

CODE OF CONDUCT

1. INTRODUCTION

概述

In this Code of Conduct (**Code**) a reference to the “**Institute**” means The George Institute for Global Health, and/or its subsidiary and/or associated companies, as the context requires.

此行为准则中提及的研究院，即为乔治全球健康研究院，或根据上下文要求的其附属公司和/或联属公司

The Institute, aims to conduct its operations with integrity, credibility, social responsibility and accountability. The purpose of this Code is to set standards for professional practice and conduct for all:

乔治全球健康研究院的运行是建立在诚信，信用，社会责任感基础上的。此准则是为员工的一切行为提供专业标准，其中包括：

- employees of the Institute (whether employed on a permanent, temporary or casual basis) (**Staff**); and
- consultants, students, seconded personnel, contractors, subcontractors, volunteers, and any other associates undertaking work in any capacity for or on behalf of the Institute (collectively, **Associates**),

and operates in conjunction with all other Institute policies and procedures.

研究院员工（包括正式员工，临时工），顾问，学者，解调员工，合同工，分包商，志愿者，任何机构或代表机构承担任何工作的同事，

All Staff must comply with the Code, and all Associates must comply with the Code in respect of their activities relating to or impacting upon the Institute.

所有员工必须遵循此准则，所有员工的行为都会对机构产生影响。

The Code provides a framework to promote ethical day to day conduct and decision making. It does not and cannot cover every situation that can arise in the workplace. The Code does not replace the need for common sense in how Staff and Associates conduct themselves.

This Code will be subject to revision from time to time in response to changes in requirements or circumstances.

本规范为推动日常道德行为和决策活动提供了框架。本规范未能且无法覆盖工作场所可能出现的所有情形。本规范不得取代工作人员行事所需的常识。此准则将根据需求或情况的变化而修改。

2. PRINCIPLES

原则

All Institute activities should be conducted with the intention of bringing health, social or economic benefits to the populations of millions of people worldwide. This requires that the activities of the Institute be performed with assurance of quality and reliability and without material conflict of interest. All activities of the Institute should be conducted with due respect for the cultural, ethnic and economic circumstances of the countries and regions in which such activities are performed.

研究院以为全球数百万人带来健康、社会或经济利益这一目的开展活动。研究院应确保其活动的质量和可靠性，且不得产生重大利益冲突。开展研究院活动时，应尊重所在国家和地区的文化、民族和经济情况。

3. VALUES

价值观

The Institute's values articulate the basic assumptions and beliefs that define our organisational culture and need to be shared amongst Staff and Associates to ensure fulfilment of our mission. All Staff and Associates undertaking any work on behalf of the Institute shall act in accordance with the following values and associated behaviours:

研究院的价值观阐明了基本设想和信念，定义了组织文化，应在工作人员之间共享，确保履行研究院的使命。代表研究院开展工作的所有工作人员，赞助方和合作人应依照下列价值观和相关行为规范行事：

Our **HUMANITARIAN** commitment will spur us to tackle the health issues affecting high-risk and disadvantaged people worldwide:

研究院的人道主义承诺将激励我们解决全球高风险人群和弱势群体的健康问题：

- Considers the human benefits of actions whilst making decisions
在决策时考虑相关行动给人类带来的利益；
- Demonstrates compassion and empathy in their relations with others
向他人表示同情心和同理心；
- Demonstrates a genuine regard toward the Institute's mission
践行研究院的使命。

Our focus on **EXCELLENCE** will produce scientific evidence of the highest quality by any benchmark:

研究院专注于卓越研究，这将产生符合所有衡量基准的、具有最高质量的科学证据：

- Wants, plans, acts to meet or surpass a standard of excellence
确定志向、方案和行动，符合或超越卓越研究的标准；
- Measures outcomes against goals: Innovates to improve
根据目标衡量结果：利用创新，实现改善；
- Takes calculated risks to do something new or better
- 在可接受的风险范围内，实现创新与进步

Our **CREATIVITY** will challenge traditional thinking and provide an impetus for new and innovative solutions to the world's leading health problems:

