



# CODE OF ETHICS AND CONDUCT

**May 15, 2019**

The Institute is entitled to amend, suspend or rescind this policy at any time. Whilst, the Institute has made best efforts to define detailed procedures for implementation of this policy, there may be occasions when certain matters are not addressed or there may be ambiguity in the procedures.

Such difficulties or ambiguities will be resolved in line with the broad intent of the policy, by the Director General or Governing Board Chair (on case to case basis). The Institute may also establish further rules and procedures, from time to time, to give effect to the intent of this policy and further the objective of good corporate governance.

# CODE OF ETHICS AND CONDUCT

## 1. PREFACE

ICRISAT (“the Institute”) has adopted this Code of Ethics and Conduct (“the Code”), which lays down the principles and standards that govern the actions of the Institute and its workforce. All members of the ICRISAT Workforce must abide by this Code. Any actual or potential violation of the Code would be a matter of serious concern for the Institute.

ICRISAT is committed to uphold good corporate governance principles that are open, transparent, fair and objective and demonstrate a commitment on the part of ICRISAT to operate in a manner intended to facilitate high levels of honesty and integrity amongst its workforce. The Code presents a general guide to the Institute’s workforce on the ethical judgement, actions and behaviors expected in the workplace to ensure a robust safeguarding environment. It is designed to create a culture of best practice and is further detailed in the policies located in the Framework on Ethics and Safeguarding.

ICRISAT recognizes that the actions of External Partners can have a direct impact on the Institute’s reputation. For this reason, we expect all our External Partners to meet the same high standards when working with ICRISAT, or on our behalf.

## 2. OBJECTIVE

This Code is intended to establish and clarify the expected standards of workplace behavior in the Institute.

However, no Code of Ethics and Conduct can cover all the situations that a member of the ICRISAT Workforce or External Partner may encounter. Therefore, the following principles apply where specific rules have not been documented:

- All decisions made, and actions taken, must be consistent with the Institute’s values and objectives and be in the best interests of ICRISAT;
- ICRISAT is focused on delivering long-term value to its stakeholders. It is expected that all members of the Workforce will do what is right to support the long-term goals of the Institute;
- It is the individual responsibility of each workforce member to aspire to the highest possible standards of ethics and conduct, and to demonstrate this in judgement, actions and behaviors;
- It is the duty of all members of the workforce to report perceived breaches of the Institute’s Code of Ethics and Conduct, in line with ICRISAT’s policy on Whistle blowing and Protection From Retaliation. An individual who makes such a report in good faith has the right to be protected against retaliation.

## 3. INTRODUCTION

Ethical conduct in judgement, actions and behaviors is critical to the attainment of ICRISAT’s mission. It is both the individual and collective responsibility of the ICRISAT workforce to respect and adhere to the Code:

- This Code is designed to deter wrongdoing and promote, among other things;
  - honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;
  - full, fair, accurate, timely and understandable disclosure in the reports and documents we file, communicate or submit internally or externally;
  - judicious use of the immunities and privileges extended to the Institute and compliance with applicable laws, rules and regulations;
  - the protection and appropriate use of Institute assets and confidential information;

- the promotion of fair and equitable practices;
- the prompt internal reporting of violations of this Code, and
- the assumption of personal accountability for adherence to this Code
- The Code will evolve over time, incorporating best practices and principles and lessons learned. Nevertheless, the Institute’s commitment to ethics and the expectation of ethical workplace conduct in judgement, actions and behaviors will remain constant.

