



# Crop Trust Statement on Environmental and Social Sustainability

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## Preamble

The Crop Trust is an autonomous international organization, established under international law. The mission of the Crop Trust is to ensure the conservation and availability of the world's crop diversity for future food security. The Crop Trust is dedicated to promoting environmental and social sustainability in the pursuance of its mission. In particular, the Crop Trust is committed to mitigating climate change by reducing its carbon footprint, preventing pollution, utilizing resources more efficiently, respecting and protecting human rights, promoting gender equality and ensuring environmental and social sustainability in its investment management.

## Compliance framework

The Crop Trust is committed to carrying out its operations in compliance with all applicable environmental, occupational health and safety and social laws and regulations, international norms, Conventions, Treaties and Agreements<sup>1</sup>. This includes but is not limited to:

- the fundamental conventions of International Labor Organization;
- the United Nations Universal Declaration of Human Rights;
- the UN Convention on the Elimination of Discrimination against Women (CEDAW);
- the UN Convention on the Rights of Persons with Disabilities;
- the International Covenant on Civil and Political Rights;
- United Nations Guiding Principles on Business and Human Rights;
- the United Nations Convention on the Rights of the Child;
- relevant resolutions of the UN Security Council, and in particular those the Resolutions on Women, Peace and Security;
- the United Nations Convention Against Corruption;
- the anti-money laundering and terrorism financing standards and best practices identified of the Financial Action Task Force (FATF)<sup>2</sup>;
- relevant guidelines and principles of other major financing institutions such as those of the “Anti-Money Laundering & Countering Financing of Terrorism Risk Management” of the International Finance Corporation (IFC);
- United Nations Principles for Responsible Investment (PRI);
- the Ten Principles of the United Nations Global Compact<sup>3</sup>;
- UN Personal Data Protection and Privacy Principles.

The Crop Trust also operates within the context of applicable international agreements on environmental and climate protection and conservation of natural resources such as the United Nations Framework Convention on Climate Change (UNFCCC), the Paris Agreement enacted in 2016, the Convention on Biological Diversity (CBD), the Convention to Combat Desertification (UNCCD), the Rio Declaration on Environment and Development, the Kyoto Protocol, the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA), the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, to name some of the most significant.

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<sup>1</sup> This document covers the Crop Trust's compliance with environmental and social responsibilities. The Crop Trust's compliance with legislation, national and international regulations and good practices on financial accountability and data privacy and protection, are covered in the “Crop Trust Statement on Financial Accountability, Due Diligence, Anti-Corruption and Other Financial Crimes” and the “Crop Trust Guiding Principles on Data Privacy and Protection”.

<sup>2</sup> The Financial Action Task Force (FATF) is an independent inter-governmental body that develops and promotes policies to protect the global financial system against money laundering, terrorist financing and the financing of proliferation of weapons of mass destruction. The FATF Recommendations are recognized as the global anti-money laundering (AML) and counter-terrorist financing (CFT) standard.

<sup>3</sup> The Ten Principles of the United Nations Global Compact are derived from: the Universal Declaration of Human Rights, the International Labor Organization's Declaration on Fundamental Principles and Rights and Work, the Rio Declaration on Environment and Development and the United Nations Convention Against Corruption and set forth the fundamental responsibilities or organizations in the areas of human rights, labor, environment and anti-corruption.

The Crop Trust is also committed to carrying out its activities in accordance with relevant compliance covenants set forth by the European Union, the Federal Republic of Germany (and its major financing institutions), as well as those of other major financing institutions, recognizing that these compliance covenants represent wholesome business and operational practices and furtherance of business integrity. For example, in relation to environmental and social sustainability, the Organization embraces the environmental and social guiding principles set forth in KfW Development Bank's Sustainability Guideline "Assessment of Environmental, Social and Climate Performance: Principles and Process" and its declaration on human rights.

It should be mentioned, in this context, that in the context of one of its major projects (Seeds for Resilience), the Crop Trust underwent an "Environmental and Social Due Diligence" screening by KfW Development Bank. This KfW screening aims to determine the environmental, social and climate risks of organizations being considered for potential financial cooperation. This assessment is made against relevant national standards and requirements, KfW's own environmental and safety assessment standards as well as the environmental and safety standards of the World Bank Group and the International Finance Corporation (IFC) (and EU standards where applicable) as well as the core labor standards of the International Labor Organization (ILO). Furthermore, this screening takes into account the requirements of the human rights guidelines of the BMZ and the UN Basic Principles Guidelines on Development-based Evictions and Displacements. As a result of this screening/appraisal by KfW Development Bank, the Crop Trust was classified as Category C "expected to have no or only minor adverse environmental and social impacts or risks... and does not require any particular protection, compensation or monitoring measures".

In addition to its commitment to comply with applicable international norms, Conventions, Treaties and Agreements as mentioned above, the Crop Trust ensures that all activities are consistent with its Executive Board approved Rules and Regulations as are amended time to time.

Consistent with these commitments, the Crop aims to fulfil its responsibility of conducting environmental and social due diligence in all of the activities it supports. Translating these commitments into successful outcomes depends on the joint efforts of the Crop Trust, its staff, and its partners.

