

<h1 style="color: #0070C0;">P O L I C Y</h1> <p>Legal & Intellectual Property</p> <p style="color: #0070C0;">Code of Conduct</p>	<p>Code</p> <p style="color: #0070C0;">LEG-003ENG-ALL</p>
	<p>Replaces</p> <p style="color: #0070C0;">Section 1.11 of Manual on Staff Policies and Procedures. Sections 1.11.1 thru 1.11.5 remain applicable, as required.</p>
	<p>Valid As Of</p> <p style="color: #0070C0;">September 2014</p>
<p>Purpose:</p> <p>Offer guidance on how to conduct ourselves while in CIMMYT and while undertaking actions on behalf of CIMMYT.</p>	

1. BACKGROUND

The International Maize and Wheat Improvement Center (“CIMMYT”) is committed to the highest possible standards of legal, ethical and moral conduct. In keeping with this commitment, the present Code of Conduct sets out the values and principles to guide the conduct and behavior of CIMMYT’s staff members, consultants, suppliers, collaborators and other stakeholders.

2. SCOPE

The present Code of Conduct will be applicable to all CIMMYT’s stakeholders, but particularly and specifically to CIMMYT’s staff members and consultants, as well as to suppliers, vendors, student fellows and research associates; and in general to any other person who may have significant independent decision making authority regarding the resources of CIMMYT.

Each staff member, consultant, student fellows and research associates are required to follow this Code of Conduct as a condition of employment. Also, in addition to the matters covered under this Code of Conduct, there are other policies and prodecures that are applicable to CIMMYT’s staff members, consultants, student fellows and research associates.

Staff members, consultants, student fellows and research associates are required to be aware, sign an acknowledgement and uphold this Code of Conduct. Knowledge of this document is the responsibility of all staff members, consultants, student fellows and research associates.

This Code of Conduct shall also be applicable to the Dependents (please refer to the HR Policy Handbook) and Guests of Staff Members and Consultants who are present or resident in any CIMMYT's facilities.

3. OBJECTIVES

The main objectives of this Code of Conduct are to:

- a. Promote high standards of professional conduct and values within CIMMYT;
- b. Provide guidance in areas where personal and/or ethical decisions need to be made;
- c. Help ensure that CIMMYT's staff members, consultants, student fellows and research associates do not place themselves, or permit themselves to be placed, in a position which would constitute a conflict of interest or breach of trust; and
- d. Correct and cure inadvertent minor violations without disciplinary action and in conformity with the purpose of this Code of Conduct.

4. RESPONSIBILITIES

- a. **General Counsel.** The General Counsel shall oversee, interpret and provide guidance on questions about this Code of Conduct. The General Counsel shall also ensure that the ethical standards set forth herein are promoted, and that any reported violation of this policy is investigated. The General Counsel, as custodian of this Code of Conduct, shall track all changes and updates of this Code of Conduct.

- b. **Human Resources Director.** The Human Resources Director shall provide guidance on questions about this Code of Conduct and shall ensure that the ethical standards set forth herein are promoted. The Human Resources Director, along with the relevant Deputy Director General and the General Counsel, in consultation with the Director General, shall approve and administer any subsequent corrective action.

- c. **Managers and Supervisors.** Managers and Supervisors shall ensure that all personnel under their supervision are familiar with this Code of Conduct. Managers and Supervisors shall advise the General Counsel of any perceived violation of this Code by a member of their staff.

- d. **Staff Members and Consultants.** Staff members and consultants are not only required to follow this Code of Conduct as a condition of their employment, but also to report in good faith any violation or apparent violation to this Code of Conduct. (Please refer to section 9 of this policy.)

5. VALUES

CIMMYT understands that there are business and personal values, and that while some values may operate in both arenas, sometimes they may differ from each other. In any case, the list below provides some values, principles and precepts upheld and supported by CIMMYT.

- a. **Fairness and Equity.** CIMMYT upholds impartiality, objectivity and professionalism in the performance of official duties. CIMMYT is also committed to the creation of a work environment in which fairness, inclusiveness, diversity, equity, trust, respect, and individual responsibility are valued. All Staff members who may have decision authority regarding hiring, promotion, compensation, training, assignment of job responsibilities, termination or any other matter related to the employment relationship, must act without distinction to race, national origin, color, ethnicity, religion, gender or gender identity, sexual orientation, age, marital status, and/or disabilities. This ensures equal opportunity through the

creation of an environment free of discrimination and harassment, where diversity is valued, and each individual's dignity and self-esteem are respected.