#### 4. GLOSSARY

Institute	International Crops Research Institute for Semi-Arid Tropics (ICRISAT)
Abuse of Authority	The improper use of a position or expertise or authority by an individual towards others. Abuse of authority can include a one-time incident or a series of incidents. It may consist of conduct that creates a hostile or offensive work environment or conducts, where an individual uses her or his influence, power, expertise or authority to inappropriately influence their career or employment conditions or those of others.
Workforce	Refers to particular individuals who have a contractual relationship with ICRISAT such as members of Regular Staff Cadres, members of the Non-Regular Special Assignments category, members of Short-term contracts, members of Job-contracts, Learner-Participants and Third-party contractors; regardless of their position, type of employment, or location.
Children	All young people under the age of 18
Vulnerable Adults	Someone who is, or may be, in need of care services by reason of disability, age or illness; and is or may be unable to take care or unable to protect her or himself against significant harm or exploitation
External Partners	Refers to Donors, Vendors, Contractors, Technical Partners, Suppliers, Contractors or its workforces, agents or representatives, collaborators distributors, and or any other individual engaged in any dealings with ICRISAT.
Conflict of Interest	A situation that has the potential to undermine the impartiality of a member of the ICRISAT workforce, because of the possibility of a clash between the individual's self-interest and the best interests of the Institute. A Conflict of Interest may be Actual, Potential or Perceived, and of the nature of any circumstance described in Section 6 of the Conflict of Interest policy.
Protected Disclosure/ Disclosure	A concern raised via the concern line number or on the case management tool made in good faith that discloses or demonstrates information that may evidence unethical or improper activity. Protected Disclosures/ Disclosures should be factual and not speculative in nature.
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 exploitation of someone else
Sexual Abuse	Actual or threatened physical intrusion of a sexual nature, whether by force, coercion or under unequal conditions
Whistle Blower (WB)	Someone who makes a Protected Disclosure under the Whistle Blowing and Protection from Retaliation Policy
Retaliation	A direct or indirect administrative decision and/or action that adversely affects the employment or working conditions of a Whistle Blower. Such action is taken for the purpose of punishing, intimidating or injuring the Whistle Blower because the WB has: <ul style="list-style-type: none"> <li>• Reported suspected wrongdoing that implies a significant risk to the Institute; and/or</li> <li>• Cooperated with a duly authorized audit or an investigation of a report of wrongdoing.</li> </ul> <b>Retaliation can include, without being limited to:</b> <ul style="list-style-type: none"> <li>• Harassment;</li> <li>• Discrimination;</li> </ul>

	<ul style="list-style-type: none"> <li>• Unsubstantiated negative performance appraisals;</li> <li>• Unjustified contractual changes: termination, demotion, reassignment or transfer;</li> <li>• Unjustified modification of duties;</li> <li>• Unjustified non-authorization of holidays and other leave types;</li> <li>• Unjustified termination or compensation decreases, or poor work assignments or threats of physical harm</li> <li>• Malicious delays in authorizing travel, or the provision of entitlements;</li> <li>• Threat to the Whistle Blower, their family and/or property including threats that may come from outside ICRISAT.</li> </ul> <p>Retaliation will be treated as gross misconduct and is subject to appropriate disciplinary action, in accordance with Disciplinary Procedures.</p>
Supervisor	The immediate supervisor of the ICRISAT workforce member. The Supervisor is primarily responsible for ensuring that the workforce member's work is delivered in line with the Institute's expectations, policies and procedures.
Disciplinary Action	Any action that can be taken on the completion of/during the investigation proceedings including but not limited to, a warning, imposition of fine, suspension from official duties or any such action as is deemed to be fit considering the gravity of the matter, in accordance with Disciplinary Procedures.

## 5. **ELEMENTS OF THE CODE OF CONDUCT**

This Code does not attempt to list all the ethical challenges an ICRISAT workforce member or external partner may possibly face in the course of daily duties. It serves as a guide when an individual is in doubt about the possible implications of an action or decision and refers individuals to the appropriate policy for further guidance.

### 5.1 **Ethical, Honest and Respectful Treatment**

ICRISAT expects its workforce to act in accordance with the highest standards of personal and professional ethics and integrity, demonstrating accountability, truth, impartiality and incorruptibility. These standards are applicable while working in ICRISAT premises, at locations where the Institute's work is being conducted, at Institute-sponsored industry/social events, and while traveling, which includes commute to work or at any other place where a person is representing ICRISAT.

Ethical conduct is conduct that is free from fraud, partiality or deception and includes the ethical handling of actual, potential or perceived conflicts of interest between personal and professional relationships.

Honest conduct is truthful and just and is reliable representation in all aspects. It is in compliance with all the applicable country laws of the individual's duty station.

Respectful treatment demonstrates, in judgement, actions and behaviors, a commitment to creating a work environment that encourages diverse perspectives and upholds the dignity of work and of individuals.