## **Scope of this Statement**

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### **1. Climate change mitigation, pollution prevention and resource efficiency**

As mentioned above, the mission of the Crop Trust is to ensure the conservation and availability of crop diversity for food security worldwide. Crop diversity is central to food security. It underpins today's production and provides the raw material needed for ensuring continuing supplies tomorrow, in the face of a rapidly changing world. The fight to achieve food security and end hunger is one of the greatest challenges facing the world. Rising populations, diminishing resources and deteriorating environments only raise the stakes. It has thus never been more critical to conserve crop diversity. We need the greatest diversity of crops to secure our food supply at a time when we are making unprecedented demands, and putting unprecedented pressure on our environment.

The Crop Trust thus recognizes that climate change is a serious global challenge and that climate-related impacts are threatening the foundation of our food and may impede economic and social well-being and development efforts globally. It further recognizes that all nations and organizations large and small have a responsibility to make every effort to promote sustainable

practices aimed to reduce greenhouse gas emissions by adopting and employing climate-friendly practices, to reduce pollution and to utilize natural resources more efficiently.

The Crop Trust pursues this objective through the adoption of climate-friendly practices, policies and procedures and by sensitizing staff to the importance of this important global challenge and impact that they can have as individuals and as staff of the Organization.

### **1.1 Measuring, reducing and offsetting its carbon footprint**

The Crop Trust supports the Paris Agreement, enacted in 2016, which commits all parties to adhere to nationally determined long-term strategies for reducing greenhouse gas emissions. In line with the UN Climate Neutral strategy, the Crop Trust is engaged in measuring, reducing and offsetting its greenhouse gas emissions.

#### **A. Measuring its carbon footprint**

It is important to measure greenhouse gas emissions in a consistent and transparent manner so that areas for improvement can be identified. The Crop Trust regularly measures its greenhouse emissions from business travel through its travel provider and utilizes the data to assess how the Organization can further reduce its carbon footprint.

#### **B. Reducing its carbon footprint**

Air, car or train, modern transportation modes are among the largest sources of greenhouse gas emissions. According to the International Air Transport Association (IATA), aviation contributes about 2% of the world's global carbon emissions. The climate effect of emissions from aviation is significantly greater than other modes of transport (since the greenhouse gases formed at higher altitudes persist longer than those formed at the surface and also have a stronger warming potential). Additionally, in air travel, carbon emissions vary depending on where passengers sit and whether they are taking a long-haul flight or a shorter one. According to the Department for Business, Energy and Industrial Strategy (BEIS) carbon emissions for long-haul flights (per passenger per kilometer travelled) are about three times higher for business class and four times higher for first class. This is because there is more space per seat, so each person accounts for a larger amount of the whole plane's pollution. Taking off uses more fuel than cruising. For shorter flights, this accounts for a larger proportion of the journey. And it means lower emissions for direct flights than multi-leg trips.

With this in mind, the Crop Trust takes the following specific actions with the aim of reducing its carbon footprint:

- Incorporates environmental considerations into its travel policies and procedures and its business operations.
- Undertakes a variety of travel measures with the aim of reducing its carbon footprint:
  - Strives to limit staff travel and travel of project partners by prioritizing, encouraging and facilitating, where possible, the use of phone, video, and online meetings and conferences in place of in-person meetings.

In this regard, when approving travel requests, supervisors are obliged to confirm that the physical presence of the staff member is required to achieve the desired results and that the travel could not have been avoided through an exchange by Skype/phone. Video conference facilities at HQ as well as corporate mobile phones and laptops are being made available for staff accordingly and should be utilized for this purpose.

- Prioritizes less carbon intensive travel by rail where possible.

Staff members are encouraged to travel by train within Germany and to destinations in neighboring countries. In this regard, the Travel Office will, by default, book train connections if possible, including if the costs are higher than travel by air. Normally, only if the travel time by train exceeds the travel time by air by more than 100%, air travel can be considered. In the event that a staff member holds a discount card from the German railway system (Bahncard), the staff member is encouraged to make this discount card available for official duty travel bookings of the Crop Trust. The Crop Trust systematically captures the savings resulting from the staff member's railway discount card for the organization. Provided the savings for the organization exceeds the subscription fee for the discount card, the Crop Trust will reimburse the staff member the subscription fee. Claims for reimbursement of the discount card subscription fee must be initiated by the staff member one month before end of the annual subscription. Should the accumulated savings for the organization exceed the annual subscription fee of the discount card, reimbursement will be authorized. Such costs are charged to the core budget.

- Where air travel cannot be avoided, the Crop Trust prioritizes less carbon intensive routes (most direct routing) and mode of travel, for example, by utilizing economy class air travel.

When selecting a travel route for staff member's duty travel, the Travel Office systematically takes into account the CO<sub>2</sub> impact of the available air routes. When selecting a duty travel itinerary, CO<sub>2</sub> emissions is one of the criteria systematically considered in the travel bookings along with cost effectiveness, timing and flight safety. In determining the CO<sub>2</sub> emission of each of the routings, the Travel Office depends on the information provided by the airlines since it is not only the air travel distance and stop-overs have an impact on the CO<sub>2</sub> emission, but also the booking class of the ticket (business, premium eco, economy).

