CONTENT

1. INTRODUCTION........................................................................................................................................2
2. PURPOSE..................................................................................................................................................2
3. APPLICABILITY..........................................................................................................................................2
4. SCOPE ......................................................................................................................................................3
5. DEFINITIONS ..........................................................................................................................................3
6. PRINCIPLES AND STANDARDS ...............................................................................................................4
7. ROLES AND RESPONSIBILITIES OF THE PARTIES ............................................................................4
8. PREVENTION AND MONITORING ........................................................................................................6
9. REPORTING AND RESPONDING TO SEXUAL HARASSMENT ............................................................6
10. RIGHTS OF THE PARTIES .....................................................................................................................9
11. ACCOUNTABILITY .................................................................................................................................9
12. OTHER RESOURCES AND CONTACT INFORMATION .........................................................................10
14. POLICY APPROVAL .............................................................................................................................10
15. VERSION CONTROL .............................................................................................................................11
ANNEX 1 .....................................................................................................................................................12
1. INTRODUCTION

The Global Sexual Harassment Policy is designed to reflect the Alliance of Bioversity International and CIAT’s (hereafter, the “Alliance”) unwavering commitment to integrity, legal compliance, and ethical conduct.

The Alliance is committed to providing a safe environment for all its employees free from discrimination on any ground and from harassment, including sexual harassment. The Alliance will operate a zero-tolerance policy for any form of sexual harassment, treat all incidents seriously, and promptly investigate all allegations of sexual harassment.

This Policy brings together key elements of the Alliance Code of Ethics and Conduct. The aim is to reinforce key messages and expectations related to ensuring a safe working environment for all our people.

2. PURPOSE

The Alliance is committed to ensuring a safe environment free of sexual harassment in its activities and operations. In line with this commitment, the purpose of this Policy is to provide efficient and accountable guidelines for preventing and responding to sexual harassment.

The Alliance has zero tolerance toward sexual harassment and, by adopting this Policy, the Alliance demonstrates both commitment and contributions to preventing sexual harassment from occurring in the first place, and to ensuring a prompt, impartial, and effective response to allegations of this nature.

This Policy provides a shared understanding of prevention of sexual harassment concepts, conduct that represents a breach of acceptable behavior for the Alliance, a series of reporting mechanisms, and an agreement as to the roles and responsibilities with respect to the prevention of sexual harassment.

3. APPLICABILITY

This Policy provides a global framework, respecting all applicable laws and regulations of the countries where we operate. If the Alliance Global Sexual Harassment Policy differs from local laws and our policy has more rigorous expectations, the requirements of this Policy are in addition to any other applicable requirements.

As business transactions may involve more than one country, we strive to comply with all applicable laws. Conflict of laws will be referred to the Alliance Legal Office for review.
4. SCOPE

4.1 This Policy applies to all employees, staff members, Board of Trustees members, 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, and engaging in any outside employment or activity.

4.2 The Alliance will not tolerate any form of sexual harassment or other discriminatory or inappropriate behavior within the workforce. Employees are prohibited from harassing others, whether on Alliance premises or elsewhere and whether during or outside working hours.

4.3 This Policy applies equally to both men and women and provides employees who are the victims of harassment with a series of reporting mechanisms. Non-employees who are harassed by employees may lodge a grievance with the Organization in terms of this Policy, whether the harassment has taken place in the workplace or during the harasser’s employment.

4.4 All people who have dealings with the Organization, whether it is a manager or supervisor, an employee, a consultant, a student, a job applicant, or a member of the public, are entitled to an environment free from intimidation and sexual harassment.

5. DEFINITIONS

Sexual harassment: Sexual harassment is any unwelcome sexual advance, request for sexual favor, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might reasonably be expected or perceived to cause offense or humiliation to another when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile, or offensive work environment. While typically involving a pattern of behavior, it can take the form of a single incident. Sexual harassment may occur between persons of the opposite or same sex. Both males and females can be either the victims or the offenders.

Sexual harassment may take the form of unwelcome physical, verbal, or non-verbal conduct, which may include, but is not limited to, the following:

a. Unwanted physical contact, ranging from touching to sexual assault;

b. Verbal forms of sexual harassment, including unwelcome sexual innuendoes, suggestions, and hints; sexual advances; comments with sexual overtones; sex-related jokes or insults; comments about a person’s body; or enquiries about a person’s sex life or sexual orientation;

c. Non-verbal forms of sexual harassment, including unwelcome gestures, whistling, indecent exposure, or the unwelcome display of sexually explicit pictures or objects;
d. Unwanted messages of a sexual nature that are sent via email, SMS, Skype, voice messages, and other electronic means, whether using Alliance IT/devices or personal mobiles/equipment; or

e. Sexual harassment that is linked to recruitment/employment opportunities, promotion, training, or development opportunities, or the offer of salary increments or other employee or worker benefits in exchange for sexual favors.

