.
- Any employee who has a close personal relationship with a contractor or supplier where the employee’s job allows him/her authority over the contractor or supplier must declare the relationship to his/her supervisor.
- A manager should declare (to the department/unit head) a close personal relationship with any employee whom he/she supervises (directly or indirectly).
- Any employee involved in a close personal relationship with a colleague, contractor, or supplier must not allow that relationship to influence his/her conduct at work in a way that could be, or be perceived to be, detrimental to the interests of the Organization or to other employees.

Spouses, recognized partners, and other family members can be appointed as Alliance employees if certain conditions are met, in which case the guidelines provided in the relevant policies and underlying documents of our Senior Ethics Officer need to be followed.


While it is discouraged to enter into romantic relationships in the workplace, relationships with a subordinate or someone in his/her reporting line, or when it would be difficult to maintain professionalism and objectivity, must be reported to the staff member’s supervisor or the Senior Ethics Officer for follow-up actions to ensure a safe and appropriate workplace climate.

What is nepotism in business?

Nepotism in business is the act of receiving or offering opportunities based on a close personal relationship. The Alliance is committed to handling nepotism in business through focusing on creating an institutional culture that discourages unfair treatment.

D. Political activity and engagement

Any employee can engage in personal political activities responsibly, such as voting or belonging to political parties, without implying the Alliance’s endorsement or creating conflicts with his/her professional

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responsibilities. As a principle, employees cannot engage in any partisan political activity that might interfere with or conflict with their professional duties, or reflect adversely on the integrity, independence, or impartiality of the Organization.

Any staff member who evidences intent, or undertakes by conduct or stated decision, to become a candidate for or accept an appointment to local (city, region, state, country, etc.) and national public office shall immediately disclose such information to the Senior Ethics Officer.

E. Post-employment obligations and restrictions

Whether staff resign, retire, or are involuntarily terminated, they remain under the obligations of confidentiality for the information that came to their knowledge through their work at the Alliance.

2. Avoiding conflicts of interest: finances and relationships

A. Disclosures and declarations

The Alliance is committed to maintaining and enhancing public trust in the integrity of the Organization by managing and mitigating the risk of personal conflict of interest. Staff must disclose any outside financial interest that could potentially compromise, or have the appearance of compromising, their professional judgment in any business concern. Outside financial interests could include (but not be limited to)


- Stocks/shares owned involving third parties/entities dealing with the Alliance.
- Fees/honorariums received as a board/panel member of third parties/entities dealing with the Alliance.
- Remunerated work (including consultancy, retainership) paid by third parties/entities dealing with the Alliance.
- Sponsorships received from third parties/entities dealing with the Alliance.
- Gifts, hospitality, and loans provided by third parties/entities dealing with the Alliance.

It is the responsibility of every staff member to be aware of our Organization’s policies on financial disclosure and to comply with all required training and reporting.

3. Stewardship

Alliance funds are received from funders for specific objectives and purposes and staff must not misuse these funds. Staff are expected to demonstrate respect, tolerance, and professional behavior toward funders. Bear in mind that staff behavior affects our international credibility and reputation and influences the willingness of funders to continue supporting our efforts.

We place emphasis on our research and aim to conduct rigorous monitoring and evaluation in order to provide clear and transparent accountability for our funders.

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Efficiency should always be considered in any resource management activity, and the value added through the effective and appropriate use of resources in meeting priorities should be of high concern.

4. Obeying the law of host countries, enjoying privileges and immunities

We have great responsibilities in any country where we might do business. We are required to know and comply with the laws, regulations, and customs of each host country and community where we operate.

The privileges and immunities that staff members enjoy are conferred upon them solely in the interest of the Organization. They do not exempt staff from observing local laws, nor do they provide an excuse for ignoring private legal or financial/fiscal obligations. Staff members shall not abuse their privileges and immunities.

In any case, when immunities are invoked, the staff member shall immediately report the matter to the Director General, who will decide whether or not the immunity should be lifted in consultation with the Legal Office.

5. Prohibition of financing of terrorism and money laundering

Alliance staff shall use their best efforts and maintain appropriate preventive 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.

PART SIX: PROTECTING ASSETS AND RESOURCES


While working with the Alliance, staff are responsible for the appropriate use and protection of the Organization’s assets and resources. Staff are expected to use Alliance resources for the benefit of the Organization and the public we serve, and to prevent waste or misuse.

Our assets include but are not limited to money, physical items, time, information and technology, and intellectual assets.