- Where official travel by car is required and assessed as the most appropriate method, the Crop Trust encourages car-pooling where multiple staff members are travelling to the same destination.
- Has a dedicated staff member who is responsible for coordinating efforts, staying abreast of the topic and leading periodic staff awareness campaigns (for example, regarding reducing plastic waste, conserving energy, etc.).
- Educates all staff on carbon accountability and promotes environmental awareness among our employees by training, sensitizing and informing them about environmental issues and encouraging them to work in an environmentally responsible manner. When employees understand why they are being told to change long-time habits, they more likely to adopt and promote eco-conscious policies.
- Encourages input on workplace environmentally-friendly actions and energy-saving ideas at staff meetings and by setting up a suggestion box.
- Encourages and promotes use of bicycles and public transportation to work (through an Agreement with the City of Bonn, the Crop Trust is able to offer reduced public transportation fees to its staff and their families).
- Encourages flexible working arrangements, i.e. working from home.
- Conserves natural resources and reducing waste by reusing and recycling.
- Encourages limiting use of printing to reduce use of ink and paper, prioritizes web-based versions of publications over print-based.

- Avoids disposable cups, stirrers, plates and cutlery in office kitchen and break rooms and at meeting events by providing reusable glass, utensils, glassware and crockery.
- Promotes responsible use and conservation of natural resources (for example, encouraging use of natural light and ventilation in offices, moderating use of heating, conserving electricity and water).
- Practices green procurement and prioritizes selection of suppliers who promote sound environmental policies. In its bidder qualification questionnaire “Supplier Self-Assessment” potential suppliers are requested to confirm whether they respect and abide by the UN Global Compact’s Ten Principles (which are derived from: the Rio Declaration on Environment and Development, the Universal Declaration of Human Rights, the International Labor Organization’s Declaration on Fundamental Principles and Rights at Work, and the United Nations Convention Against Corruption) and includes an assessment of whether the suppliers (amongst other requirements):
  - support a precautionary approach to environmental challenges;
  - undertake initiatives to promote greater environmental responsibility;
  - encourage the development and diffusion of environmentally friendly technologies.
 This allows the Crop Trust to identify and assign greater weight in the selection of suppliers who confirm that they meet these criteria.
- Upon taking up its operations in its Bonn Headquarters, the Organization ensured that all office renovation work and that paint, flooring and adhesives used in the Crop Trust offices were in line with the German standards and that air conditioning units and other appliances are high energy-efficiency models.

### **C. Offsetting its carbon footprint**

Offsetting CO<sub>2</sub> emissions must go hand-in-hand with the Crop Trust’s ambitious internal carbon emissions reduction strategy. While the primary aim of the Crop Trust is to reduce its carbon footprint, it recognizes that it is not possible to entirely eliminate its carbon footprint (for example, in some cases it is required that staff are required to be physically present in various occasions abroad, and energy, heating and use of other resources is required). Offsets are thus viewed as an important mechanism to compensate the emissions that cannot be reduced.

Data on the CO<sub>2</sub> emission in tons for each of the Crop Trust’s flight bookings is readily available through the airlines. At the stage of purchasing the ticket, the Travel Office sets aside an amount for compensation for the CO<sub>2</sub> emissions of the booked flight. The compensation expenses are systematically included and charged as part of the ticket price. At the end of the year, the accumulated amount is made available by the Crop Trust’s travel agency and is donated to a dedicated re-forestation project selected by the Crop Trust. In this regard, a Crop Trust committee with representatives from across the Organization, including the Science, Corporate Operations and Finance teams selects a project in line with the strictest standard available for climate protection projects on a yearly basis.

### **1.2 Crop Trust partners and environmental responsibilities compliance**

In addition to the Crop Trust’s efforts to reduce its own carbon footprint, it further recognizes its responsibility to communicate and pass on the requirement for compliance with environmental responsibilities to its partners and suppliers.

#### *Scientific and technical partners*

Contractual arrangements with partners set forth the Crop Trust’s expectations with regard to environmental and social responsibilities (in addition to other ethics, financial accountability, anti-corruption and anti-terrorism requirements). For example, with regard to environmental and social responsibilities, Project Agreements with the Crop Trust require that prospective partners:

- Carry out their own operations in accordance with sound administrative, technical, financial, economic, environmental and social standards and practices;
- Have ethical guidelines and relevant systems in place for preventing, reporting and dealing with matters of discrimination, including sexual harassment, sexual exploitation, sexual abuse and gender-based violence;
- Respect the principles of the UN Declaration on the Elimination of Violence against Women and the UN Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in carrying out the project;
- Agree not to discriminate against persons with disabilities in the implementation of the Project and to make every effort to respect the principles of the UN Convention on the Rights of Persons with Disabilities.

The Project Agreements set forth numerous other requirements regarding financial accountability of prospective scientific and technical partners. For the complete listing of requirements of prospective partners of the Crop Trust (in relation to financial accountability and environmental and social responsibilities and obligations), please refer to the standard Terms and Conditions in the Crop Trust “Project Agreement” template. The Terms and Conditions of these Agreements are provided to all prospective partners in advance of formalizing agreements with them and request that they confirm their ability to comply with these Terms and Conditions. All partners who are selected are required to sign these Agreements, solidifying their commitment to the obligations set forth in those Terms and Conditions.

