World Bank Group Directive

Staff Rule 3.01 – Standards of Professional Conduct

Bank Access to Information Policy Designation
Public

Catalogue Number
EXC10.03-DIR.116

Issued
November 21, 2019

Effective
March 12, 2019

Last Revised On
November 21, 2019

Content
This Directive, Staff Rule 3.01, "Standards of Professional Conduct," (hereinafter Rule) sets forth provisions specifying the standards of professional conduct required of Staff Members.

Applicable to
IBRD,IDA,IFC,MIGA,ICSID

Issuer
Managing Director and WBG Chief Administrative Officer, MDCAO; IFC Chief Executive Officer, IFCEO; MIGA Executive Vice President and CEO, MIGEX

Sponsor
World Bank Group Chief Ethics Officer, EBCDR
SECTION I – PURPOSE AND APPLICATION

1.01 This Directive, Staff Rule 3.01, "Standards of Professional Conduct," (hereinafter Rule) sets forth provisions specifying the standards of professional conduct required of Staff Members.

1.02 The purpose of this Rule is to ensure that Staff Members adhere to the high standards of professional conduct expected of international civil servants. Staff Members who have questions about the application of ethical rules in particular circumstances should seek advice from the Ethics and Business Conduct Department (EBC).

1.03 This Rule applies to all Staff Members except where otherwise specified. It also applies, where specified, to former Staff Members and Immediate Family members (as defined in Staff Rule 1.01, "General Provisions").

SECTION II – DEFINITIONS

1.04 Capitalized terms in this Rule have the meanings ascribed to them in Staff Rule 1.01, "General Provisions," and as follows:

a. Close Relatives: Family members as defined in Staff Rule 4.01, "Appointment," "Close Relatives," and includes both Category I and Category II Relatives.

b. Work-Related Gift: Any personal benefit of value such as gifts, free or discounted services, favors, entertainment or hospitality (meals or accommodations) by organizations, officials or members of the public with whom a Bank Group Staff Member is in contact through his or her employment with the Bank Group.

SECTION III – SCOPE

02. Compliance

2.01 Upon appointment, each Staff Member shall file with the Manager, HR Operations, a statement representing that s/he has read and will comply with Principle 3, "General Obligations of Staff Members," under the "Principles of Staff Employment," and Staff Rules 3.01 to 3.06 ("General Obligations of Staff Members") inclusive.

2.02 Each Staff Member may be required to complete periodic training regarding the requirements of Principle 3, "General Obligations of Staff Members," under the "Principles of Staff Employment," and Staff Rules 3.01 to 3.06 ("General Obligations of Staff Members") inclusive. The Ethics and Business Conduct Department (EBC) is responsible for conducting this training. To facilitate compliance with this Rule and to complement such training, this Rule will be communicated periodically to all Staff Members.

2.03 Where this Rule affects the interests and activities of a member or members of a Staff Member's Immediate Family or requires disclosures pertaining to them, the Staff Member uses his/her best efforts to be informed as to those activities and interests, to secure compliance with this Rule and to make disclosures to the best of his/her knowledge.
03. Duty of Care

3.01 Staff Members must comply with the obligations embodied in the "Principles of Staff Employment," the "Staff Rules," and all other policies and procedures of the Bank Group, as applicable.

3.02 In complying with such obligations, including, as applicable, fiduciary obligations for overseeing the use of internal and external funds, Staff Members shall carry out their duties with care and honesty. Staff Members will be held accountable for failure to do so and will be subject to disciplinary action under either Staff Rule 3.00, "Ethics and Business Conduct Department (EBC)," or Staff Rule 8.01, "Disciplinary Proceedings," whichever is applicable if they are found to have:

i. committed an ethical breach;

ii. administered funds for purposes other than those intended (as provided for in written documents addressing the use and administration of the funds) without written authorization from their Managers (as defined in Staff Rule 1.01, "General Provisions");

iii. administered funds with reckless disregard for economy and efficiency; or

iv. engaged in fraudulent or corrupt acts.

04. Supervisory Relationships

4.01 Supervisors shall at all times treat Staff in a fair and unbiased manner. Treatment of Staff shall not be influenced by personal ties between the Supervisor and the Staff Member, nor shall it be influenced by the race, nationality, sex, religion, political opinions, or sexual orientation of the Supervisor or Staff Member.