### 5.2 **A Diverse and Inclusive Workplace**

ICRISAT recognizes that being a diverse and inclusive workplace is a matter of obligation, social justice and legal responsibility. The Institute also recognizes that prohibiting discriminatory policies and procedures is an appropriate and sound management practice that positively impacts on our delivery. In all workplace activities, ICRISAT aims to adhere to the best practice diversity and inclusion standards of international organizations.

ICRISAT is committed to workplace gender equity. Gender equity means fairness of treatment for women and men, according to their respective needs. This may include equal treatment or treatment that is different, but considered necessary to enable the equal participation of women and men in terms of rights, benefits, obligations and opportunities in their professional life.

In ensuring a diverse and inclusive workplace, ICRISAT's workplace culture continues to prioritize Institutional performance.

*For more information, please refer to the Employment section in the Personnel Policy Manual (PPM) and ICRISAT's Gender Equality, Diversity and Inclusion Strategy.*

### **5.3 An Environment free from Discrimination, Harassment and Bullying**

ICRISAT is committed to providing a work environment free of discrimination, harassment and bullying. The Institute prohibits discrimination and/or harassment and/or bullying of any kind, including on the basis of an individual's sex, gender, race, color, national origin, age, religion, disability, sexual orientation etc.

Although discrimination, harassment or bullying may not always be intended, the impact – not intent – is a key factor. It may consist of a single or repeated incident(s); regardless a single incident is considered to be unacceptable if it has a negative impact on an individual or the work environment.

Consistent with this principle, ICRISAT provides all workforce members with avenues of advisory support, reporting mechanisms and protection from retaliation. All members of the ICRISAT workforce must report any actual or suspected unethical behavior related to discrimination, harassment or bullying.

*For more information, please refer to the current Workplace Harassment and Discrimination Procedures; Sexual and Workplace Harassment and Discrimination policy; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

### **5.4 The Prevention of Sexual Exploitation and Abuse**

ICRISAT places human dignity at the center of our work. We take a zero tolerance stance on exploitative and abusive relationships. Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to sexual exploitation.

Sexual relationships are prohibited between ICRISAT's workforce members and any individual in their workplace hierarchy, and between workforce members and/or participants and/or beneficiaries of ICRISAT's programs where they are based upon inherently unequal power dynamics. Such relationships undermine the credibility and integrity of ICRISAT's work.

Members of the ICRISAT workforce will not request any service or sexual favor from any ICRISAT stakeholder, including participants in ICRISAT's programs, children or others in the communities in which ICRISAT works, in return for protection or assistance, and will not engage in sexually exploitative relationships.

Members of the ICRISAT workforce will not exchange money, employment, goods or services for sex, including sexual favors or other forms of humiliating, degrading or exploitative behavior. This prohibition against exchange of money for sex means that members of the ICRISAT workforce may not engage the services of sex workers while on ICRISAT business, including on any ICRISAT premises or accommodation, or while travelling to/from or attending workshops, meetings and trainings, regardless of the local or national law concerning sex work or prostitution in the country.

*For more information, please refer to the Sexual and Workplace Harassment and Discrimination policy; the Prevention of Sexual Exploitation and Abuse policy; the Conflict of Interest; the Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

### **5.5 Safeguarding Children and Vulnerable Adults**

ICRISAT is committed to Safeguarding in its broadest sense and strives to protect all the people we work with and through from unintended harm. We believe that everybody has responsibility for safeguarding and that we have a safeguarding duty of care to beneficiaries and workforce members. This includes children and vulnerable adults in the community, who are not direct beneficiaries but may be vulnerable to abuse.

All members of the ICRISAT workforce have a responsibility to ensure the safety of children and vulnerable adults with whom they work. It is the responsibility of each member of the workforce to be aware of the Institute's requirements regarding the safeguarding of children and vulnerable adults, to promote good practice and to minimize and manage potential risks. All members of the ICRISAT workforce working with children and/or vulnerable adults may be required to undergo awareness training.