- b. **Transparency.** Information, including policies, principles and procedures, will be widely shared through open, accurate and truthful information, and in a way that enhances the capacity of staff members to meaningfully contribute to the mission of CIMMYT. All accounting information must be correct, registered and reproduced in accordance with applicable laws and regulations, including relevant accounting standards.
- c. **Integrity.** CIMMYT's staff members and consultants shall maintain the highest standards of integrity, including honesty, fairness and incorruptibility in all matters affecting their official duties and the interests of CIMMYT.
- d. **Teamwork.** CIMMYT staff members and consultants combine their individual talents in the pursuit of a goal and workproduct excellence.
- e. **Innovation.** CIMMYT staff members and consultants demonstrate the ability to **transcend** traditional ideas, rules, patterns, and relationships, and generate meaningful new ideas, forms, methods, interpretations that create value.
- f. **Passion for excellence and results orientation.** CIMMYT's staff members and consultants are encouraged and expected to focus on delivery without compromising values, to actively commit to continuous improvement, to adhere to ethical standards, and to maintain accountability, integrity and trust.
- g. **Compliance.** CIMMYT's staff members, consultants, suppliers and vendors shall always comply with CIMMYT's policies and with the laws, regulations and ordinances of the country in which they are operating.

6. PROHIBITED CONDUCT

- a. **Conflict of interest.** No CIMMYT staff member, consultant, vendor or supplier shall incur in a conflict of interest. Please see CIMMYT's Conflict of Interest Policy.

- b. ***Improper Political Activity.*** Unless otherwise expressly authorized by the Director General, the Deputy Director General Research and Partnerships, the Deputy Director General Corporate Services or the International Communications Director, no staff member or consultant may conduct any political activities on behalf of CIMMYT.

- c. ***Improper Use of CIMMYT Property.*** No CIMMYT staff member or consultant shall use or permit the use of any of CIMMYT's resources or property under his or her professional control, direction, or custody for a purpose which is, or to a reasonable person appears to be, for other than CIMMYT's benefit. The use of CIMMYT's time and assets (including intangible property rights, facilities and financial assets) for purposes not directly related to CIMMYT's purposes is prohibited without authorization from Senior Management. The same applies to the removal or borrowing of CIMMYT assets without permission. Individuals are bound to protect CIMMYT's property and assets against loss, damage and abuse.

- d. ***Improper Use of Information and IT Systems.*** The use of information, IT systems and, in particular, internet services must be governed by the needs of CIMMYT and not by personal interests. Information produced and/or stored on CIMMYT's IT systems is regarded as CIMMYT's property. CIMMYT therefore reserves the right to access all such information except where limited by law or agreement. Staff members and consultants are responsible for maintaining electronic files and archives in an orderly manner. Information that may be considered illegal, offensive or inappropriate must under no circumstances be processed, downloaded, stored or disseminated. Any downloading, storing or disseminating in breach of any copyright law or provision is prohibited. Any use of software in breach of any copyright law or provision is prohibited.

- e. ***Harassment.*** CIMMYT staff members, consultants, vendors or suppliers are strictly prohibited from unlawful harassment, and must treat any other person with fairness and respect while working within CIMMYT's premises or on behalf of CIMMYT. While legal definitions of harassment may vary, CIMMYT considers without limitation, the following to be unacceptable behavior: sexual harassment; offensive language or jokes; racial, ethnic or religious slurs; degrading comments;

and showing hostility towards others because of individual characteristics. For the purposes of this Code, “Sexual harassment” may consist on any unwelcome sexual advances, requests for sexual favors or other conduct of a sexual nature that (1) is made a term or condition of employment, (2) is used as the basis of employment or advancement decisions, or (3) has the purpose or effect of unreasonably interfering with work or creating an intimidating or offensive work environment. Racism will NOT be tolerated.