Sexual harassment should not be confused with the description of close personal relationships established in the Alliance Code of Ethics and Conduct.

6. PRINCIPLES AND STANDARDS

The Alliance collaborates in the prevention of sexual harassment through the following guiding principles. These principles summarize our shared commitment toward preventing sexual harassment in accordance with the specific provisions set forth in the Alliance Code of Ethics and Conduct.

6.1. **We have zero tolerance for acts of sexual harassment.** We have no tolerance toward any form of sexual harassment. This means that sexual harassment is prohibited and that every transgression will be acted upon.

6.2. **We commit to raising awareness on the prevention of sexual harassment.** We pledge to prevent sexual harassment from occurring in the first place through training and awareness-raising activities.

6.3. **We commit to protecting reporting parties who act in good faith from retaliation.** We will not tolerate retaliation in any form against anyone for raising concerns or making a good-faith report of sexual harassment.

7. ROLES AND RESPONSIBILITIES OF THE PARTIES

7.1 RESPONSIBILITY OF EMPLOYEES, MANAGERS, AND SUPERVISORS

The Alliance is committed to acting ethically, honestly, and reliably. Every staff member is responsible for creating and maintaining a work environment free of harassment, intimidation, and discrimination, in which dignity is fully respected.

7.1.1 Employees are responsible for

I. Conducting themselves consistent with the Alliance Code of Ethics and Conduct;
II. Treating each other with understanding, dignity, and respect;
III. Reporting any suspicion, allegation, or evidence of sexual harassment, whether they have experienced, perpetrated, or witnessed the behavior;
IV. Taking action if they believe they are being subjected to harassment, regardless of who the alleged offender is or the nature of the harassment, by making the offensiveness of the unwelcome conduct immediately known to the offender and by reporting it to any other party as per the reporting procedures;

V. Cooperating in any investigation related to an incident of sexual harassment;

VI. Complying with applicable country legislation regarding sexual harassment;

VII. Participating in training on the prevention of sexual harassment and supporting the Human Resources Policy and Employee Relations Unit in awareness-raising campaigns; and

VIII. Upholding the obligations set forth in this Policy and being aware of their duty of care, which means behaving in a manner that respects and fosters each other’s rights and the rights of the people they serve.

7.1.2 Managers and supervisors are responsible for

I. Building and promoting an ethical organizational culture and leading by example;

II. Demonstrating personal compliance with this Policy;

III. Assisting location management with the investigation and resolution of complaints;

IV. When required, taking decisive action in regard to any breach of this Policy as warranted by the circumstances, ensuring that incidents are promptly addressed;

V. Ensuring that measures for the prevention of sexual harassment are integrated into relevant core internal processes and practices; and

VI. Ensuring that all Alliance employees receive regular updates and training about this Policy and its application.

7.1.3 The Organization is responsible for

I. Championing an ethical organizational culture by actively embracing this Policy and setting the tone;

II. Providing a safe environment that promotes implementation of this Policy;

III. Ensuring that all employees have access to, are familiar with, and know their responsibilities pursuant to this Policy;

IV. Creating awareness of conduct that may be construed as sexual harassment, for example, during staff meetings and on-boarding processes;

V. Providing guidance on how complaints of sexual harassment can be brought to the attention of the employer;

VI. Acting upon all complaints to ensure that they are resolved promptly, confidentially, and fairly;

VII. Protecting that all discussions, communications, and actions are handled with sensitivity and utmost confidentiality; and

VIII. Taking disciplinary measures against any person under the employer’s direction who subjects any employee to sexual harassment.
7.2 CONFIDENTIALITY

The employer will not disclose the name of a complainant or the circumstances related to the complaint to any person except when disclosure is necessary for the purpose of investigating the complaint or taking disciplinary measures.

8. PREVENTION AND MONITORING

8.1. Raising awareness, communication, and dissemination of information toward prevention

The Alliance, through the Human Resources Policy and Employee Relations Unit, ensures consistent communication and dissemination of information to support effective implementation of this Policy, and to raise awareness about the prevention of sexual harassment.

The outreach and communication efforts shall ensure that sexual harassment materials are distributed to all employees and stakeholders, and that appropriate tools and channels are used for awareness-raising campaigns regarding sexual harassment.

