

# CIRAD CODE OF ETHICS



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## PREAMBLE

Research must benefit society, and while the benefits largely depend on the quality of research operations, they are also influenced by the way in which that research is conducted, in line with ethical principles and rules that guarantee the scientific integrity and reliability of results. The practices and behaviour of everyone involved in research, whether in a support, assessment or implementation capacity, should ensure a climate of mutual confidence between all the players concerned. Society is now acutely aware of the issues surrounding research and its outputs, notably those associated with technological progress. Science needs to think about the ethical aspects of these issues and its practices, and the debate has already made substantial progress on a national and global level. Responsible research and innovation is vital to ensure the quality and impact of science and maintain the confidence of and constructive dialogue with society as a whole.

CIRAD (French Agricultural Research Centre for International Development) is an EPIC (public industrial and commercial institution) that conducts research for development in partnership with southern countries. Its operations encompass the life sciences, social sciences and engineering sciences, applied to agriculture, food, the environment and territory management.

Achieving its objectives requires a rigorous, honest scientific and partnership approach, which includes identifying the ethical issues raised by its activities and the institutions with which it works.

The organization is backed up by an Ethics Committee shared with INRA and IFREMER, which looks into the ethical issues associated with research in the fields of food, agriculture, the seas, the environment, and sustainable development. It supports CIRAD General Management and staff in the ethical debate on their activities, and in the drafting and implementation of research operations in line with the above principles.

For its mandate to be exercised in an exemplary and transparent way, CIRAD also has to provide its staff with ethical benchmarks. Those benchmarks help each and every staff member working within the organization, whatever their position or status, to act in a professional, fair and responsible manner, in line with the prevailing rules, codes and charters.

There has been much debate about ethics and scientific integrity. The CIRAD Code of Ethics is based on work already done by other organizations, taking care to ensure coherence and allowing for the many collaborations

between institutions, which are often international in CIRAD's case. Developing trusting, open relations while respecting cultural and social differences is a vital part of CIRAD's global mandate and its reputation, as regards both the institution as a whole and each of its staff members.

The CIRAD Code of Ethics is backed up by the various legislative, regulatory and institutional rules governing all types of professional activity, and particularly, in the case of research, by the *Code de la recherche*<sup>[1]</sup>.

It is a translation, tailored to CIRAD's specific mandate, of the main global texts relating to ethics and scientific integrity: the European Charter for Researchers<sup>[2]</sup>, the Singapore Statement on Research Integrity<sup>[3]</sup> and the European Code of Conduct for Research Integrity<sup>[4]</sup>. It also takes account of the principles of the French National Charter for Research Integrity<sup>[5]</sup>, to which CIRAD has signed up, along with other French research organizations, and the recommendations for its implementation<sup>[6]</sup>, and other documents such as the *Charte du partenariat de la recherche pour le développement* and the *Charte nationale de l'expertise scientifique et technique*<sup>[7]</sup>.

With the Code, each and every person employed or hosted by CIRAD, whether involved in research, research support, or training, supervision and teaching, is required to adopt various practices and respect a range of rules that primarily stem from a principle of seeking truth in every aspect of the scientific approach: probity, capacity to listen, adherence to the facts, and courtesy in relations with others.

The Code is an overall framework supplemented by various specific internal documents (on defining the authors of a publication<sup>[8]</sup>, good practice in appraisal and advisory services, handbook for PhD students at CIRAD, etc), and others to be drafted in response to future requirements.

It also supplements the rights and obligations resulting from the regulatory and legislative frameworks applicable to CIRAD, notably employment law, including the organization's collective agreement.

In addition to the ethical principles that guide CIRAD's mandate and the purpose of its operations, ethical rules exist to steer the behaviour and attitude of each and every person within the professional environment, to ensure coherence with its corporate objectives. In recalling those rules, this Code is intended to facilitate their adoption and application by each and every CIRAD staff member. ■■■

# PARTIES TO THE CODE

## CIRAD GENERAL MANAGEMENT

As regards scientific operations and research support, CIRAD General Management defines the priorities to be promoted within its scientific and partnership strategy, and how that strategy is to be implemented. It strives to make all its decisions in a spirit of integrity, impartiality and sharing, and acts as a guarantor of the application of those principles to the establishment as a whole. To this end, in line with its mandate, it sets out what drives its policies and makes available the information required for their analysis.

It strives to prevent all forms of conflicts of interest. Members of the Management Committee (Codir) and the Board of Trustees are required to declare all ties and affiliations prior to taking up their posts.

General Management seeks to foster the welfare and safety of its employees and the quality of their working environment, by encouraging the development of personal and collective skills, taking account of the diversity of professional pathways. Particular attention is paid to the safety of its employees, notably in the event of missions and travel or overseas postings.