1. Preventing fraud, waste, abuse, bribery, and corruption

The Alliance has zero tolerance toward waste/abuse, bribery, and corrupt practices. All those who are covered under this Code shall be aware that their conduct and activities must be performed fairly and honestly with the highest standards of integrity. The Organization’s internal controls, operating procedures, and training initiatives are intended to prevent, detect, report, minimize, and deal with improper activities and misuse of the Organization’s resources.

We have a duty to report any waste/abuse, bribery, and corrupt activity that could potentially compromise or have the appearance of compromising the Organization’s resources.

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We shall comply with Alliance policies, codes, and applicable legislation where we operate and are responsible for the good stewardship of the Organization’s resources. For additional information, please refer to the Alliance Fraud Prevention Policy.

2. Accuracy of books and records

All staff members must ensure that all business records are retained in accordance with the law and the Organization’s records management policies.

Every staff member must prepare and deal with all records truthfully, and sign or enter records only to the extent staff know that these records are correct and have authorization to do so. Do not damage, delete, conceal, or create false or misleading records of the Organization.

3. Protecting confidentiality

The protection of confidential and sensitive information is essential to the integrity of the Alliance. Employees shall handle all information and proprietary and private data responsibly and in accordance with the applicable Alliance policies and laws.


We shall therefore respect and protect confidential information and abide by all laws governing the possession, management, use, and storage of such information. Confidential information should be released only when it is legally permitted or required. We shall not use confidential work information for personal gain.

We shall be certain to code information confidential or proprietary as warranted in order to protect it from intentional or inadvertent disclosure.

4. Risk management

We are committed to identifying, managing, and treating all risks through the Organization; encouraging proactive management and better-informed strategic decision-making; and effectively allocating and using resources for risk treatment following the provisions of the Risk Management Policy.

We have an obligation to mitigate risks by reporting concerns and by following controls and other mandated steps to lessen the Organization’s exposure to risks.

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5. Audit and examination

The Alliance is committed to ensuring that all processes and transactions within the Organization are represented fairly and accurately. Audits help us identify opportunities for improvement and thus improve our practices; therefore, staff are expected to cooperate fully, openly, and honestly with internal and external auditors.

6. Procurement integrity

The Alliance bids fairly and ethically on potential work and we ensure that all statements, communications, and representations to potential customers are accurate and truthful. When contracts are awarded, we must comply with all the requirements following the Alliance Procurement Policy.

7. Use of technology

Alliance technologies are intended for official business purposes. The Organization has the right to monitor the information contained in these systems.

Any improper use or abuse is prohibited. Staff must help maintain the security of the Organization’s technology and systems, as well as its records and other information.

8. Social media, digital platforms, publications, and public speaking


Staff must adhere to the highest ethical standards when participating in social media, digital platforms, publications, and public speaking about their professional services, credentials, and expertise or work products. Position titles should be used only in work-related communications and for official work-related purposes. This precludes the use of official position titles for non-work-related purposes such as in publications and journal articles.

If posting on social media, sharing content on digital platforms, speaking to the media, or publishing as part of your duties, this should be done using official accounts and platforms. Your personal point of view is a position that is not expressly supported, published, or endorsed by the Organization. In these cases, it should be clearly mentioned that a personal opinion is being shared, including that it does not represent the opinion of the Organization.

PART SEVEN: ROLES AND RESPONSIBILITIES AND MAKING ETHICAL DECISIONS

1. Roles and responsibilities

B. Board of Trustees

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- Overseeing entity constitutions and the Alliance Board Manual.
- Overseeing effective notification, risk evaluation, and referral of specific ethical concerns or reports to support a common ethical escalation of complaints and/or concerns with appropriate controls.
- Setting and sustaining a strategic ethics governance agenda that is in line with the Alliance Core Ethical Values.
- Committing to periodic ethics training and knowledge-sharing on best practices.
- Holding itself and management accountable for supporting ethical conduct at the individual and institutional levels.
- Ensuring that adequate resources are made available to support the ethics function within the Alliance.

C. Senior Management Team


- Serving as role models, emphasizing the importance of ethical conduct within their scope of responsibilities.
- Promoting the implementation of the Code of Ethics and Conduct and its various components.
- Ensuring adequate budgetary and human resources to ensure the successful implementation of this Code of Ethics and Conduct and its various components at each organizational level.
- Reinforcing an ethical organizational culture and adopting the best practices in ethical leadership.
- Regularly speaking about the ethical implications of their agenda and sharing with subordinates their decision-making about tough ethical choices.
- Taking prompt action on incidents of unethical behavior and misconduct, including consultation and advice with the Board of Trustees on the imposition of significant disciplinary action.