研究院坚持创新，挑战传统思维，并提供动力为全球主要健康问题制定创新解决方案：

- Openly & constructively questions traditional ways of doing things and fundamental assumptions
对传统的实践方式和基本假设提出公开、建设性的质疑；
- Makes connections between previously unrelated ideas
将之前毫无关联的想法联系在一起；
- Recognises and encourages creative ideas of others
认可并鼓励他人的创造性想法。

Our **INTEGRITY** will underpin all our work and interactions, including our collaborations with partner organisations worldwide:

研究院的诚信承诺将为研究院的工作和交往活动提供大力支持，包括研究院与全球合作伙伴的合作：

- Communicates intentions, ideas and feelings openly to build mutual trust and confidence
公开表达意向、想法和感受，建立互信并取得信任；
- Demonstrates personal accountability in decisions and actions
在决策和行动中彰显个人责任感。

Our **'CAN DO'** approach will produce timely, effective action, even in the face of adversity or other barriers to implement:

研究院秉承“我能行”的信条，即使面对逆境或者其他阻碍，也能及时、有效地付诸行动：

- Demonstrates enthusiasm and persistence to resolve problems and achieve agreed outcomes
彰显热情和毅力，解决问题并取得满意的结果；
- Remains calm, productive and positive when faced with change, ambiguity and uncertainty

在面临变化、模糊性和不确定性时，保持冷静、高效和积极的工作态度。

Our emphasis on **IMPACT** will ensure our work has real consequences for those who are most vulnerable to disease and injury:

研究院高度重视影响力，确保研究院开展的工作能为最易生病和受到伤害的群体取得实际效果

- Continuously measures progress towards organisational outcomes and adjusts actions to ensure success
持续衡量组织结果的进展情况并调整行动，确保成功；
- Sets personal goals that are aligned with the organisational strategy
设定符合组织战略的个人目标。

4. RESPONSIBLE PRACTICE

负责任的行为实践

4.1 Relationships with sponsors

与赞助方的关系

The Institute's relationships with sponsors must be free of material conflicts of interest. This applies equally to public and private sponsors. The Institute will not accept funds or support in kind from any organisation that is in conflict with the Institute's Principles and Values (including tobacco companies and organisations associated with terrorism).

研究院与赞助方的关系不得存在重大利益冲突。本规定同样适用于公共和私人赞助方。研究院不得接受与研究院的原则和价值观相冲突的任何组织（包括烟草公司和与恐怖主义有关的组织）提供的资金或其他扶持。

Except in the case of commercial fee for service projects, Staff should have a role in the design, analysis, interpretation and publication of all projects in which they are substantively involved. Project sponsors must not unreasonably restrict this role.

除服务项目的商业费用外，研究院的工作人员应在与其实质相关的所有项目中承担设计、分析、诠释和出版工作。项目赞助方不得无故限制工作人员担任此类职务。 Specific requirements include:

具体要求包括：

- While sponsors of Institute developed activities may be given an opportunity to comment on Institute reports before publication or presentation of the results, they cannot have the right of veto.
与研究院开发活动相关的赞助方有权在结果公布或提交之前就研究院的报告发表意见，但无否决权。
- Grants of money or equipment should be made to the Institute and not to individuals, and should be appropriately acknowledged in relevant reports and presentations.
向研究院（而非个人）提供资金或设备，且应在相关报告和陈述中予以认可。