General Management strives to preserve its researchers' freedom of intellectual creativity, while respecting the establishment's collective objectives and agreements signed with its partners.

It also works to promote all aspects of diversity and ensure non-discrimination.

General Management ensures that scientific units are headed and permanent and temporary staff members supervised by managers appointed by it, with the necessary management and scientific programming skills.

Research data, expertise, collections, research results and scientific outputs all fall under the responsibility of CIRAD, which ensures their protection, preservation, transmission, dissemination and promotion. To this end, General Management determines and disseminates rules, good practice recommendations and procedures covering these various fields. Staff members, irrespective of their field and location, are required to respect each of these rules and procedures.

General Management drafts policies centring on the principle of sustainable development, with particular emphasis on the environmental, social and ethical impact of the establishment's activities, and of animal welfare.

When required, General Management consults the Ethics Committee for advice or recommendations.

General Management informs all of its employees of the ethical rules covering all types of professional practice, notably research operations, including scientific appraisals<sup>(9)</sup>: honesty, probity, reliability and rigour, objectivity, impartiality and independence, keeping stakeholders informed, openness, duty of care and justice, and responsibility.

Assessments of work by third parties, individual or collective appraisals and, more generally, participation in bodies or juries is done on the basis of clearly identified expertise and requires independence, objectivity and impartiality. CIRAD General Management guarantees the quality and impartiality of that expertise with regard to any public or private interest.

## MANAGERS OF COLLECTIVES

The managers of the various collectives<sup>(10)</sup> within the establishment's organizational structure are vital relays for implementation of this Code, in that they are responsible for applying on their level the commitments made by General Management in terms of promoting ethics.

To this end, as part of their duties, they are expected to devote sufficient time and create the necessary environment to be able to share CIRAD's collective objectives and targets with the staff members for whom they are responsible, in the light of the Code, so as to explain the contribution expected from each and every employee, with a triple aim: achieving the objectives set, ensuring the necessary resources, and building individual skills as part of a collective improvement drive.

Managers are required to ensure that the steps they take or request others to take are consistent over time, fair, and mindful of the principles of integrity.

They are expected to respect and apply the labour legislation and regulations applicable in France and the other countries in which CIRAD works.

In particular, they should ensure that diversity is respected and that there is no discrimination of any shape or form within CIRAD. They are expected to ensure that thesis directors and supervisors respect the rules of educational and scientific responsibility set out in the codes

of the doctoral schools concerned and in the CIRAD *Guide du doctorant*.

They are the guarantors of implementation of the establishment's quality procedures.

Lastly, they are expected to ensure that activities with partners in various socioeconomic sectors are indeed conducted in line with the *Guide des bonnes pratiques de l'expertise-conseil*<sup>(11)</sup> and in keeping with the *Charte nationale de l'expertise*, while respecting the principles of scientific independence and impartiality.

## EMPLOYEES

Within the framework of their professional activity, employees are subject to rules resulting from legal, collective and contractual provisions, or from internal rules of procedure, and to the conditions set out in codes and internal memoranda. They are also required to respect ethical principles with regard to:

- sharing in the course of their activities and sincerity in reporting;
- non-discrimination on the basis of age, gender, ethnic, national or social origin, religion or belief, sexual orientation, language, handicap, political opinions, or social or economic situation;
- the application of collective operating rules;
- respect of the fundamental principles of scientific integrity: honesty in every aspect of research; responsible research operations; courtesy and loyalty within working relationships; and efficient management of research on behalf of third parties<sup>(12)</sup>;
- participation in collective debates relating to science, partnerships, ethics, and work life.

Plagiarism, fabrication or falsification of data, other breaches of scientific integrity, deliberate omission of contributions from colleagues, improper claims to the status of co-author, and the concealment of conflicts of interest are seen as serious acts of professional and scientific misconduct that threaten the reputation of the establishment and society's perception of research. In the event of proven cases of misconduct, the employer may decide to take disciplinary measures.

Freedom of opinion and of individual expression is subject to a duty of discretion and confidentiality and to respect of prevailing criminal and civil law, particularly when it concerns the establishment. In particular, CIRAD employees and anyone based at CIRAD should systematically indicate whether the opinions expressed are personal or institutional. Each and every employee has a duty of loyalty to their employer. The establishment respects

the individual commitments of its employees, who, as private citizens, may be involved in political or public activity. However, those personal commitments cannot be permitted to affect CIRAD's activities, image or position of neutrality, particularly as regards the countries with which it works, their authorities and their people.