- f. **Substance Abuse.** CIMMYT’s staff members, consultants, vendors or suppliers are prohibited to work under the influence of alcohol, illegal drugs or controlled substances, or to possess, sell, transfer or distribute alcohol, illegal drugs or controlled substances while working on CIMMYT’s premises.
- g. **Violence.** CIMMYT’s staff members, consultants, vendors and suppliers are prohibited from engaging any act that could cause another individual to feel threatened or unsafe, including verbal assaults, threats or any expressions of hostility, intimidation, aggression or hazing. CIMMYT also prohibits the possession of fire arms on its premises unless prior written authorization from the Director General is granted. The use of any weapon or tool for fighting or attacking someone is strictly forbidden.
- h. **Acceptance of Gifts or Loans.** No CIMMYT staff member, consultant, vendor or supplier shall solicit or accept any gift, loan, money, favor or other benefit from any person or entity that may bring into question their independence, impartiality and integrity, unless the acceptance of such benefits is pursuant to applicable policies and regulations of CIMMYT. (See Conflict of Interest Policy).
- i. **Corrupt Practices.** Corrupt arrangements with vendors, suppliers, government officials or other third parties are strictly prohibited. Corruption refers to obtaining or attempting to obtain a personal benefit or business advantage through improper or illegal means and it may involve payments or the exchange of anything of value and includes (i) any form of bribery; (ii) extortion; and/or (iii) kickbacks.

- j. ***Disclosure of Privileged Information.*** No CIMMYT staff member, consultant, vendor, supplier, partner or collaborator shall disclose or use any privileged or proprietary information gained through his or her professional position for the immediate or anticipated personal gain or benefit of the employee or any other person or entity; provided, that nothing shall prohibit the disclosure or use of information that is a matter of public knowledge, or that is available to the general public upon request (See IP Manual).

7. INTERACTION WITH SUPPLIERS

CIMMYT holds its vendors and suppliers to the same standards of integrity as those required for its own staff members and consultants. All CIMMYT's staff members and/or consultants responsible for selecting a vendor and/or supplier, should base their decision on merit, quality of service and reputation, and must consider that CIMMYT's suppliers and vendors are expected to adhere to ethical standards which are consistent with this Code of Conduct.

8. RESPONDING TO INQUIRIES FROM THE PRESS AND OTHERS

In order to ensure a coordinated interface with external parties, general inquiries about CIMMYT or its stakeholders, as well as all inquiries from media, should be directed to the relevant Communications Department or Officer or, alternatively, to the International Communications Director. Inquiries from external attorneys should be passed on to the General Counsel.

Other CIMMYT staff members, consultants or Board Members needing to make public statements shall coordinate these in an appropriate way as stated above.

9. REPORTING BREACHES OF THIS CODE

Any person who has reason to believe that this Code of Conduct has been breached in any way, is encouraged to bring up her/his concern in accordance with CIMMYT's policy (please see "Communication of Employees of Concerns about Center Compliance").

No adverse action shall be taken against any individual who, acting in good faith, brings forward such information, in the understanding that retaliation against an individual for

reporting an issue in good faith will be considered itself a violation of this Code of Conduct and other relevant policies.

10. CORRECTIVE ACTION

Violation of this Code of Conduct by any CIMMYT staff member, consultant, vendor, supplier and/or dependent of a staff member or consultant, may constitute a cause for corrective action. Any reported violation of this Code of Conduct will be subject to investigation. If an investigation finds an individual guilty of breaching this Code, the corrective action pursued against such individual shall be commensurate with the nature and severity of the violation, up to and including termination and referral for criminal prosecution.

11. LIABILITY DISCLAIMER

None of the provisions in this Code is intended to be construed as creating any right enforceable by a third party and all third party rights implied by law are, to the extent permissible by law, excluded.

12. EXCEPTIONS

Special requirements or conditions not foreseen in this policy shall be submitted for consideration to the Deputy Director General of Corporate Services, who will decide in consultation with the Director General.

Prepared by	Reviewed by	Authorized by	Authorized by	Authorized by
Andrés Alvarez General Counsel	Thomas W. Short DDG-Corporate Services	Management Committee	Board of Trustees	Thomas A. Lumpkin Director General
May 2014	May 2014	May 2014	September 2014	September 2014