Project Agreements also set forth penalties in the event of non-compliance with these requirements. Specifically, Project Agreements specify that “The Crop Trust shall monitor the Project Partner’s compliance...and reserves the right to terminate with immediate effect and/or claim repayment of all or parts of the Project Funds”. The Crop Trust further ensures that any specific compliance covenants of its donors are transferred to partners through its downstream agreements. Partners are required to agree to compliance with these provisions, which they are requested to review prior to signature. The Crop Trust carries out monitoring of projects with annual reporting and conducts visits to all partners at least once within the lifetime of a project. Additional compliance monitoring occurs in accordance with specific donor requirements and guidelines, for example, KfW Development Bank’s “Sustainability Guideline: Assessment of Environmental, Social, and Climate Performance: Principles and Process”.

### *Suppliers*

With regard to suppliers, the Crop Trust employs its environmental and social responsibilities in the procurement tendering process in its bidder qualification questionnaire “Supplier Self-Assessment” in which potential suppliers are requested to confirm whether they respect and abide by the UN Global Compact’s Ten Principles which are derived from: the Universal Declaration of Human Rights, the International Labor Organization’s Declaration on Fundamental Principles and Rights at Work, the Rio Declaration on Environment and Development, and the United Nations Convention Against Corruption. This allows the Crop Trust to identify and assign greater weight in the selection of suppliers who confirm that they:

- support and respect the protection of internationally proclaimed human rights;
- are not complicit in human rights abuses;
- uphold the freedom of association and the effective recognition of the right to collective bargaining;
- are committed to elimination of all forms of forced and compulsory labor;
- are not engaged in child labor;
- support a precautionary approach to environmental challenges;
- undertake initiatives to promote greater environmental responsibility;
- encourage the development and diffusion of environmentally friendly technologies;
- work against corruption in all its forms, including extortion and bribery.

For procurement of suppliers over certain thresholds (as defined in the “Procurement Policies and Procedures Manual” and in line with procurement guidelines and regulations of major financing

entities such as the EU, the Federal Republic of Germany and its major financing institutions), the Crop Trust engages in a limited or open tender bidding process (according to threshold). As part of this process, applying entities are required to complete a “Declaration of Undertaking” in which they acknowledge and state that they (and any of their sub-contractors) meet the Terms and Conditions of the contract, should they be awarded the tender. These Terms and Conditions cover a range of requirements relating to financial accountability, environmental and social responsibilities, including human rights and occupational safety. For example in relation to environmental and social responsibilities, by signing this Declaration, bidders commit to complying with and ensuring that their Sub-contractors and major suppliers under the Service Agreement “comply with international environmental and labor standards, consistent with laws and regulations applicable in the country of implementation of the Contract and the fundamental conventions of the International Labor Organization (ILO) and other relevant international treaties”.

Once suppliers are selected, the Service Agreements with those suppliers set forth the Crop Trust’s expectations with regard to environmental and social responsibilities (in addition to other ethics, anti-corruption and anti-terrorism requirements) including provisions to terminate the Service Agreement in the event of non-compliance. Specifically, Service Agreements specify that “The Crop Trust shall monitor the Project Partner’s compliance...and reserves the right to terminate with immediate effect and/or claim repayment of all or parts of the Project Funds”.

#### *Private sector engagement – charitable contributions*

When considering donations and engagement with entities from the private sector, the Crop Trust exerts its due diligence with regard to environmental responsibilities through a “Due Diligence questionnaire to support the selection of private sector partners”. This questionnaire is included in the “Crop Trust Guiding Principles for Engaging with the Private Sector” and seeks to ensure that any private sector entities with which it is considering engaging (and its subsidiaries, affiliates or suppliers) meet certain criteria. With regard to environmental responsibilities this questionnaire asks potential private sector partners to confirm whether they:

- support a precautionary approach to environmental challenges;
- undertake initiatives to promote greater environmental responsibility;
- undertake the development and diffusion of environmentally friendly technologies;
- are listed on any sustainability or environmental, social and governance (ESG) indices.

## **2. Human rights, labor and occupational health and safety**

The Crop Trust commits to upholding human rights, and to avoiding and eliminating any adverse human rights impacts resulting from its operations.

Meeting this responsibility requires that appropriate policies and procedures are in place, are in conformity and aligned with important international and national standards, Treaties and regulations on human rights, labor and working conditions. Meeting this responsibility also requires ensuring access to effective grievance mechanisms that allow for the early indication of, and prompt remediation of various staff- and project-related grievances.

As indicated above, the Crop Trust embraces the important ethical principles embodied in international agreements and Treaties surrounding human rights, labor conditions and occupational health and safety, including but not limited to fundamental conventions of the International Labor Organization, the United Nations Universal Declaration of Human Rights, the UN Convention on the Elimination of Discrimination against Women (CEDAW), the UN Convention on the Rights of Persons with Disabilities, the International Covenant on Civil and Political Rights (in particular Part III), United Nations Guiding Principles on Business and Human Rights and other conventions and carries out its activities in compliance with these covenants.

The Crop Trust is also committed to carrying out its activities in accordance with relevant compliance covenants set forth by the European Union, the Federal Republic of Germany (and its major financing institutions), for example, the principles set forth in KfW Development Bank's Sustainability Guideline "Assessment of Environmental, Social and Climate Performance: Principles and Process" and its declaration on human rights, the Code of Ethics of the German Corporation for International Cooperation GmbH (GIZ), as well as relevant compliance covenants of other major financing institutions such as the "Environmental, Health and General Safety Guidelines" of the International Finance Corporation (IFC).