In accordance with the provisions in force, every employee has the right to reveal or publicize, in good faith, any fact or action of which they become aware that may constitute a threat to public health or the environment. This right to notify tallies with the prevailing legislation and regulations, notably the guide for whistleblowers produced by the French rights ombudsman. It differs from employees' rights to notify and to withdraw in the event of a serious, imminent threat to their life or health<sup>(13)</sup>, laid out in the *Code du travail*, which is not covered by the Code of Ethics and which therefore cannot be exercised in the event of value conflicts or conflicts of opinions surrounding requests made by the employer.

To prevent conflicts of interest, employees are required to declare any direct or indirect interests likely to influence the stances or decisions taken within their work, particularly when they may be required to express an opinion, conduct an assessment or contribute to a decision from which they could be thought to benefit in any way. ■■■

# RESEARCH FOR DEVELOPMENT PARTNERSHIPS: A SPECIFIC ASPECT OF THE CODE

In line with the terms of the *Charte du partenariat de la recherche pour le développement* and with its mandate, CIRAD aims to promote balanced, fair partnerships between organizations in North and South, built on reciprocal commitments and intended to be of mutual interest and benefit by generating outcomes that tally with its mandate, foster sustainable development and build research, training, appraisal and innovation capacity amongst its partners in southern countries.

## PRINCIPLES

The establishment promotes partnerships, with the priority target being the world's most disadvantaged people. It is committed to:

- respecting, in its activities and outputs, the rights of peoples, their culture and their traditions;
- non-discrimination on the basis of age, gender, ethnic, national or social origin, religion or belief, sexual orientation, language, handicap, political opinions, or social or economic situation, and to ensuring that the prevailing legislation on non-discrimination is respected;
- associating the whole range of stakeholders in the strategic debate concerning southern countries when drafting research for development programmes, to ensure quality research that respects the ethical principles inherent in research and its applications;
- fostering sustainable social and economic development by building research, training, appraisal and innovation capacity in southern countries, for which the 17 Sustainable Development Goals are an objective to which all the UN member states are committed;
- contributing to building and strengthening research networks and platforms (platforms in partnership, other platforms, observatories, etc) looking at global development issues;
- boosting the active participation of women in all its research and development activities, from conceptualization to promotion, and ensuring parity at management level, on elected bodies and in advisory roles;
- fostering the co-construction and co-funding of programmes by sharing the search for sources of funding;
- involving, as far as possible, the whole range of stakeholders in the management, implementation and appraisal of research and training operations, and in operations to promote the results of research results obtained in partnership;
- improving the promotion of knowledge and innovation, in particular through exchanges between research, higher education and economic players, taking care to recognize local knowledge;
- promoting the reporting of results to all stakeholders and enriching dialogue between science and society, taking care to share the benefits and involve the whole range of social players;
- refusing, in the absence of local legislation, to conduct experiments that would not be authorized in France. In the case of a request from overseas partners, before embarking on a partnership, CIRAD will consult the existing national appraisal and ad hoc advisory bodies. In the event of a value conflict or diverging views in the advice received or for want of advice, CIRAD undertakes to ask the INRA-CIRAD-IFREMER Joint Ethics Committee for help with making a decision;
- refusing to work with countries or institutions for which specific, warranted alerts have been issued by the French or EU authorities.

Generally speaking, CIRAD undertakes to encourage the application and monitoring of recommendations in the field of partnership, and, as far as reasonably possible and proactively, to apply the specific rules that exist in France, in the absence of regulations in the countries where it operates (eg: dissemination of genetically modified organisms).

## PARTNERSHIPS WITH THE PRIVATE SECTOR

In its general-interest operations, the establishment is required to work with a wide range of private-sector institutions (SMEs, NGOs and professional associations, large firms, private research and development organizations, multinationals, etc), in the form of projects or services. Its ethical principles apply fully to these collaborations.

In order to ensure research in partnership and credible, independent, relevant and effective appraisals, CIRAD's collaborations, notably with the private sector, must meet the following conditions:

- they must not run counter to its mandate as a public research establishment in terms of their objectives, nor to its institutional reputation in terms of their implementation;
- they must not create situations involving potential conflicts of interest between research players and donors;
- they must not be initiated or implemented in a way that contradicts international or national ethical standards in terms of human rights, labour law, notably child labour, territorial rights, conservation, dual activities, corruption, or research operations (scientific integrity);
- they must reflect CIRAD's commitment to sustainability, responsibility and good social and environmental practice, by setting a good example and working with partners that respect the relevant standards. CIRAD undertakes to call upon the relevant authorities in the event that these obligations are not respected;
- they must ensure that the results, conclusions, products and data generated by research are made widely accessible, subject to respect of intellectual property rights and partnership agreements. In the event of protection by an intellectual property title, this means obtaining licences for use by smallholders under preferential conditions.

## IMPLEMENTATION OF THE CODE

This Code will be disseminated widely to CIRAD staff and made available on line to ensure that each and every interested party is familiar with its contents and the repercussions for their professional activities.