The Alliance will ensure the incorporation of the standards on sexual harassment in recruitment documentation, in on-boarding materials/sessions, and in courses and workshops.

9. REPORTING AND RESPONDING TO SEXUAL HARASSMENT

Anyone who is subject to sexual harassment should, when possible, inform the alleged harasser that the conduct is unwanted and unwelcome. The Alliance recognizes that sexual harassment may occur in unequal relationships (i.e., between a supervisor and a direct report) and directly expressing discomfort may not be possible and therefore provides multiple mechanisms to support employees with taking action if they believe that they are being subjected to sexual harassment, regardless of who the alleged offender is.

Staff members should be aware of any conduct directed at them that they may construe as unwelcome. In some situations, a person may not realize that his or her behavior is inappropriate or undesirable. As a resolution mechanism, staff members may opt to seek the advice and intervention of a Regional Human Resources Manager in facilitating the addressing of concerns. Local labor laws and the nature of the concerns will be the determining factors related to this mechanism.

A formal complaint occurs when the complainant presents her/his grievance to the entities/committees authorized by the country laws or to the Regional Human Resources Manager using the Alliance Sexual Harassment Complaint Form or by submitting the complaint through Lighthouse reporting mechanisms. This will ensure a prompt and thorough investigation according to the country laws and this Policy.
9.1 Reporting channel

Alliance Whistleblower service: Staff may report a complaint through the Alliance Whistleblower service (see Annex 1).

9.2 Alternative reporting channels

Staff may make a direct report using the Sexual Harassment Complaint Form through the following additional channels:

1. The immediate supervisor: Employees can convey their concerns in writing to their immediate supervisor; when the offender is the immediate supervisor, then employees should report to the next level up.

2. Lever directors/department managers/heads: If the concern relates to their supervisor or if the supervisor has not acted on earlier similar complaints, employees can make written reports to their lever director/department manager/unit head.

3. Regional Human Resources Manager: Employees can convey their concerns in writing to the Regional Human Resources Manager.

4. Committees and entities authorized by country laws: Employees can convey their concerns in writing to the harassment committee or another entity that has been authorized by country laws.

9.2.1 When the sexual harassment complaint is received, the following information will be recorded on a Case Management Form:

- dates, times, location, witnesses, and facts of the incident(s)
- evidence documenting the harassment (pictures, messages, audio, others)
- gather the views of the complainant as to what outcome he/she wanted
- share with the complainant the procedures for dealing with the complaint
- mutual agreement to keep a confidential record of all discussions

9.3 Anonymous reports/complaints

Although it is preferred and recommended that employees identify themselves when reporting under the above confidential options in order to assist with the investigation of the matter being raised, an employee may also choose to remain anonymous. In the case of an anonymous complaint, the following will apply:

- Such complaints will be subject to careful review and will be investigated only if the report contains enough information to indicate that there is a basis for the complaint.
- No person subject to such complaints will have to defend himself/herself unless a subsequent investigation independently identifies that he/she has a case to answer.
• If a decision is made to investigate an anonymous complaint, if possible, this will be done as part of the routine audit of the area. The main purpose of such investigations is to see whether there is some control weakness that would plausibly allow the behavior being reported and, if so, then look further. If at any time the complaint appears unfounded, the investigation will stop and be reported to the Global Human Resources Policy and Employee Relations Unit.

9.4 Investigation and disciplinary action

9.4.1 After the complaint is received by the Regional Human Resources Manager, the investigation should be reported to the Human Resources Global Policy and Employee Relations Unit and will follow the next steps:
• Comply with applicable country legislation regarding sexual harassment.
• Interview the complainant and alleged harasser privately and individually.
• In consultation with the complainant(s), interview witnesses and third parties separately, ensuring confidentiality.
• Based on the evidence, decide whether or not the incident of sexual harassment took place.
• Complete a Case Management Report containing the findings and recommendations as a confidential record.
• If the harassment took place, decide the appropriate measures and ensure implementation to stop the unwanted behavior.
• If the harassment cannot be determined, implement appropriate measures to ensure a healthy workplace.
• Guarantee that the investigation is done expeditiously and that measures are implemented within 5 business days of receiving the complaint.
• The investigation will take place even if the harassment happened a long time back.

9.4.2 Any individual who has been found to have sexually harassed another person will be penalized according to any of the following sanctions:
• Verbal or written warning, linked to performance evaluation
• Suspension, also linked to performance evaluation
• Dismissal
• This information will be recorded on the Case Management Form and in the individual’s personnel file.
• The case may also be reported to the police or relevant local authorities if it is a criminal offense, and the Alliance will comply with local labor regulations.