D. Managers

- Managers are expected to set an example of a high standard of professional behavior and personal conduct by modeling appropriate behavior.
- Handling requests for investigating behavior contrary to what is defined in the Code of Ethics and Conduct.
- Being alert in order to promptly detect behavior that runs counter to the principles set in this Code and, jointly with the Senior Ethics Officer, taking appropriate steps to deal with it and ensure that corrective action is taken.
- Advising in case of consultations or doubts or when orientation on ethic-related issues is required in relation to the behavior that Alliance personnel or the institution itself should abide by.
- Ensuring maximum awareness of the Code of Ethics and Conduct to all staff.
- Continuously reviewing the relevance of this Code and presenting pertinent recommendations to the Senior Ethics Officer.

E. Staff members, consultants, interns, and contractual workers

The Alliance provides multiple mechanisms to support employees (including staff, consultants, interns, contractual workers, visiting researchers, emeritus, etc.) in taking action if they believe they are being

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subjected to harassment, intimidation, or discrimination, regardless of who the alleged offender is. These include reporting it to the supervisor, the Senior Ethics Officer, and Alliance Whistleblower Hotline.

Directors, Managers, and Supervisors have a key role to play in this effort by ensuring that any incident of unacceptable behavior is promptly dealt with and that corrective action is taken.

The Alliance shall continue its practice of promptly investigating concerns regarding undesirable behavior and, when appropriate, take adequate corrective action.

2. Making ethical decisions

A. Ethical decision-making model

It is not always easy to determine the best course of action in every situation. In those circumstances, staff can use the model below as a guide in making ethical decisions.

Get insights

Staff shall become familiar with the Alliance’s Code of Ethics and Conduct. Staff should consider these questions: Are there specific rules and guidelines for this situation? Does it comply?

Find out

Staff are expected to pay attention and learn to recognize situations that might involve their own or someone else’s improper conduct. Staff should consider these questions: What are the relevant facts? Who might be affected by this decision?

Seek advice


Staff shall confer with supervisors, the Senior Ethics Officer, or the Legal Office. Staff should consider this question: Do I need help deciding what to do?

Take action

Staff shall find the courage to take the right action.

B. Senior Ethics Officer

The Senior Ethics Officer is a confidential, impartial, and professional resource for all personnel around the globe. He/she promotes an institutional culture of ethics, integrity, accountability, and mutual respect.

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The Senior Ethics Officer offers the following services:

1. Providing confidential ethics advice and guidance.
2. Promoting ethics awareness and training initiatives on ethics, values, and standards.
3. Providing protection against retaliation.
4. Consulting on, developing, and clarifying ethics policies, principles, and standards.
5. Overseeing the development of the framework and practice related to internal justice: dispute resolution, grievances, discipline, and appeals.

PART EIGHT: OBLIGATIONS

1. What must employees do?

Alliance employees shall be familiar with and comply with the Organization policies and regulatory requirements that affect their job responsibilities. They shall be committed to raising any concern about potential ethics violations and are expected to cooperate in any investigation related to an ethics concern.

2. What must leaders do?

Alliance leaders are responsible for creating a culture of prevention, detection, and response to compliance issues about which employees feel comfortable raising concerns.

3. Speak-up culture


We encourage employees to raise questions or concerns. We listen to them carefully and offer guidance when they need help, including identifying available resources for reporting. Speak up if someone is breaking our Code, regardless of the person's position in the Organization.

Employees shall promptly report any known or suspected violations of this Code, misuse of resources, abuse of authority, or unethical conduct in accordance with the Whistleblower Policy of the Alliance.

Reports shall be made in good faith and without fear of retaliation.

Employees shall rely on the Alliance Whistleblower and Protection against Retaliation Policy, which aims to provide an avenue for employees to raise concerns and reassurance that they will be protected from reprisals or victimization for whistleblowing.

We also provide an anonymous ethics and compliance Whistleblower Hotline for all staff of the Alliance.

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PART NINE: ACCOUNTABILITY

1. Accountability for non-compliance with the Code

Any staff found to have violated this Code and other underlying documents and local laws could be subject to discipline up to dismissal or termination of their contract, or, depending on the violation, even referral to local authorities for possible criminal prosecution.

2. Protection against retaliation

The Code, our policies, and other applicable laws and regulations prohibit retaliation against anyone who reports a concern or who cooperates in an ethics investigation.

We encourage staff to come forward, speak up, and raise any breach of the Organization's regulations and we support an open environment in which this reporting is viewed as a positive action because staff are protecting the best interests of the Organization.

We expect our leaders to support employees who come forward to discuss questions or concerns about business conduct.

3. No false accusations

We will take great care to protect persons from false accusations. Employees who knowingly submit a false report will be subject to disciplinary action.