#### **A. Crop Trust commitment to staff safety and well-being**

The Crop Trust considers its staff its most important asset. The Crop Trust devotes considerable resources towards ensuring their well-being and the establishment of a productive environment. The "Personnel Policies and Procedures Manual (PPPM)", embody the fundamental conditions of service and the basic rights, duties and obligations of staff members of the Crop Trust and provides guidance for the uniform and equitable administration of the personnel activities. The Crop Trust's "Occupational Health and Safety Manual" sets forth the policies concerning staff safety.

As indicated in the PPPM, the Crop Trust strives to attract, retain and develop staff of the highest quality, encourages professional and personal growth, provides a safe and well-equipped work environment and provides opportunity for staff participation in matters that affect the staff and their work. The Organization is an equal opportunity employer, committed to hiring staff regardless of nationality, race, gender, religion, political persuasion, marital status, or sexual orientation. The Crop Trust strives to provide a fair and equitable treatment to its staff, and discourages all forms of unfair discrimination.

The Crop Trust's personnel policies comply with the Fundamental Conventions of the International Labor Organization and the policy has been reviewed and approved by the ILO. The Crop Trust has accepted the ILO Administrative Tribunal's (ILOAT) jurisdiction in accordance with Art. II (5) of its statute.

The Crop Trust's personnel policies (see PPPM) and the policies and regulations set forth in its "Occupational Health and Safety Manual", are in compliance with national requirements and international good practice standards and the applicable guidelines of the ILO and the World Bank Environmental Health and Safety Guidelines. Upon establishment of the Crop Trust as an independent international organization in Germany in 2013, the Crop Trust submitted its personnel policies to the German Ministry of Labor which were determined to be in compliance with German regulations.

As indicated in the PPPM, The Crop Trust pledges to seek at all times to:

- treat all staff fairly and equitably;
- actively discourage unfair discrimination in every form in employment and in its programs;
- provide a safe and well-equipped working environment;
- provide employment policies and conditions comparable to those provided by similar institutions;
- encourage and provide opportunities for personal and professional growth and advancement;
- make every reasonable effort to accommodate persons with disabilities; and
- assure staff participation in decisions and actions that concern them.

The provisions of the PPPM cover policies regarding recruitment and appointment, remuneration policies, entitlements, leave provisions, performance assessment, training, promotion, termination, grievances and appeals. These policies are in line with those of other international organizations and are in compliance with international agreements and Treaties surrounding human rights, labor conditions and occupational health and safety mentioned above.

Importantly, the PPPM provides a detailed description of the process for staff grievances and appeals and includes a “Whistleblower Policy” (included in Section 14 of the PPPM) for reporting misconduct without fear of retaliation. The policies and procedures for staff grievances, appeals and the “Whistleblower Policy” are aligned with ILO covenants and, as mentioned above, the ILO Administrative Tribunal serves as the judiciary body for staff grievances.

The Crop Trust sets forth its expectations with regard to the conduct of its staff in the PPPM under the section “Obligations of Staff Members” (also existing as a stand-alone “Staff Code of Conduct” which is provided to all staff and which they are required to sign acknowledging receipt of this manual upon employment). With regard to staff conduct, the manual specifies the following with regard to working relations and harassment, intimidation, and discrimination:

- The Crop Trust works to foster a corporate environment where teamwork and open communication can flourish. All Staff have a responsibility to help create such an environment.
- Staff should conduct themselves with integrity, fairness and honesty in their dealings, and treat others with dignity.
- There should be honest and open communication on professional activities, respecting lines of reporting and professional confidentiality.
- Staff should respect authority as well as use it responsibly. Use of authority for intimidation or personal favoritism will not be tolerated.
- Staff should always use discretion with respect to the privacy of colleagues. Personal correspondence should always be respected and under no circumstances should they be accessed unless prior consent of the interested person/s is given.
- Interpersonal conflicts should be handled with an open attitude through private and respectful dialogue. Staff should not allow speculations or unfounded rumors about colleagues to circulate either inside or outside the Organization, thus causing damage to the persons involved and/or the Organization itself.
- All Staff should be able to enjoy a working environment free from mental, verbal, sexual or any other form of harassment and discrimination, whether on the basis of race, national origin, religion, gender or any other form of personal identity. Accordingly, the Organization will not tolerate any action or conduct by any Staff Member that can be established as harassment or discrimination.
- General harassment is defined as unwanted conduct affecting the dignity of men and women in the workplace. It may be related to age, sex, race, disability, religion, nationality or any personal characteristic of the individual, and may be persistent or an isolated incident.
- Sexual harassment is defined as unreciprocated and unwelcome comments, gestures or physical conduct of a sexual nature that are found personally offensive and that might create an intimidating working environment.
- Any substantiated form of harassment, intimidation and discrimination will lead to disciplinary measures as provided in Article 11.2.3 of the PPPM.
- Employees have the responsibility to take assertive action if they feel they are being subjected to harassment, intimidation or discrimination regardless of who the alleged offender is, by making the unwelcome conduct immediately known to the offender, who may be unaware of the possible offense.
- Supervisors and managers are expected to:
  - set an example of high standard of professional behavior and personal conduct;
  - clearly communicate the institutional policy in these areas;
  - be alert in order to promptly detect behavior that runs counter to the principles for staff conduct set forth in this Manual;
  - ensure that any incident of unacceptable behavior is promptly dealt with and corrective action taken.