No member of the ICRISAT workforce should meet with a child or vulnerable adult on their own; ask overly personal questions, including those about age or appearance (unless specifically related to a work project, in which case it must be documented with appropriate ethics approval); send/give out material that could be considered offensive, which includes material on social media sites; suggest or imply a personal relationship could develop; take an aggressive or bullying tone; have physical contact; offer or accept personal gifts; and/or travel alone with a child and/or vulnerable person in the course of duties.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to the safeguarding of children and vulnerable adults.

*For more information, please refer to the Safeguarding of Children and Vulnerable Adults policy; the Prevention of Sexual Exploitation and Abuse policy; the Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.6 Environment, Health and Safety**

ICRISAT recognizes that exemplary environmental, health and safety performance contributes to our ability to deliver on our critical mandate and benefits our stakeholders, as well as the environment. The safety of the Institute's workforce and the protection of our environment are of primary importance to ICRISAT.

To protect the Institute's workforce, the environment and its operating locations, ICRISAT is committed to: providing a safe and healthy working environment as a prerequisite to global operations; continuous improvement in minimizing environmental impacts; and the on-going reduction of risks at ICRISAT's operating sites.

ICRISAT will comply with the applicable environmental, health and safety laws, directives, regulations and other requirements in the countries we operate in, as a baseline, and will aim to exceed such.

ICRISAT requires all workforce members to make sound environmental, health and safety management an integral part of their work. ICRISAT supervisors will demonstrate environmental, health and safety leadership, and will strive to prevent occupational illness and injury in all ICRISAT operations.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to ICRISAT's environment, health and safety.

*For more information, please refer to the Environment, Health and Safety (EHS) Policy; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.7 Drug, Alcohol and Weapons Abuse**

To meet ICRISAT's responsibilities towards our Workforce and External Partners, the Institute will maintain a safe, healthy and productive work environment. Substance abuse, or selling, manufacturing, distributing, possessing, using or being under the influence of illegal drugs and alcohol while at work is absolutely prohibited.

The unauthorized possession and/or use of weapons/firearms or ammunition on Institute premises is strictly prohibited, except with the prior permission of the Institute or as otherwise required by applicable law. The possession of a weapon can be authorized only for security personnel, when this possession is determined necessary to secure the safety and security of Workforce.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to drug, alcohol and weapons abuse.

*For more information, please refer to the Environment, Health and Safety (EHS) Policy; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.8 Conflict of Interest**

ICRISAT is committed to conduct research and operations in a manner that will ensure professional judgment with decision-making not influenced by undue personal interests. The personal interests of ICRISAT's workforce should not influence their professional judgment or decision-making on behalf of the Institute.

ICRISAT respects the personal life of its workforce, but expects them to avoid situations that could result in a conflict between their personal interests and those of the Institute. Members of the ICRISAT workforce are expected to recognize when they have, potentially could have, or could be perceived as having, a conflict of interest. ICRISAT encourages its workforce members to access appropriate advisory support, should they be in doubt about what circumstances might create a conflict of interest.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to conflicts of interest.

*For more information, please refer to the Conflict of Interest Policy; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.9 Gifts, Favors, Corruption and Benefits**

ICRISAT is committed to uphold good corporate governance principles that are open, transparent, fair and objective, and demonstrate a commitment on the part of ICRISAT to operate in a manner intended to facilitate high levels of honesty and integrity amongst its workforce.

In this light, under no circumstances may any member of ICRISAT's workforce accept any offer, payment, promise to pay, or authorization to pay any money, gift, or anything of value from customers, suppliers, vendors, consultants, etc, that is perceived as intended, directly or indirectly to influence any decision, any act or failure to act, any commitment of fraud, or opportunity for the commission of any fraud. In connection with certain holidays and other occasions, it is customary in many parts of the world to give and receive nominal value gifts to and from external partners. The value of such gifts can be up to \$100.

ICRISAT maintains a detailed Anti-Fraud and Anti-Corruption (AFAC) policy. It is the responsibility of each member of the workforce to be aware of the Institute's requirements in the AFAC policy, to promote good practice and to minimize and manage potential risks.

ICRISAT encourages its workforce members to access appropriate advisory support, should they be in doubt about what circumstances might constitute a breach of the AFAC policy.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to gifts, favors, corruption and benefits.