4.02 A sexual relationship between a Staff Member and his/her direct report, or direct or indirect Manager or Supervisor is considered a de facto conflict of interest. The Manager/Supervisor shall be responsible for seeking a resolution of the conflict of interest, if need be in consultation with management, who will take measures to resolve the conflict of interest. Failure to promptly resolve the conflict of interest may result in a finding of misconduct.

05. Disclosure and Use of Non-Public Information

5.01 Staff Members and former Staff Members in possession of non-public information obtained in the course of Bank Group employment shall not, without written authorization from a Senior Manager, disclose to any third party for any reason or otherwise use such information in furtherance of a private interest or the private interest of any other person or entity. These obligations continue after separation from Bank Group service. "Non-public information" is defined as information generated by the Bank Group that has not been approved for release outside the Bank Group in accordance with the Bank Group's Staff Rules.

5.02 Staff Members may be required to sign agreements with governments, and other entities or persons, for the protection of the secrecy of proprietary information made known to them by reason of their Bank Group employment.
5.03 Qualified external reports of suspected misconduct that are made by Staff Members in accordance with Staff Rule 8.02, "Protections and Procedures for Reporting Misconduct (Whistleblowing)," and consistent with any confidentiality obligations to concerned third parties pursuant to paragraph 5.02 of this Rule, shall not be considered as a breach of Staff Members' obligations with regard to the disclosure and use of non-public information under paragraph 5.01 of this Rule.

06. Instructions and Remuneration from Outside Sources

6.01 Except as otherwise required to perform Bank Group assignments involving service to other entities, Staff Members owe their duty entirely to the Bank Group and to no other authority. Accordingly, Staff Members do not accept instructions relating to the performance of their duties with the Bank Group from any governments or other external entities or persons except where performing duties for others pursuant to:

a. the terms of an Executive Director's Advisor Appointment;

b. an External Service Assignment;

c. during Leave Without Pay; or

d. the provisions of Staff Rule 3.04, "Bank Group Endorsed Activities with External Entities."

6.02 Except when holding Special Assignment Appointments, or if the Staff Member is on External Service without Pay or on leave without pay in order to accompany a spouse/Domestic Partner on a Bank assignment, Staff Members do not accept any remuneration from governments or other external entities or persons in connection with their appointment to or service with the Bank Group.

07. Appearances before Legislatures of Member Countries and Public Statements

7.01 Except as provided in this Rule, Staff Members do not testify in person or in writing before national or other legislatures without written authorization from the Staff Member's Vice President, in consultation with the General Counsel of the applicable Bank Group organization and the Vice President, External Affairs. Such authorization may be granted in exceptional circumstances of institutional significance, but only so long as the testimony concerns factual matters based on the Bank Group's work, is not compulsory, is permissible under the Bank Group organization's disclosure policy, and has been requested or endorsed by the executive branch of the government concerned. The authorization may limit the manner or scope of testimony.

7.02 Public statements, other than testimony before national or other legislatures, on issues which concern Bank Group policies and activities or which may generally affect the Bank Group's public image or relationship with member governments must be cleared in accordance with the procedures set out in Administrative Manual Statement 14.20, "Public Statements of Staff Members."
08. Political Activity

8.01 It is recognized that Staff Members have a legitimate interest in the civic and political affairs of the country of which they are citizens. However, the degree to which they become actively involved in politics must necessarily be limited by their status as international civil servants. In particular, Staff Members shall not identify themselves as World Bank Staff Members when engaging in any political activity. Provided these activities are carried out in an entirely private capacity, permissible political activities include, but are not limited to:

a. belonging to national political parties;
b. making legal political contributions;
c. voting;
d. contacting elected representatives;
e. participating in local community affairs;
f. participating in peaceful demonstrations.

8.02 Staff Members present as a result of their Bank Group employment in a country, where they are not citizens, may not belong to a political party or engage in any overt partisan political activity, but may

a. participate in local community affairs;
b. participate in peaceful demonstrations; provided these activities are carried out in an entirely private capacity and without identifying themselves as World Bank Group Staff Members.