Other provisions regarding staff conduct cover safety and security, use of assets, gifts and favors, outside activities, conflict of interest, political activities, security of information, privileges and

immunities, and intellectual propriety rights. For more information on specific Crop Trust policies in these areas, please see the PPPM.

With regard to occupational health and safety, as indicated above the Crop Trust takes seriously the health and well-being of its employees and is committed to ensuring a safe and pleasant working environment for its staff. As indicated above, the policies on occupational health and safety are described in full in the "Occupational Health and Safety Manual".

In accordance with the German Accident Prevention Regulations, the Crop Trust has identified an internal Safety Advisor who has the responsibility of advising its staff, on work and safety procedures that are compliant with German health and safety regulations (including workspaces, office lighting, ventilation, emergency procedures, etc.). The Organization has also identified a committee focusing on the occupational health and safety needs of the Organization. The committee (composed of volunteers) also act as emergency/first-aid focal points. The committee contacted German authorities and persons responsible for the building (housing the Crop Trust offices) to ascertain the safety requirements and regularly organizes first aid and fire safety training.

## **B. The Crop Trust and its expectations towards partners and suppliers with regard to human rights and occupational safety**

The Crop Trust fully expects its suppliers and partners to be in compliance with occupational and public health and safety provisions that are consistent with international good practice standards, international norms, Agreements and Treaties.

### **Scientific and technical partners**

Contractual arrangements with partners set forth the Crop Trust's expectations with regard to human rights issues and working conditions (in addition to other ethics, anti-corruption and anti-terrorism, and environmental requirements) and include the definition of penalties in the event of non-compliance. Specifically, project agreements specify that "The Crop Trust shall monitor the Project Partner's compliance...and reserves the right to terminate with immediate effect and/or claim repayment of all or parts of the Project Funds". The Crop Trust further ensures that any specific compliance covenants of its donors are transferred to partners through its downstream agreements. Partners are required to agree to compliance with these provisions, which they are requested to review prior to signature. The Crop Trust carries out monitoring of projects with annual reporting and visits all partners at least once within the lifetime of a project. Additional compliance monitoring occurs in accordance with specific donor requirements. For example, projects funded by the KfW Development Bank, include provisions for assurance monitoring which involves submission of Statements of Assurance to the Crop Trust confirming the partners have complied with all contractual requirements.

### **Suppliers**

With regard to suppliers, the Crop Trust employs a rigorous procurement process that seeks to ensure that suppliers also abide by important human rights and labor covenants. In its bidder qualification questionnaire "Supplier Self-Assessment" in which potential suppliers are requested to confirm whether they respect and abide by the UN Global Compact's Ten Principles which are derived from: the Universal Declaration of Human Rights, the International Labor Organization's Declaration on Fundamental Principles and Rights at Work, the Rio Declaration on Environment and Development, and the United Nations Convention Against Corruption. This allows the Crop Trust to identify and assign greater weight in the selection of suppliers who confirm that they (amongst other things):

- support and respect the protection of internationally proclaimed human rights;
- are not complicit in human rights abuses;
- uphold the freedom of association and recognition of the right to collective bargaining;
- are committed to elimination of all forms of forced and compulsory labor;
- are not engaged in child labor.

For procurement of suppliers over certain thresholds (as defined in the “Procurement Policies and Procedures Manual” and in line with procurement guidelines and regulations of major financing entities such as the EU, the Federal Republic of Germany and its major financing institutions), the Crop Trust engages in a limited or open tender bidding process (according to threshold). As part of this process, applying entities are required to complete a “Declaration of Undertaking” in which they acknowledge and state that they (and any of their sub-contractors) meet the Terms and Conditions of the contract, should they be awarded the tender. These Terms and Conditions cover a range of requirements, amongst which many relating to human rights and occupational safety. For example, by signing this Declaration, bidders commit to complying with and ensuring that their Sub-contractors and major suppliers under the Service Agreement “comply with international environmental and labor standards, consistent with laws and regulations applicable in the country of implementation of the Contract and the fundamental conventions of the International Labor Organization (ILO) and other relevant international treaties” and commit to “implement measures to prevent sexual exploitation and abuse and gender based violence”.

Once suppliers are selected, the Service Agreements with those suppliers set forth the Crop Trust’s expectations with regard to human rights issues and working conditions (in addition to other ethics, anti-corruption and anti-terrorism, and environmental requirements) and includes provisions to terminate the Service Agreement in the event of non-compliance. Specifically, Service Agreements specify that “The Crop Trust shall monitor the Project Partner’s compliance...and reserves the right to terminate with immediate effect and/or claim repayment of all or parts of the Project Funds”.

### **Private Sector partners**

When considering engagement with entities from the private sector, the Crop Trust exerts its due diligence with regard to social responsibilities through a “Due Diligence questionnaire to support the selection of private sector partners”. This questionnaire is included in the “Crop Trust Guiding Principles for Engaging with the Private Sector” and seeks to ensure that any private sector entities with which it is considering engaging (and its subsidiaries, affiliates or suppliers) meet certain criteria. These criteria include (but are not limited to):

- Do not contribute to or are otherwise complicit in human rights abuses, tolerate forced or compulsory labor or the use of child labor, are involved in the sale or manufacture of anti-personnel landmines or cluster bombs, or that otherwise do not meet relevant obligations or responsibilities required by relevant UN regulations;
- Has not been involved in any cases of sexual abuse, exploitation, discrimination or harassment;
- Has policies and processes in place to mitigate any risks related to sexual abuse, exploitation, discrimination or harassment;
- Is not involved in the manufacture, sale or distribution of pornography;
- Has a sustainability policy, ethics policy, and/or code of conduct;
- Has a grievance mechanism for hearing, processing, and settling grievances for internal stakeholders (e.g. employees) and/or external stakeholders (e.g. local communities).