- The Institute must have the right to define the work to be included in any project prior to its commencement and identify the milestones to be reached throughout the project.
在项目启动之前，研究院有权确定项目的具体任务，并设定项目时间表。
- The Institute must retain the right to determine the appropriate allocation of Staff and other resources to each project.
研究院有权决定向各个项目分配适当的工作人员和其他资源。
- The Institute can only accept funds for Institute-led projects on a 'best efforts basis', agreeing on receipt of an offer of funding, to undertake a project without guaranteeing specific outcomes. This approach reflects the essential nature of academic endeavour.
研究院可为自身领导的项目接受资助，前提是尽心尽力完成项目，就接受资助达成一致意见，以及在不承诺具体项目结果的条件下开展项目。此举反映出学术活动的本质。
- All financially sponsored activities require written contractual agreements, which are transparent and open to professional scrutiny.
针对受资助活动签订书面协议，此类协议应透明并经受专业审查。
- The Institute's Legal Office should be advised at an early stage in the negotiation of a contract.
在合同谈判初期，通知公司秘书和法律顾问。
- Only those with the appropriate delegation have authority to sign contracts on behalf of the Institute.
仅限具有适当授权的人员可以代表研究院签署合同。
- Contracts can be offered which state that funds will be provided upon achievement of certain 'milestones' that are identified prior to the commencement of the project, provided that such milestones represent progress on the project and not particular results achieved.
合同应载明，完成“里程碑事件”（在项目启动前已经明确）之时将提供的资金，但前提是该等“里程碑事件”应反映项目的进展情况，而非取得的特定成果。
- Funds must be used in accordance with the terms and conditions under which those funds were received.
必须按照接收资金的条款使用资金。
- Sponsors may seek the right to have alterations made to the design or conduct of projects following their initiation. The Institute requires that any such variations to the original agreement should not occur without adequate negotiation with the Institute, in order to protect the Institute from financial loss and protect the integrity of the project.
赞助方可以在项目启动后请求修改项目设计或实施相关条款。研究院规定，在未与研究院充分商议的情况下，不得对原始协议进行任何改动。此举旨在防止研究院遭受经济损失并保护项目的完整性。
- The results of all projects must be available for presentation and publication. Where confidentiality provisions apply (for example, where the researchers or institution have

given undertakings to third parties, such as the subjects of the research), results must be reported in such a way as to prevent any breach of such confidentiality.

必须提交和公开所有项目的成果。保密规定如适用（例如，研究人员或研究机构针对研究受试者等对第三方做出承诺），则必须按照保密规定报告研究成果。

- Confidentiality agreements to protect intellectual property rights may be agreed between the Institute and the sponsor of the research. However, such protection should not limit the value of the project undertaken.

研究院和研究赞助方可以就保护知识产权达成保密协议。但是，此类保护不得限制研究项目的价值。

- If the sponsor wishes to use the Institute's name and/or logo, written approval from the appropriate Staff member with delegated authority to lead the underlying project, as well as the Communications officer in charge of branding within the Global Communications and Advocacy team, must be obtained prior to use.

如果赞助方希望使用研究院的名称及 / 或标识，则在使用前必须获得项目授权相关员工的书面批准。传播团队负责品牌管理的成员在使用名称及 / 或标识，也需获得批准。

- Staff and Associates must not have any major personal conflict of interest that could be perceived as biasing the conduct or outcome of Institute projects. This specifically includes holding shares in companies sponsoring Institute projects or receiving regular personal income as a consultant for such companies.

研究院的工作人员不得产生任何重大的个人利益冲突，此类冲突可能被认为对研究院项目的开展或结果造成不利影响。具体包括持有研究院项目赞助方的股份，或者作为该等公司的顾问收到定期个人收入。

- Where there is a minor conflict of interest, such as the receipt of lecture honoraria or occasional consulting fees for advice provided to a sponsoring agency or company, this must be declared.

如发生较小的利益冲突（如收到赞助机构或公司提供的授课报酬或咨询费用），必须报告。

- The Institute reserves the right to prohibit the involvement of Staff in any commercial activity that poses a conflict of interest or is otherwise potentially damaging to the interests of the Institute.

研究院有权禁止其工作人员参加与研究院存在重大利益冲突或者可能损害研究院利益的商业活动。

4.2 Relationships with non-funding sponsors

与非出资赞助方的关系

Non-funding sponsors include public or private organisations that provide goods or services (for example, data) to the Institute, and may be perceived to have a vested interest in the outcome of the research.

非出资赞助方包括向研究院提供商品或服务（如数据）的公共或私人机构，可能对研究成果享有既得利益。

Agreements with non-funding sponsors of projects should follow the same principles as outlined above for agreements with financial sponsors.