09. Public Office

9.01 A Staff Member who evidences intent or undertakes by conduct or stated decision to become a candidate for or accept an appointment to national public office shall resign from the service of the Bank Group.

9.02 Except with the prior approval of the World Bank Group Chief Ethics Officer, EBC, a Staff Member does not become a candidate for, or accept appointment to, any other public office. Any activity in pursuit of such other public office or its duties shall take place outside Bank Group office hours or while the Staff Member is on leave and shall not make use of Bank Group services, supplies or facilities.

10. Benefits, Favors, Gifts

10.01 Official duties will bring Bank Group Staff into contact with organizations and officials or members of the public who may wish to offer gifts, favors, entertainment, hospitality (meals or accommodations) or transportation. While such contact is a necessary part of conducting the Bank Group's business, it is essential that Bank Group Staff and their Close Relatives be and be seen to be, free from any form of undue influence, bribery or corruption. The offering, to a
Bank Group Staff Member or a Close Relative of a Bank Group Staff Member of any Work-Related Gifts may be or be seen to be an attempt to improperly influence a work decision of such Staff Member and, therefore, Work-Related Gifts must not be accepted by any Bank Group Staff Member, except to the extent permitted in this Rule.

10.02 A Staff Member does not accept Work-Related Gifts, regardless of value, that could reasonably be perceived to be intended to improperly influence the Staff Member's work decisions or could be reasonably expected to cause reputational harm to the Bank Group.

10.03 A Staff Member may accept a Work-Related Gift that is not in contravention of paragraph 10.02 of this Rule if:

a. the cumulative value of all Work-Related Gifts received from the same entity (or from individuals working on behalf of the entity) during the prior period of 12 consecutive months, in combination with the value of such proposed Work-Related Gift does not exceed USD $100; or

b. refusal of the Work-Related Gift would cause offence; or

c. the Work-Related Gift is offered in a public forum where refusal would cause embarrassment; or

d. the Work-Related Gift is directly associated with the demands of work (for example working meals or work-related travel or attendance at representational functions to meet and discuss business). When such Work-Related Gift takes the form of accommodation, it is desirable that the scope and cost remain in line with the standards provided by the Bank Group to its Staff.

10.04 In cases where a Work-Related Gift has a value in excess of USD $100 is accepted for reasons provided in paragraph 10.03 b) and c) of this Rule, the item must either be promptly (i) diplomatically returned to the gift-giver or (ii) surrendered to the Asset Management Unit, Global Corporate Solutions and must not be regarded as the personal property of the Staff Member. Surrendered Work-Related Gifts may be purchased by the Staff Member based on the value of the item as determined by an independent appraisal arranged by Asset Management Unit. Otherwise, disposition of the Work-Related Gift shall be determined by the Bank Group.

10.05 Staff shall not solicit Work-Related Gifts except when the solicitation is (i) part of a sponsorship program initiated by the Bank Group and duly approved by a Vice President or, (ii) is intended to support a charitable organization or event, cannot reasonably be perceived to be mandatory or to have any bearing on any Staff Member's work opportunities, evaluation or prospects and is approved by the Manager of Conflicts of Interest in EBC, or (iii) is a solicitation permitted pursuant to paragraph 10.09 of this Rule.

10.06 A Staff Member may offer, whether or not paid by the Bank Group, gifts, favors, entertainment, hospitality (meals or accommodations) or transportation to organizations, officials, members of the public or other Bank Group Staff Members, in connection with conducting the Bank Group's business, only if such gift cannot reasonably be perceived to be intended to (i) improperly influence the recipient's work decisions or (ii) obtain personal favors for such Bank Group Staff Member. A gift paid for by the Bank Group must be reasonably associated with the demands of work (such as working meals, work-related travel or attendance at representational functions to meet and discuss business, promotional item
offered to everyone within the audience of a Bank Group event or token of gratitude for active participation in an event) and be consistent with instructions received from the Staff Member’s Senior Managers in this regard.

10.07 Staff may accept and retain promotional items that are offered by an outside organization to everyone within a given audience (e.g., conference participants). When receiving items that are offered to an individual through his/her random selection from among participants in an event that is not organized by the Bank Group, Staff should contact the Manager of Conflicts of Interest in EBC, who will assess, on the basis of the probability of win and the value of the gift, whether the gift should be surrendered.