*For more information, please refer to the Anti-Fraud and Anti-Corruption Policy; Conflict of Interest Policy; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.10 Use of Physical and Financial Assets**

The integrity of the Institute's financial transactions and records is critical and is a key factor in maintaining the confidence and trust of our Workforce, External Partners and Donors.

ICRISAT's property includes physical and financial assets. All members of the workforce are required to pay due regard to the appropriate use of ICRISAT resources and ensure optimum utilization.

ICRISAT's workforce upholds its competitive, fair and transparent procurement process, guided by cost effective and quality oriented decisions, made with financial integrity, that eliminate the possibilities of favoritism or preferential treatment toward any supplier at all times.

ICRISAT's workforce is required to follow strict accounting principles and standards, to report financial information accurately and completely, to maintain appropriate internal controls and procedures and to ensure that the accounting and financial reporting complies with applicable standards and law, if any. It is essential that all transactions are properly recorded, classified and summarized in financial statements, books and records in accordance with applicable policies, controls and procedures, as well as all generally accepted accounting principles, standards, laws, rules and regulations for accounting and financial reporting.

ICRISAT encourages its workforce members to access appropriate advisory support, should they be in doubt about what circumstances might constitute a breach of the AFAC policy or the Financial and/or Procurement rules and regulations.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to the use of physical and/or financial assets.

*For more information, please refer to the Anti-Fraud and Anti-Corruption Policy; Conflict of Interest Policy; Financial Rules and Regulations; Procurement Policy; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.11 Intellectual Property**

ICRISAT is committed to the sound management of Intellectual Assets and Intellectual Property Rights, in accordance with all applicable laws and best practices. The Institute endeavors to engage in intellectual property due diligence for the activities carried out, and, in particular, to secure where appropriate (e.g. through licenses or non-assert covenants) the rights that are necessary for the development and delivery of products/services without infringing third party rights.

All rights, including patents and copyrights, in any work, invention and/or scientific discovery developed while in the service of ICRISAT by workforce members are vested in ICRISAT. Given that research by ICRISAT's workforce is made possible by public funds, individual workforce members will have no personal rights to intellectual property arising out of their work at ICRISAT.

ICRISAT is a unique brand name and all individuals (Workforce, External Parties etc.) that use the logo/brand name and other communication related material must strictly follow the guidelines prescribed by ICRISAT.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to Intellectual Property.

*For more information, please refer to the Intellectual Property Management Policies; Conflict of Interest Policy; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.12 Abuse of Immunities and Privileges granted**

ICRISAT prohibits the abuse of such privileges and/or immunities granted. ICRISAT has the right and the duty to waive the immunity of any workforce member, without prejudice, in the interests of the Institute and especially in instances where it is determined that the immunity would impede the course of justice.

Members of ICRISAT's workforce may be granted certain immunities and/or privileges related to their organizational position or duty station in accordance with the agreement between ICRISAT and the government of the host country to which they are assigned. Such privileges and/or immunities are accorded in the interest of Institute only, and not for the personal benefit of the individuals.

ICRISAT encourages its workforce members to access appropriate advisory support, should they be in doubt about what circumstances might create an abuse of privileges and/or immunities.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to the abuse of privileges and/or immunities.

*For more information, please refer to the Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

### **5.13 Engagement in Political activities**

ICRISAT is an international, publicly funded, non-profit organization. Therefore, all members of ICRISAT's workforce must refrain from publicly commenting, engaging or interfering in the political, governmental or religious affairs of the host country in their official capacity. All members of ICRISAT's workforce will, at all times, bear in mind the reserve and tact incumbent upon them by reason of their employment in an international organization.

While workforce members are expected to maintain courteous relations with the governments, all workforce members must remain independent of any authority outside of the Institute and their conduct must reflect that independence. For this reason, ICRISAT workforce members must not seek or obtain, under any circumstance, instructions or assistance from any government official or from any other authority external to the Institute, particularly in an attempt to:

- Interfere with the internal deliberations or policy direction of the Institute;
- Change an unfavourable action or decision, such as non-hiring, non-renewal of a workforce member's employment contract, or her/his separation or termination from the Institute; or
- Obtain a promotion.