与项目非出资赞助方达成的协议应同与出资赞助方达成的协议遵守相同原则。

4.3 Relationships with collaborators

与合作人的关系

Collaborative research projects are those that are jointly carried out by the Institute and at least one other partner of similar professional standing. Such collaborations are central for much of the Institute's work and are strongly encouraged.

In all cases it is vital that the agreement on the ownership or use of the intellectual property resulting from such collaborative projects and partnerships be negotiated at the contract stage and not left for consideration only if a commercial application arises in the project.

合作研究项目指由研究院和一名以上具有类似专业资格的合作伙伴共同开展的研究项目。该等合作项目是研究院众多工作的核心，应大力支持。在所有情况下，必须在缔约阶段针对此类合作项目和合作关系产生的知识产权之所有权或使用达成协议；除非项目中产生了商业应用，否则，不予考虑。

Before the Institute participates in collaborative projects or partnerships where intellectual property may be generated, it will enter into a written contract with the third parties agreeing on:

在参与可能产生知识产权的合作项目或建立合作关系之前，研究院将与第三方就以下事项达成书面合同或协议：

- The nature of the work to be produced and the roles and responsibilities of the parties involved; and 拟开展工作的性质以及相关方的职责和责任，以及，
- Ownership of the intellectual property (and associated rights) arising from the collaboration or partnership, unless reserved to the funding body (or third party).

因合作或合作关系所产生的知识产权之所有权问题，但该等知识产权归资助方（或第三方）保留的除外

Such collaborative projects or partnerships shall be considered and, where necessary negotiated, by the Institute on a case by case basis, prior to the commencement of the project or partnership.

研究院应考虑该等合作项目或合作关系，如必要，应在开展项目或建立合作关系之前根据具体情况展开协商。

Where intellectual property arising out of a collaborative project or partnership is agreed to belong to a party other than the Institute, the Institute may require as a condition of agreeing to such arrangement, a royalty-free, non-exclusive, world-wide and irrevocable licence allowing the Institute to use and exploit that intellectual property in the course of its mission.

在合作项目或合作伙伴产生的知识产权被同意属于该乔治研究院以外的一方的情况下，则乔治研究院可以要求其他方授予乔治研究院一项免版税、非独家、全球性和不可撤销的许可，以便乔治研究院在履行使命的过程中使用和开发知识产权。

Please also refer to the Institute's [Intellectual Property Policy](#).

请参阅研究院的《知识产权政策》。

4.4 Research misconduct

研究不当行为

Research misconduct includes fabrication, falsification, plagiarism, or other practices that seriously deviate from those commonly accepted within the scientific community for conducting or reporting research. Allegations of research misconduct for any projects with which the Institute is associated should be directed to the Institute's Chief Scientist. In all instances, the investigation process will be independent, open and transparent, and involve a review by peers. Following preliminary investigations, should there be evidence of research misconduct, the relevant funding agencies or collaborators will be advised in confidence.

研究不当行为包括为开展或报告研究之目的捏造、伪造、剽窃或其他严重背离科学界行为规范的行为。若发现研究院相关项目中存在研究不当行为，应向研究院的首席科学家报告。调查程序应独立、公开和透明，并由同事审核。初步调查后，如有证据表明存在研究不当行为，则应秘密地告知相关资助机构或合作人。

The Institute management will take appropriate action against any Staff member or Associate found to have engaged in research misconduct, which could include (as appropriate) disciplinary action (including dismissal), termination of contract, and referral of the matter to the police or other relevant government agency.

研究院的管理层将对存在研究不当行为的工作人员采取惩戒措施，包括辞退该等工作人员或者将此事上报警察或其他相关政府机构。

Please also refer to the Institute's [Research Misconduct Policy](#).

请参阅研究院的《研究不当行为政策》。

5. ACCEPTANCE OF GIFTS OR BENEFITS

收受礼物或利益

To ensure Staff and Associates are seen to uphold the Institute's independence and reputation, the solicitation or acceptance of cash from suppliers or contractors to the Institute

is not permitted. Acceptance of gifts in kind must be restricted to those that are offered by companies as part of their normal marketing activities. Staff and Associates should use their discretion when accepting any gifts, including honorariums, and have a responsibility to declare to Institute management the offer of gifts or benefits that have a significant monetary value. At all times Staff and Associates are prohibited from asking, demanding or accepting any form of commissions or gratifications during their dealing with vendors or any commercial entities while dealing on behalf of the Institute.