PART TEN: OTHER RESOURCES AND CONTACT INFORMATION


1. Offices

Senior Ethics Officer

The Africa Hub
c/o ICIPE Duduville Campus, off Kasarani Road
P.O. Box 823 – 00621
Nairobi, Kenya
Email: alliance-ethicspoint@cgiar.org

Legal Office

The Americas Hub
Km 17, Recta Cali-Palmira CP 763537
Email: AllianceLegalOffice@cgiar.org


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CGIAR Ethics & Integrity Office
 CGIAR System Management Office
 1000, Avenue Agropolis
 F-34394 Montpellier cedex 5
 France
Email: ethics@cgiar.org

PART ELEVEN: RELATED POLICIES/REFERENCES FOR MORE INFORMATION

- Research Ethics Policy
- Delegation of Authority Policy
- Whistleblower Policy
- Disciplinary Policy
- Grievance Policy
- Enterprise Risk Management Policy
- Intellectual Assets and Intellectual Property Rights Policy
- Fraud Prevention Policy
- Procurement Policy
- Cybersecurity and Privacy Policy
- Anti-Harassment and Discrimination Policy
- Safeguarding Policy

For the latest version of the policies, please consult the Policies and Guidelines Dashboard [available here.](#)

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PART TWELVE: POLICY APPROVAL AND REVIEW

This Code of Ethics and Conduct shall be approved by the Alliance Board of Trustees and will be managed and reviewed by the Senior Ethics Officer. The effective date of this revised Code is **21 September 2020**. This Code supersedes previous policies regarding this subject matter and previous policies are considered rescinded.


VERSION CONTROL

VERSION	DATE OF APPROVAL OF THE NEWEST VERSION	DESCRIPTION OF CHANGE	PREPARED BY
00	18/09/2020	First Alliance Code of Ethics and Conduct	Maria Fernanda Bedoya Rose Taremwa
01	24/07/2024	Updated logo, updated contact information of HQ office (p. 19)	Nicole Demers, Maria del Mar Bonilla
02	29/11/2024	Second Alliance Code of Ethics and Conduct. Changed responsibilities from Human Resources to Senior Ethics Officer	Franck Eric Noukam Reviewed by ODU Approved by the Board of Trustees
03	12/06/2025	The whole document was reviewed to ensure alignment with the CGIAR Integrated Partnership Code of Ethics & Business Conduct for Personnel.	Franck Eric Noukam Reviewed by ODU

Reviewed by:


Approved by:

Executive Committee	Whole Board on 18 September 2020
Julia Marton-Lefèvre Alliance Board Chair	
	12 June 2025
Vanessa Riveros , Head, Organizational Development Unit Senior Management Team Executive Committee of the Board of Trustees	Board of Trustees

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ANNEX 1: DEFINITIONS

1. **Abuse of authority:** The improper use of a position of influence, power, or authority by an individual toward 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 could be physical, verbal, visual, or written.
4. **Conflict of interest:** A situation in which employees have an actual, perceived, or potential personal interest (whether financial, personal, or otherwise) that might affect, or be affected by, the conduct of their duties and responsibilities with respect to the Alliance. A conflict of interest or appearance of conflict of interest might arise when
 - a) Personnel’s private interests interfere or appear to interfere with the interests of the Organization;
 - b) Personnel take action or have interests that make it difficult to discharge their functions impartially and effectively and to discharge their official duties with only their Organization’s interests in mind; or
 - c) Personnel receive improper personal benefits as a result of their status or affiliation with the Alliance. 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 Personnel know, or have reason to know, is confidential or sensitive or not generally available to the public, including the fact that such information has been delivered to the Alliance. This includes but is not limited to records relating to internal deliberative processes, such as internal notes, memoranda, and correspondence (including emails) among Personnel.
6. **Corruption:** This is 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 violate 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 could 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 person’s race, gender, religion,

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nationality, ethnic origin, sexual orientation, disability, age, language, or any other protected characteristic under applicable law. It could 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 could involve legal or illicit funds and might 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 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 Alliance 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 and/or (2) creating an intimidating or hostile work environment and/or unreasonably interfering with another person's ability to carry out his/her functions at work. See the Anti-Harassment and Discrimination 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 that 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:** This 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 could be the victim of sexual exploitation. See the 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 could include unwanted sexual advances, unsolicited requests for sexual favors, or any other behavior of a sexual nature that might reasonably be expected or be perceived to intimidate or cause offense or humiliation to another, when such conduct interferes with work or is made a condition of employment. See the Anti-Harassment and Discrimination Policy for more details.