The Crop Trust explicitly states in this document, that it will not engage with Private Sector entities that cannot meet these requirements. This allows the Crop Trust to identify and assign greater weight in the selection of suppliers who confirm that they meet these criteria for having acceptable policies in place.

As indicated above, access to effective grievance mechanisms that allow for the early indication of, and prompt remediation of grievances is important. The Crop Trust has the following mechanisms in place to ensure a clear vehicle for feedback or grievances from project partners, suppliers and the general public:

- The Terms and Conditions of Project Agreements include the name and contact information of the counterpart within Trust as well as language regarding discussion between the parties.

- In the case of procurement, suppliers who are responding to tender requests (in the case of larger purchases) are provided with a specific email address to which they are invited to submit their proposals or tender applications. Suppliers are also informed that this email address is to be used in case of feedback or grievances (specifically the wording states: “Please note: for information or feedback on the procurement process, please address your email to [procurement@croptrust.org](mailto:procurement@croptrust.org)”).
- In addition, it is possible for the public to easily submit general or specific feedback or questions to the Crop Trust through the “Contact” button, prominently displayed in the right banner on all pages of its website.

In addition to transparency, these vehicles for feedback and grievances enable the Crop Trust to treat complaints in a structured way and to track them systematically and respond quickly.

### 3. Gender equality and women’s empowerment

The 2030 Agenda for Sustainable Development envisions a world “of universal respect for human rights and human dignity” in which “every woman and girl enjoys full gender equality and all legal, social and economic barriers to their empowerment have been removed.” Gender equality and the empowerment of women and girls are central to the 2030 Agenda for Sustainable Development and all 17 of the Sustainable Development Goals (SDGs). The UN SDGs underscore that gender equality is not only a fundamental human right, but a necessary foundation for a peaceful, prosperous and sustainable world.

Gender inequality remains one of the most pervasive forms of discrimination and despite increased awareness and legislative reforms, women are still often prevented from realizing their economic potential due to gender inequity.

The Crop Trust is committed to advancing the agenda of achieving gender equality and women’s empowerment and is committed to carrying out its operations in compliance with all applicable laws and regulations, international norms, Conventions, Treaties and Agreements. This includes but is not limited to, compliance with the fundamental conventions of:

- the International Labor Organization;
- the United Nations Universal Declaration of Human Rights;
- the UN Convention on the Elimination of Discrimination against Women (CEDAW);
- the UN Convention on the Rights of Persons with Disabilities;
- the International Covenant on Civil and Political Rights;
- United Nations Guiding Principles on Business and Human Rights;
- the United Nations Sustainable Development Goals;
- the United Nations Security Council Resolutions on Women, Peace and Security.

The Crop Trust is also committed to carrying out its activities in accordance with relevant compliance covenants set forth by the European Union, the Federal Republic of Germany (and its major financing institutions), for example, the principles set forth in KfW Development Bank’s Sustainability Guideline “Assessment of Environmental, Social and Climate Performance: Principles and Process” and its declaration on human rights, GIZ’s Code of Ethics, as well as relevant compliance covenants of other major financing institutions.

The Crop Trust strives to contribute to improving gender equality and women’s empowerment by:

- ensuring equal representation of women in its staff, executive management and its Board (the Crop Trust reports gender balance to its Executive Board each year);
- ensuring equality in all areas of employment including hiring and promotion, and gender-parity with regard to access to training;
- ensuring gender-balanced representation in processes, decision-making bodies, leadership structures, as well as in high-level meetings and Crop Trust-organized conferences and opportunities for presentations and statements at such high-level events;

- creating an inclusive, diverse and safe working environment. The Crop Trust does not tolerate discrimination, sexual exploitation and abuse or harassment and abuse of authority. Policies which provide such protections are in place as are procedures for reporting cases of exploitation, abuse and harassment (see “[Personnel Policies and Procedures Manual](#)”);
- requires project partners and suppliers to agree to acknowledge that they respect the principles of the UN Declaration on the Elimination of Violence against Women and the UN Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in carrying out the project or service and include provisions in Project and Service Agreements for sanctions in case of non-compliance including termination and return of all or part of funds;
- the Crop Trust aims to strengthen the relevance and effectiveness of its scientific endeavors through the lens of gender diversity. We attempt to ensure that men and women are equally represented as project participants in our major projects. In this regard, as part of our contracting process, our Project Agreements in some of our major projects require potential partners to include gender data when they identify the roles and responsibilities, (both technical and managerial) of the institutions and key staff involved in the implementation of the projects to be funded.

#### **4. Environment and social responsibility in investment management and procurement**

The Crop Trust is building an endowment fund to secure the funding required to ensure the conservation and availability of crop diversity for food security worldwide. The Crop Trust has implemented a Responsible Investment Policy and considers environmental, social and governance (ESG) integration into its investment process to be an important component of its investment strategy and is in line with its broader mission and objectives. The Crop Trust actively considers responsible investment capabilities when selecting and monitoring its investment managers, encouraging its investment managers to proactively consider and integrate ESG issues.