为确保所有工作人员维护研究院的独立性和声誉，禁止收取或收受供应商或承包商向研究院提供的现金。仅限接受其他公司为正常营销目的提供的实物形式的礼物。在接受任何礼物（包括谢礼）时，工作人员应利用其判断力，并有责任向研究院的管理层报告具有重大经济价值的礼物或利益。在代表研究院同供货商或其他商业机构来往的过程中，工作人员不得索要、要求或接受任何类型的佣金或报酬。

Staff are permitted to enjoy the hospitality of Institute suppliers, contractors or sponsors in the form of meals or social events on the condition that it does not entail any commercial obligation nor lead to misconceptions of conflict of interest, however ill founded. Staff involved in sponsored activities may accept reasonable reimbursement for salary, travel, lodging, and meals. If such activities are performed on behalf of the Institute, the amount of reimbursement should be specified in a written arrangement, with all monies paid into an appropriate Institute bank account.

研究院的工作人员可以接受研究院的供应商、承包商或赞助方以聚餐或社交活动等形式提供的款待，但条件是工作人员无须承担任何商业义务，亦不会引起对利益冲突的误解，即使这一误解毫无依据。参与赞助活动的工作人员可以接受合理的薪水、差旅、住宿和餐饮等补偿费用。如果代表研究院开展此类活动，则应在书面协议中载明补偿费用的数额并向研究院的银行账户支付所有款项。

Staff and Associates must report any offers of bribes to their manager, who should then ensure the matter is reported as corrupt behaviour in accordance with this Code.

所有工作人员和合作人必须向其经理报告行贿事件，经理应确保按照本规范将此类事件作为腐败行为上报。

6. EXTERNAL BUSINESS ACTIVITIES / SECONDARY EMPLOYMENT

外部商业活动 / 附带就业

The Institute appreciates the contribution Staff make through external activities such as teaching, collaborative research, consulting work and participation on committees and considers that these are in the public interest and of benefit to the Institute and to the

individuals involved. However, Staff and Associates engaged in paid Institute work must ensure that any non-Institute work:

研究院赞赏工作人员通过外部活动（如教学、合作研究、咨询工作和参与委员会工作）所做的贡献，并认为此类活动有利于公众利益以及研究院和相关个人的利益。但是，研究院雇佣的工作人员和合作人必须确保，任何非研究院的工作：

- Does not conflict with their Institute work
不会与其研究院的工作相冲突；
- Does not conflict with the performance of Institute duties
不会与履行研究院的义务相冲突；
- Does not involve the inappropriate use of Institute resources
不会涉及不当使用研究院的资源；
- Is performed outside the Staff member's normal working hours, or, in the case of an Associate, is performed outside the hours he or she is contracted to perform services for the Institute
- 在工作人员的正常工作时间或合同期以外进行。

Senior Staff should also refer to the Institute's Policy in relation to secondary employment.

高级职员还应参阅与附带就业有关的研究院政策。

Private professional activities are not covered by the Institute's insurance. It is the responsibility of each Staff member undertaking private professional activities to ensure that he or she holds the necessary professional registration to practise and professional indemnity insurance sufficient to cover all potential claims, damage or loss sustained during or as a result of private professional activities.

研究院的保险范围不涵盖私人专业活动。开展私人专业活动的任何工作人员有责任确保针对在本国开展此类活动进行必要的专业登记，并购买足以覆盖私人专业活动期间产生的或因私人专业活动产生的所有潜在索赔、损害或损失的专业赔偿保险。

7. CONFLICTS OF INTEREST

利益冲突

The Institute also acknowledges that external interests may give rise to conflicts of interests, whether actual, potential or perceived. This does not of itself imply that any wrongdoing has occurred or will occur. Staff and Associates owe obligations of good faith, confidentiality and loyalty of service to the Institute and must:

研究院认为，外部利益可能会引起利益冲突（无论是实际存在的、可能存在的还是认为存在的）。这并不表明不道德行为已经存在或将要发生。工作人员和合作人在为研究院工作的过程中应承担诚信、保密和忠诚义务，且必须：

- Ensure that there is no conflict between their external personal or financial interests and their duties to the Institute.