ICRISAT encourages its workforce members to access appropriate advisory support, should they be in doubt regarding engagement in political activities.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to the engagement in political activities.

*For more information, please refer to the Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

### **5.14 Use of Social Media and other public communication channels**

ICRISAT usage of social media (including for example web blogs, twitter or Facebook accounts, postings, commenting on news articles or presenting opinions) is to facilitate engagement and enable interactive communication and collaboration among numerous participants via technology to further the Institute's mandate. Inappropriate use of social media both privately and professionally exposes the Institute to risk.

All members of ICRISAT's workforce should be aware that the internet is a public place and are expected to be sensitive while posting comments and information pertaining to the Institute's work and its workplace. Workforce members who speak to the media on subjects within their area of responsibility and expertise should bear in mind that they speak for ICRISAT, not as an individual, an academic or an independent expert in their field. All workforce members have an obligation to protect ICRISAT's reputation, independence and credibility.

ICRISAT's workforce must not independently make any comments on behalf of the Institute or provide statements to the press/social platforms without first consulting with the relevant ICRISAT authority. ICRISAT has designated representatives who communicate with the press on behalf of the Institute.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to the use of Social Media and other public communication channels.

*For more information, please refer to the SMC's Use of Social Media and Communicating with Media guidelines; the Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

### **5.15 Confidentiality**

Working for ICRISAT implies respecting and appropriately safeguarding confidentiality.

Workforce members shall exercise the utmost discretion in regard to all matters of an official nature. They shall not communicate any confidential or sensitive information known to them by reason of their official capacity.

ICRISAT encourages its workforce members to access appropriate advisory support, should they be in doubt regarding confidentiality.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to confidentiality.

*For more information, please refer to the Ethical Guidelines and Approval Standards on Research Involving Humans Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

### **5.16 Appropriate use of Authority**

ICRISAT takes a zero tolerance stance on the abuse of authority in all its forms. An abuse of authority is the improper use of a position or expertise or authority by an individual towards others. Abuse of authority can include a one-time incident or a series of incidents. It may consist of conduct that creates a hostile or offensive work environment or conduct, where an individual uses her or his influence, power, expertise or authority to inappropriately influence their career or employment conditions or those of others.

ICRISAT's workforce members must act within the scope of their authority at all times. They must exercise adequate control and supervision over matters for which they are responsible in accordance with the ICRISAT Delegation of Authority Framework.

The Institute encourages its workforce members to access appropriate advisory support, should they be in doubt regarding a potential abuse of authority.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to abuse or inappropriate use of authority.

*For more information, please refer to the ICRISAT Delegation of Authority Policy, Process & Framework; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

### **5.17 Scientific conduct and research Ethics**

ICRISAT is committed to research integrity and promotes high quality research that is ethical, efficient, accessible, transparent and rigorously evaluated. All ICRISAT research projects should adhere to the ICRISAT Ethical Guidelines and Approval Standards on Research Involving Humans to ensure that they are conducted in a manner that respects the dignity, safety and rights of research participants.

ICRISAT maintains an Ethics in Science policy, and all workforce members are expected to be aware of, and comply, with this policy.

All workforce members must demonstrate exemplary behavior in research, reflecting personal commitment through responsible action. They must apply the highest standards of scientific integrity and are responsible for ensuring adherence to ICRISAT standards.

Scientific research misconduct is considered as professional misconduct at ICRISAT and is liable for disciplinary measures. As such, it must be reported according to the ICRISAT procedures for dealing with allegations of misconduct in research.

Misconduct in research may include, without being limited to:

- Fabrication/falsification of research data or outcomes;
- Plagiarism in proposing and reporting research;
- Inappropriate claims to authorship;
- Failure to protect or the inappropriate use or disclosure of confidential or proprietary information, or the misuse of intellectual property.

The Institute encourages its workforce members to access appropriate advisory support, should they be in doubt regarding an issue around ethics in science.

Members of the ICRISAT workforce must report any actual or suspected unethical behavior related to ethics in science through Concern Resolution Process.