The Crop Trust is a signatory to the United Nations Principles of Responsible Investment (PRI), an initiative that includes an international network of investors working together to put Responsible Investment into practice. Its goal is to understand the implications of sustainability for investors and support signatories to incorporate these issues into their investment decision making and ownership practices.

##### *Scientific and technical partners*

As indicated section 1.2 above, contractual arrangements with partners set forth the Crop Trust’s expectations with regard to environmental and social responsibilities of its prospective partners (in addition to other ethics and financial accountability requirements). Please refer to section 1.2 above for the range of environmental and social requirements of the Crop Trust for its prospective partners. Requirements of Crop Trust partners in the area of financial accountability is covered in the separate Crop Trust “[Statement on Financial Accountability, Due Diligence, Anti-Corruption and Other Financial Crimes](#)”.

“[Project Agreements](#)” that are signed with project partners include the definition of penalties in the event of non-compliance with its expectations regarding environmental and social responsibilities and other contractual responsibilities. Specifically, Project Agreements specify that “The Crop Trust shall monitor the Project Partner’s compliance...and reserves the right to terminate with immediate effect and/or claim repayment of all or parts of the Project Funds”. The Crop Trust further ensures that any specific compliance covenants of its donors are transferred to partners through its downstream agreements. Partners are required to agree to compliance with these provisions, which they are requested to review prior to signature. The Crop Trust carries out monitoring of projects with annual reporting and conducts visits to all partners at least once within the lifetime of a project. Additional compliance monitoring occurs in accordance with

specific donor requirements. For example, projects funded by the KfW Development Bank, include provisions for assurance monitoring which involves submission of Statements of Assurance to the Crop Trust confirming the partners have complied with all contractual requirements.

### *Suppliers*

The Crop Trust's suppliers are also required to comply with a range of environmental and social responsibilities in line with international standards and conventions (as indicated above in this document in Section 1.2) and are required to declare their compliance with the UN Global Compact's Ten Principles in the bidding qualification process through the "Supplier Self-Assessment" (see section 1.2 above for more information).

As indicated in Section 1.2 of this document above, potential suppliers of goods and services exceeding certain established monetary thresholds (as defined in the "Procurement Policies and Procedures Manual" and in line with procurement guidelines and regulations of major financing entities such as the EU, the Federal Republic of Germany and its major financing institutions), are required to participate in an open tender bidding process (according to threshold). As part of this process, applying entities are required to complete a "Declaration of Undertaking" in which they acknowledge and state that they (and any of their sub-contractors) meet the Terms and Conditions of the contract, should they be awarded the tender. These Terms and Conditions cover a range of requirements relating to environmental and social responsibilities, including human rights and occupational safety (as well as financial accountability). For example in relation to environmental and social responsibilities, by signing this Declaration, bidders commit to complying with and ensuring that their Sub-contractors and major suppliers under the Service Agreement "comply with international environmental and labor standards, consistent with laws and regulations applicable in the country of implementation of the Contract and the fundamental conventions of the International Labor Organization (ILO) and other relevant international treaties".

As indicated above, once suppliers are selected, the Service Agreements with those suppliers set forth the Crop Trust's expectations with regard to environmental and social responsibilities including human rights issues and working conditions as well as other ethics, anti-corruption and anti-terrorism requirements) and includes provisions to terminate the Project and Service Agreements in the event of non-compliance with provisions to claim repayment of all or parts of the Project Funds.

### *Private sector partners – charitable contributions*

When considering engagement with entities from the private sector, the Crop Trust exerts its due diligence with regard to environmental and social responsibilities as they relate to the Organization's association with such entities through a "Due Diligence Questionnaire to Support the Selection of Private Sector Partners". This questionnaire is included in the "Crop Trust Guiding Principles for Engaging with the Private Sector" and seeks to ensure that any private sector entities with which it is considering engaging:

- Do not contribute to or are otherwise complicit in human rights abuses, tolerate forced or compulsory labor or the use of child labor, are involved in the sale or manufacture of anti-personnel landmines or cluster bombs, or that otherwise do not meet relevant obligations or responsibilities required by relevant UN regulations;
- Are not engaged in any activities which are inconsistent with sanctions established by the United Nations Security Council or other similar measures (including engaging in or financing terrorist activities);
- Support a precautionary approach to work against corruption in all its forms, including extortion and bribery;
- Demonstrate commitment to meeting the principles of the United Nations Global Compact or the United Nations Guiding Principles on Business and Human Rights;
- Undertake initiatives to promote greater environmental responsibility and encourage the development and diffusion of environmentally friendly technologies.

The Crop Trust explicitly states in this document, that it will not engage with Private Sector entities that cannot meet these requirements.

## **5. Implementation and monitoring**

The Crop Trust strives to comply with and seek opportunities to continuously improve its environmental responsibilities by measuring its performance, progress and reporting results.

It strives to achieve this by increasing communication and awareness of its efforts in accordance with this Statement and fostering responsible environmental behavior amongst employees, consultants, suppliers and partners and at all levels. The Crop Trust works closely with its suppliers (including its investment managers, travel providers, etc.) to continuously review how to avoid, reduce and offset its environmental impact.