确保没有与其外部个人利益或经济利益以及其对研究院所负的职责产生任何实际存在的、可能存在的或认为存在的冲突；

- Not allow their duties to any external entity to come into conflict with their duties to the Institute.

其对任何外部实体所负的职责不得与其对研究院所负的职责存在实际存在的、可能存在的或认为存在的冲突；

- Promptly make full disclosure to the Institute of all relevant facts and circumstances giving rise to an actual, potential or perceived conflict of interest and cooperate with the Institute to ensure all appropriate steps are taken to eliminate or manage such conflicts in accordance with this Code.

立刻将引起实际存在的、可能存在的或认为存在的利益冲突的相关事实和情形全部披露给研究潜在院，并与研究院合作确保依照本规范采取适当措施消除或解决此类冲突；

- Provide a public declaration to accompany any presentation or publication where their external, personal or financial interests actually or potentially, impact or might be perceived to impact upon the objectivity of such presentation or publication in which the Staff member or Associate is involved.

如果其外部、个人或经济利益实际上或潜在地对其参与的学术演讲或出版造成影响或被认为造成影响，应在该等演讲或出版中附随一份公开声明。

Failure to fully disclose information about a conflict of interests may constitute misconduct and result in disciplinary action against the offending Staff member, or termination of the Institute's contract with the offending Associate (as applicable).

未能完全披露利益冲突相关信息的，可能构成不当行为，研究院将就此采取惩戒措施或遭到解雇。

Please also refer to the Institute's [Conflict of Interest Policy](#).

请参阅研究院的《利益冲突政策》。

8. DISCLOSING CONFLICTS OF INTEREST, GIFTS, BENEFITS, EXTERNAL BUSINESS ACTIVITIES, SECONDARY EMPLOYMENT

披露利益冲突、礼物、利益、外部商业活动和附带就业

The procedure for Staff and Associates to disclose actual, potential or perceived conflicts of interest, gifts, benefits, external business activities, or secondary employment is as follows:

工作人员和合作人按照以下流程对实际存在、可能存在或认为存在的利益冲突、收受礼物、外部商业活动、附带就业进行披露：

- The Staff member must notify his or her Manager and, in the case of an Associate, notify the Institute, verbally or in writing of the conflict, gift, benefit, external business activities, or secondary employment.
- 将冲突、收受礼物或外部活动口头或书面告知其经理；
- If the Manager or Institute believes the conflict, gift, benefit, external business activity, or secondary employment warrant formal disclosure, the Staff member or Associate must complete the Conflict of Interest Disclosure Notice attached as Schedule 1.

如果经理认为需要正式披露冲突、收受礼物或外部活动，则工作人员或合作人必须填写《利益冲突声明表》，如附件一所示；

- The Conflict of Interest Disclosure Notice is reviewed and assessed by the Chief Operating Officer and Legal Office, and the original filed in the Conflict of Interest Register.

由首席运营官（和首席主管）审核和评估《利益冲突声明表》和利益冲突记录的原始文件。

9. PUBLIC COMMENT

公开评论

Institute management acknowledges that Staff and Associates may wish to speak publicly about certain issues. The Institute also encourages academic Staff to participate in public debate and be available to the media for comment in their field of expertise. However, Staff and Associates must be aware of the following guidelines in regard to 'Public Comment':

研究院的管理层认为，工作人员有权对必要事情发表公开评论。研究院也鼓励学术人员参与公开辩论，并就其专业领域在相关媒体发表评论。工作人员和合作人必须了解与“公开评论”有关的下列指导方针：

- Wherever possible, Staff should coordinate their public engagement with the Global Communications and Advocacy team, in particular alerting the team to any newsworthy statement.
如可行，希望代表研究院发表公开评论的工作人员应将其意图告知全球宣传主管或本地宣传经理。
- All Staff and Associates have a professional responsibility to uphold the excellent reputation of the Institute and to exercise good and ethical judgment in any public comment. Any public statement made by a member of Staff or Associate should not bring the Institute into disrepute.