*For more information, please refer to the ICRISAT's Ethics in Science policy; Ethical Guidelines and Approval Standards on Research Involving Humans; Whistle blowing and Protection from Retaliation policy; and the Concern Resolution Process.*

## **5.18 Workforce Associations**

ICRISAT encourages and recognizes workforce associations, through which members of the Institute's workforce can provide their ideas and suggestions on the direction and operation of the Institute. This serves as an important consultative mechanism that enables workforce members to bring to Management's attention, problems and concerns that affect working conditions.

## **6. RESPONSIBILITIES:**

ICRISAT is committed to being an open, transparent, fair and objective workplace, with high levels of honesty and integrity, and considers its creation and maintenance to be a shared endeavor between all workforce members.

### **6.1 Responsibility of the workforce member**

All members of ICRISAT's workforce must inform themselves of the provisions of this Code and adhere to it by:

- Acting with common decency, good faith and honesty;
- Working to fulfil the duties of their position to the best of their abilities;
- Taking responsibility for their actions in the achievement of their individual objectives and deliverables;
- Displaying actions and behaviors that will enable and allow for the maintenance of a professional work environment;
- Communicating clearly and in a timely manner with colleagues whose conduct they find offensive;
- Reporting any wrongdoing through appropriate mechanisms to enable swift and appropriate action to be taken;
- Cooperating fully with Investigating Authorities and/or Enquiry Committees and ensuring that confidentiality is respected;
- Refrain from engaging in verbal or physical abuse, or acting in a way that creates an atmosphere of hostility or intimidation;
- Actively discouraging others who engage in offensive behavior;
- Not engaging in spreading gossip or rumors;
- Refrain from retaliating against, or encouraging others to retaliate against, a workforce member who has made, or has supported someone else in making a complaint, protected disclosure or has cooperated in the investigation of a complaint;
- Raising a false or malicious protected disclosure knowingly and deliberately or encouraging someone to do so.

All workforce members must be cognizant of the fact that their actions may have consequences for which they are ultimately accountable. It is their responsibility to seek advice before taking action and to ensure that they comply with the principles outlined in this Code.

## **6.2 Responsibility of the Supervisor**

Members of ICRISAT's workforce, who hold a Supervisory position or higher, play an important role in promoting a workplace culture that upholds ICRISAT's ethical principles and in ensuring a safe, healthy and productive work environment.

As such, they are required to:

- Fully understand this Code of Ethics and Conduct in detail, so as to provide guidance to members of the workforce on their rights, responsibilities and obligations;
- Encourage the Institute's workforce to further their understanding of ethical and professional conduct;
- Encourage an ongoing dialogue surrounding ethical conduct issues and allowing workforce members to express their concerns and needs;
- Serve as models of integrity, and act in accordance with ICRISAT's rules, regulations and policies;
- Encourage the reporting of instances of wrongdoing, and immediately address misconduct once reported or observed;
- Support members who raise an ethical concern and fulfil the Institution's commitment for protection against retaliation, as stated in ICRISAT's policy on Whistle blowing and Protection against Retaliation;
- Refrain from retaliating against any workforce member who may have reported wrongdoing in good faith or collaborated with a duly authorized audit, investigation or other corporate process;
- Foster a healthy team atmosphere and environment based on mutual trust;
- Demonstrate a duty of care regarding workforce wellbeing by listening effectively and without prejudice.

## **6.3 Responsibility of the Institute:**

ICRISAT's name and reputation is a reflection of collective efforts to maintain an ethical and professional workplace. To protect its name and reputation, ICRISAT is committed to:

- Adhering and ensuring adherence to this Code in its entirety;
- Providing leadership by fostering a climate of professional commitment, fairness and respect;
- Implementing policies in a consistent manner globally;
- Publishing, promoting and regularly updating this Code, and supporting its workforce in understanding its applicability, their responsibilities and rights, and how to obtain support if needed;
- Making training related to the implementation of this Code available to all its workforce;
- Developing mechanisms for ensuring that all ICRISAT External Partners are informed of this Code and their obligations;
- Providing advice and guidance to individual workforce members on specific issues upon their request;
- Providing information to enable workforce members to understand the procedures associated with this Code;
- Responding in a timely manner to alleged breaches of ICRISAT's ethical principles and allegations of wrongdoing;
- Maintaining impartial mechanisms to resolve disputes;
- Ensuring that anyone who reports a suspected wrongdoing in good faith is not subject to retaliation, and treating corroborated cases of dishonest allegations as misconduct;
- Providing a fair opportunity to workforce member against whom an allegation is made to respond in a non-threatening environment;
- Taking appropriate administrative action including disciplinary sanctions in cases of corroborated allegations of misconduct.