9.4.3 During the course of the investigation, the Alliance will ensure that the complainant is protected from any retaliation, and even consider the possibility of reassigning the complainant to a different reporting manager or sub-unit. Any sort of retaliation against the complainant or a witness is strictly prohibited.
9.5 Appeal application

Should an employee wish to appeal against the outcome of a formal sexual harassment complaint procedure, he/she must do so in writing within 10 working days of the receipt of the outcome letter to a Global Human Resources and Employee Relations representative, setting out the grounds of the appeal and stating whether the appeal is in respect of the whole or in respect of any specified part of any finding of fact or decision.

10. RIGHTS OF THE PARTIES

The complainant is entitled to

I. File a complaint with the immediate supervisor, lever director/department head, Regional Human Resources Manager, or a representative of the Human Resources Policy and Employee Relations Unit without fear of embarrassment or reprisal.

II. Immediate action once the complaint has been filed.

III. Have a readily available fellow employee of her/his choice accompany her/him during the process.

IV. Assurance that no record of the complaint is placed in her/his personnel file if the complaint was made in good faith.

V. Be informed about the progress of the complaint.

VI. Be informed of the type of corrective measures that will result from the complaint.

VII. Receive fair treatment.

VIII. No victimization or retaliation for lodging a complaint of sexual harassment in good faith.

The alleged harasser has the right to

I. Be informed of the complaint.

II. Be given a written statement of the official allegations.

III. Be given an opportunity to respond to the alleged complaint.

IV. Have a readily available fellow employee of his/her choice accompany him/her during the process.

V. Be informed of the progress of the complaint.

VI. Receive fair treatment.

11. ACCOUNTABILITY

11.1. Accountability for non-compliance with this Policy

Any staff member found to have violated this Policy and other underlying documents and local laws can be subjected to discipline up to dismissal or termination of his/her contract, or, depending on the violation, even referral to local authorities for possible criminal prosecution.

11.2. Protection against retaliation

The Alliance prohibits retaliation against anyone who makes a good-faith report or participates in an investigation of a complaint under this Policy, or who otherwise acts to enforce or uphold this Policy.
12. OTHER RESOURCES AND CONTACT INFORMATION

**Legal Office**
**Address**
The Americas Hub  
Km 17, Recta Cali-Palmira CP 763537  
**Email**
AllianceLegalOffice@cgiar.org

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

13. RELATED POLICIES/REFERENCE FOR MORE INFORMATION

- Code of Ethics and Conduct  
- Delegation of Authority Policy  
- Whistleblower Policy  
- Discipline Code Policy  
- Grievance Policy

14. POLICY APPROVAL

This Global Sexual Harassment Policy shall be approved by the Senior Management Team and will be managed and reviewed by Human Resources. The effective date of this policy is **3 May 2021**. This Policy supersedes previous policies regarding this subject matter, and previous policies are considered rescinded.
15. **VERSION CONTROL**

<table>
<thead>
<tr>
<th>VERSION</th>
<th>DATE OF APPROVAL OF THE NEWEST VERSION</th>
<th>DESCRIPTION OF CHANGE</th>
<th>PREPARED BY:</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>3 May 2021</td>
<td>First Alliance Global Sexual Harassment Policy</td>
<td>Rose Taremwa, Maria Fernanda Bedoya</td>
</tr>
</tbody>
</table>

**Reviewed by:**

<table>
<thead>
<tr>
<th>Ingrid Lambert</th>
<th>Approved virtually on 3 May 2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resources Director</td>
<td>Senior Management Team (SMT)</td>
</tr>
</tbody>
</table>
ANNEX 1

Reporting Channel

Lighthouse Services is the Alliance’s external, independent, anonymous, and secure whistleblower service, which is available 24 hours a day, seven days a week. Staff may report any allegation through the following five channels:

1. **On the website:** Go to [www.lighthouse-services.com/cgiar](http://www.lighthouse-services.com/cgiar), click on the “Report an Incident” icon, and follow the instructions.

2. **By telephone:**

   After connecting to your country number, dial the hotline number 800-603-2869.

3. **Via email:** Send an email to reports@lighthouse-services.com, including the name of the Alliance of Bioversity-CIAT in the subject and content of the email.

4. **Via mail:** Send the report to Lighthouse Services, Inc., 1710 Walton Rd., Suite 204, Blue Bell, PA 19422, USA. Be sure to include the Alliance’s name in the report.

5. **Via fax:** (215)-689-3885. Be sure to include the Alliance’s name in the report.