所有工作人员应具有职业道德，维护研究院的良好声誉，并在公开评论中做出正确及合乎道德的判断。工作人员发表的任何公开言论不得损害研究院的声誉。

- When commenting in public, Staff and Associates are expected to act in good faith and not misrepresent their expertise.

发表公开评论时，工作人员应诚信且不得歪曲其专业知识。

- All Staff and Associates have an obligation to respect the confidentiality and privacy of information entrusted to them in the course of their employment or engagement with the Institute.

所有工作人员应尊重在雇佣期间向其提供的相关信息的机密性和隐私性。

- Staff contributing in a professional capacity to public commentary should identify themselves using their Institute title, appointment and/or qualifications when they are writing or speaking publicly on a matter within their academic or professional field of expertise or specialisation.

在就其学术或专业领域的事件撰写或发表公开评论时，工作人员应表明其在研究院的职位、职务及 / 或资质。

- Statements should be accurate, professional and exercise appropriate restraint. Where it is discovered that false, misleading or incorrect statements have been made, the problem must be voluntarily and promptly rectified.

言论应准确、专业并受到适当约束。如发现言论虚假、具有误导性或不准确，则发表评论的工作人员必须主动、及时纠正问题。

- Staff and Associates, who are seen as leaders in their field, may be asked to make public comments supporting a commercial product. While such comments may be appropriate in some cases, promoting commercial interests in the guise of editorial comment ('advertorials') must be avoided.

研究院的工作人员（作为相关领域的领军人物）可能需要发表公开评论支持某一商业产品。此类评论在某些情况下可能是适当的，但必须避免以发表社论评述（“社论式广告”）为幌子进一步获取商业利益。

- Issues related to Institute policies, management, or operational decisions are confidential. It is mandatory that only Staff officially representing the Institute may comment publicly on these and related issues.

与研究院政策、管理或运营决策有关的事项均系机密。研究院强制规定，仅限正式代表研究院的工作人员可就相关事件发表公开评论。

- Staff and Associates must familiarise themselves with and follow the Institute's **Social Media Policy**.

所有员工必须熟知并遵循乔治研究院的社会化媒体政策

Staff and Associates commenting publicly on an issue not in their field of expertise should:

对于就并非其专业领域的事件发表公开评论的工作人员：

- Do so from a private address (whether postal or email).
应通过私人地址（邮政地址或电邮地址）发表公开评论
- Not use an Institute letterhead.
不得使用研究院的信笺抬头；
- If they wish to identify themselves as an Institute Staff member, also indicate unambiguously that they are expressing their personal opinion and not presenting the opinion or position of the Institute.
如果工作人员希望表明其系研究院工作人员的身份，则其必须说明其表达纯属个人观点，不代表大学的观点或立场；
- Follow the Institute's IT Acceptable Use Policy and Global IT Mobile Services Policy.
遵守研究院关于信息和通信技术资源使用的政策；
- Be mindful that they show respect for the opinions of others, do not injure a person's reputation or create a basis for defamation action.
尊重他人的观点，不得损害其他人的名誉或为自己招致诽谤起诉。

In such cases, the Institute cannot be responsible for any claims in defamation or otherwise that may follow such comment. Training is available for Staff in dealing with the media. Staff wishing to develop their media skills should contact their local Communications Manager for further information.

在此情况下，研究院无须对诽谤索赔或发表评论后引起的其他索赔负责。正在或打算从事媒体相关工作的人员应接受培训。希望拓展其媒体工作技能的工作人员应与本地宣传经理联系获取详细信息。

If a member of Staff or an Associate is concerned that a statement they have made or are about to make may be defamatory or if they receive a claim or an intimation of a claim that a statement which they have made is alleged to be defamatory they should contact the head of Global Communications and Advocacy for advice as to the options which are available to them.