All staff members recruited for a period of more than three months will be requested to familiarize themselves with the Code in order to respect its terms.

Alongside the dissemination of the Code, an Ethics Monitoring Committee is being set up at CIRAD General Management and can be contacted by any CIRAD employee or teams, or others from outside CIRAD. It is intended to contribute to raising awareness, training and ensuring the adoption of a culture of scientific integrity. It is the forum within which questions relating to application of the Code, and any possible breaches observed by employees or persons hosted by CIRAD in terms of its implementation may be reported to the employer and addressed in an impartial manner.

## ANNEXES

### ***Charte de déontologie de l'Inra (INRA Code of Ethics)***

<http://inra-dam-front-resources-cdn.brainsonic.com/ressources/afile/246617-c621b-resource-charte-de-deontologie.html>

### ***Charte des sciences et recherches participatives en France (Charter for participatory research and science in France)***

<https://inra-dam-front-resources-cdn.brainsonic.com/ressources/afile/403674-cf7ac-resource-charte-francaise-des-sciences-et-recherches-participatives.pdf>

### ***Charte du partenariat de la recherche pour le développement (Charter for research for development partnerships)***

[https://www.google.fr/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0ahUKewizxPTuu5jYAhVKbhQKH-V7nCwcQFggUAAA&url=http%3A%2F%2Fmi-oc.org%2Fcontent%2Fdownload%2F47832%2F368526%2Fversion%2F5%2Ffile%2FCharte\\_partenariat.pdf&usq=AOvVaw3UtQPfj4\\_HkkzPA7er7fTd](https://www.google.fr/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0ahUKewizxPTuu5jYAhVKbhQKH-V7nCwcQFggUAAA&url=http%3A%2F%2Fmi-oc.org%2Fcontent%2Fdownload%2F47832%2F368526%2Fversion%2F5%2Ffile%2FCharte_partenariat.pdf&usq=AOvVaw3UtQPfj4_HkkzPA7er7fTd)

### ***Guide d'orientation et de protection des lanceurs d'alerte (Guide for whistleblowers)***

<https://www.defenseurdesdroits.fr/sites/default/files/atoms/files/guide-lanceuralerte-num-v3.pdf>

### ***Guide du doctorant au Cirad (CIRAD handbook for PhD students, pending)***

### ***Politique en matière d'éthique et d'intégrité scientifique de l'ANR (ANR policy in terms of ethics and scientific integrity)***

<http://www.agence-nationale-recherche.fr/fileadmin/documents/2014/Politique-ethique-integrite-scientifique-aout-2014.pdf>

## NOTES

[1] <http://www.legifrance.gouv.fr/affichCode.do?cidTexte=LEGITEXT000006071190>

[2] [https://cdn2.euraxess.org/sites/default/files/am509774cee\\_en\\_e4.pdf](https://cdn2.euraxess.org/sites/default/files/am509774cee_en_e4.pdf)

[3] <http://www.singaporestatement.org/statement.html>

[4] [http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics\\_code-of-conduct\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf)

[5] [http://www.cirad.fr/en/content/download/9795/112954/version/4/file/French\\_National\\_Charter\\_for\\_Research\\_Integrity.pdf](http://www.cirad.fr/en/content/download/9795/112954/version/4/file/French_National_Charter_for_Research_Integrity.pdf)

[6] Corvol Report: [http://cache.media.enseignementsup-recherche.gouv.fr/file/Actus/84/2/Rapport\\_Corvol\\_29-06-2016\\_601842.pdf](http://cache.media.enseignementsup-recherche.gouv.fr/file/Actus/84/2/Rapport_Corvol_29-06-2016_601842.pdf).

[7] [http://cache.media.enseignementsup-recherche.gouv.fr/file/2010/10/6/ChartenationaledeL\\_expertise\\_139106.pdf](http://cache.media.enseignementsup-recherche.gouv.fr/file/2010/10/6/ChartenationaledeL_expertise_139106.pdf)

[8] <http://coop-ist.cirad.fr/content/download/4534/34021/version/7/file/CoopIST-Definir-les-auteurs-20141112.pdf>

[9] Cf. *Code de la recherche*.

[10] Staff members with scientific, administrative, technical and institutional responsibilities.

[11] <https://intranet-dgdrs.cirad.fr/infos-outils/information-sur-l-expertise>

[12] The four founding principles of the Singapore Statement on Research Integrity.

[13] Article L4131-1 of the *Code du travail*: Employees should immediately inform their employer of any professional situation that they feel represents a serious, imminent threat to their life or health, and of any malfunction they observe in the relevant protection systems. They have the right to withdraw from such situations.



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CIRAD is the French  
agricultural research  
and international cooperation  
organization working for the  
sustainable development  
of tropical and  
Mediterranean regions

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