#### **6.4 Post-Employment Obligations**

Upon separating from service with ICRISAT, a workforce member's obligation of discretion and confidentiality with regard to official matters does not cease.

In particular, workforce members shall not communicate to any person any information known by them by reason of their former position and is not available in public domain; nor shall they in any way use such information to their private advantage. This would include the use of such information to influence the decisions of the Institute, or the decisions of any external partners.

Former workforce members who make public statements about ICRISAT in the media, or publish as former ICRISAT workforce members, need to seek authorization from ICRISAT. This would include, in particular, the publication of research data undertaken while working at ICRISAT.

### **7. IMPLEMENTATION**

#### **7.1 Training and Awareness**

ICRISAT workforce members must familiarize themselves with this policy and participate in periodically held training sessions which will be organized by the ICRISAT Human Resource Services Unit.

Upon joining and at subsequent way points in the workforce member's employment, all members of the workforce will be required to certify their adherence to this Code.

#### **7.2 Reporting Potential Misconduct/Non-Retaliation**

Any member of the ICRISAT workforce who perceives a potential breach of this Code is required to promptly exercise their duty in accordance with ICRISAT's policy on Whistle blowing and Protection from Retaliation.

Any member of the ICRISAT workforce who reports potential misconduct, or who provides information or otherwise assists in the investigation of potential misconduct, will be protected against retaliation in accordance with ICRISAT's policy on Whistle blowing and Protection from Retaliation.

### **8. BREACH OF THIS POLICY**

Breaches of this Policy will not be tolerated and may lead to disciplinary and other actions, up to and including the termination of employment, as specified in Clause 16.0, Disciplinary Procedures of the Personnel Policy Manual.

### **9. WAIVERS**

As a general principle, ICRISAT's Director General will not grant waivers of any kind to this Code, unless it is clearly in the best interests of the Institute. When required, a waiver of any provision of this Code must be approved by Director General in writing and disclosed to the Governing Board.

Any waiver for an individual holding Director equivalent or above position can only be approved by the Chair, Governing Board and must be recorded by the Governing Board Secretary.

This Code may be amended or modified only by the Governing Board, upon the recommendation of the Director General.

A copy of all such waivers will be made available in Director General Office by the Governing Board Secretary.

**10. REPORTS**

An annual report on issues related to the Code of Ethics and Conduct will form part of the Annual Human Resource Report to the Governing Board.

**11. MONITORING & REVISION**

The Director Human Resources shall monitor, on behalf of the Director General, the operation of this Code. This Code will be reviewed within a reasonable period, not longer than 3 years by Director, Human Resources, in consultation with Internal Audit Unit.

**CODE OF ETHICS AND CONDUCT ACKNOWLEDGEMENT FORM**

All members of the ICRISAT workforce are required to read and follow the ICRISAT Code of Ethics and Conduct, and the associated Policies.

The ICRISAT Code of Ethics and Conduct, and associated Policies may be viewed on the Intranet: [https://\\_\\_\\_\\_\\_](https://_____).

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**ACKNOWLEDGEMENT**

I hereby certify and acknowledge:

That I have received a copy of the Code of Ethics and Conduct (hereafter referred to as “the Code”);

That I have read the Code immediately prior to executing this Acknowledgement;

That I understand my obligations as set forth in the Code, including my duty to prevent, correct and, if necessary, report suspected Code violations;

That I will be responsible for obtaining all future amendments and modifications thereto;

That violations of the Code and /or Institute Policies may result in disciplinary action including termination from the employment.

I further certify that I have reported, and will continue to report, any personal conflict of interest as described in the Code.

\_\_\_\_\_  
*NAME*

\_\_\_\_\_  
*Designation*

\_\_\_\_\_  
*SIGNATURE DATE (mm/dd/yy)*