10.08 Staff may not organize raffles within the Bank Group without the prior approval of the World Bank Group Chief Ethics Officer, EBC, or his/her designee. These are normally not allowed unless they have primarily a charitable purpose and the total monetary contributions of participants is expected to exceed the total value of the raffled items.

10.09 Staff may request or accept non-scheduled (i.e. private or chartered) transportation to be provided by a government body, an outside organization or a private individual to facilitate **official** travel of Staff that is necessary for the conduct of the Bank Group’s business provided that (i) it is customary for the government body or outside organization to provide transportation or (ii) there are business and efficiency benefits for both parties to arrange travel in such a way (e.g., travel time will be used as meeting opportunity) or (iii) Staff join a journey that was already planned and do not generate additional costs in doing so or offer to reimburse additional costs, or (iv) there are safety, security or transport availability concerns for such official travel, or (v) transport is provided without prior notice and refusal may cause offense. It is desirable that the scope and cost of transportation remain in line with the standards provided by the Bank Group to its Staff.

10.10 A Staff Member does not request and, unless refusal would cause offense, does not accept transportation provided by a government body or an outside organization for the Staff Member’s **private** travel (i.e. for the conduct of personal business or leisure), or the private travels of the Staff Member’s Close Relatives, if the offer arose from the Staff Member’s professional relationships or is otherwise connected with his or her Bank Group work duties.

10.11 Staff involved in any procurement activity on behalf of the Bank Group have a particular responsibility to be and be seen to be impartial and free from any improper influences in reaching their decisions. Such Staff:

a. shall not, during the conduct of any Bank Group procurement of goods, works or services, solicit or accept any money, gratuity, or other thing of value from any officer, employee, representative, agent or consultant of a competing vendor;

b. shall not, during the conduct of any Bank Group procurement of goods, works or services, solicit or accept, directly or indirectly, any promise of future employment or favors from, or engage, directly or indirectly, in any discussion of future employment or favors with any officer, employee, representative, agent or consultant of a competing vendor.

c. shall not solicit or accept, directly or indirectly, any favor including any promise of future employment (for the Staff Member or the Staff Member’s Close Relatives) from any vendor contributing to a Bank Group activity which the Staff Member is personally and substantially involved in.
10.12 Staff Members does not solicit or accept directly or indirectly, any favor including any promise of future employment (for the Staff Member or the Staff Member’s Close Relatives) from any beneficiary of a Bank Group activity which the Staff Member is personally and substantially involved in.

11. Medals, Decorations, Honors

11.01 Staff Members do not accept medals, decorations or similar honors from any external source for service to the Bank Group while they remain Staff. Staff Members may accept such honors for service not connected with Bank Group employment with the approval of the World Bank Group Chief Ethics Officer, EBC.

12. Use of Bank Group Services, Supplies or Facilities

12.01 Staff Members shall not use Bank Group services, supplies or facilities for private gain or permit other persons to do so. With the approval of their Manager, Staff Members may make individual solicitations on Bank Group premises to colleagues for donations of money or purchase of goods for the benefit of a charitable, religious or educational organization. A Staff Member does not, however, otherwise use Bank Group services, supplies or facilities on behalf of such an organization without the written permission of the Director, Global Corporate Solutions, or an official designated to act for the Director.

SECTION IV – EXCEPTION

None

SECTION V – WAIVER

The Issuers, or their designees, may waive any provision of this Directive, with respect to their Staff Members, with advice from the World Bank Group Chief Ethics Officer, EBC.

SECTION VI – OTHER PROVISIONS

As nomenclature for committee titles, position titles, or office titles stated in this Directive change after this Directive’s issue date, this Directive is understood to apply to the successor equivalent titles.

SECTION VII – TEMPORARY PROVISIONS

None

SECTION VIII – EFFECTIVE DATE

This Rule is effective as of the date on its cover page.
SECTION IX – ISSUER

This Directive's Issuers are as stated on its cover page.

SECTION X – SPONSOR

This Directive's Sponsors are as stated on its cover page.

SECTION XI – RELATED DOCUMENTS

None

Questions regarding this Rule should be addressed to the World Bank Group Chief Ethics Officer, EBC.