工作人员如果担心其已经发表或将要发表的言论可能具有诽谤性，或者（可能）收到声称其言论具有诽谤性的索赔请求，应与全球宣传主管联系征询应对意见。

Staff and Associates should be aware that the Institute may take disciplinary action against offending Staff members, and terminate contracts with offending Associates (as applicable), for breaches of the public comment guidelines.

工作人员应了解，研究院可以对违反公开评论指导方针的任何行为采取惩戒措施。研究院会终止与违反公众评论指南员工的合同。

Please also refer to the Institute's [Social Media Policy](#).

请参考研究院的社交媒体政策。

10. USE OF OFFICIAL RESOURCES

使用官方资源

All Institute resources must be used in an efficient manner for Institute purposes only, unless permission has been granted for non-Institute or private usage.

必须以高效的方式、为研究院之目的使用研究院的所有资源，但准许用于非研究院的目的或私人目的的除外。

Internet and email facilities are provided as a business tool and not for private matters. All emails (including personal emails) received or sent using Institute resources remain the property of the Institute at all times. The Institute reserves the right for authorised staff to access communication resources to ensure they are being appropriately used to carry out Institute related duties.

互联网和电子邮件设施作为业务工具不得用于私人用途。所有电子邮件（包括个人电邮）应始终为研究院财产，这包括通过社交媒体发表与研究院或其工作人员有关的评论。研究院有权授权工作人员获取通信资源，并确保工作人员为履行其工作职责恰当使用该等资源

Staff and Associates must ensure that the manner in which they use the Institute's internet and email facilities is responsible, ethical and legal, including personal use of social media. Unacceptable use includes: use that violates the rights of others, including intellectual property rights such as copyright; use of Institute resources for the purpose of gambling, gaming, or to conduct a business; use for harassment or discriminatory acts, or any other illegal activities; use that constitutes slander or defamation; and storing, accessing or circulating objectionable material (including pornographic, obscene, or criminal material) using Institute resources.

工作人员必须确保，其使用互联网和电子邮件设施的方式（包括个人使用社交媒体）应可靠并合乎道德、法律。不予接受的使用情况包括：侵犯他人的权利；侵犯知识产权或版权；用于赌博；用于骚扰或歧视行为；用于诋毁或诽谤研究院储存或传阅不良资料（如与淫秽、犯罪有关的资料）

The transmission of objectionable material (including pornographic, obscene, or criminal material) through the Institute's communication resources is forbidden and will lead to disciplinary action against the offending Staff member, or may result in termination of the offending Associate's contract. Management may dismiss a Staff member for any infraction of this nature.

禁止通过研究院的通讯资源传输不良资料（包括淫秽和犯罪），否则，将给予相关员工惩戒处分。管理层可以因此类违规行为辞退员工。

Please also refer to the Institute's [IT Acceptable Use Policy](#).

请参阅研究院的《信息技术许可使用政策》。

11. USE AND SECURITY OF CONFIDENTIAL INFORMATION

使用和保护官方信息

Staff and Associates must:

- Maintain the integrity, confidentiality and privacy of Confidential Information to which they have access in the course of their employment or engagement with the Institute.
- Take all reasonable precautions to prevent unauthorised access to, or misuse of Confidential Information.
- Comply with the Institute's **Privacy Policy**.

所有工作人员和合作人必须确保其所获取的研究院记录和信息的完整性、机密性和隐私性，采取所有合理的防范措施防止未经授权地获取或滥用研究院的记录和信息，并且遵守研究院的《隐私政策》。

Confidential Information includes all information, records and materials of the Institute, and all information, records and materials received by the Institute from any third party (including any study participant, client, sponsor or collaborator), which are not generally publicly available and of a proprietary or confidential nature, even if they are not marked as such.

保密信息包括，研究院的记录材料，研究院与第三方（参与研究者，客户，赞助商或其他合作者）未被出版，标有或未有的或机密的性质的记录材料

Staff and Associates must not:

- Disclose Confidential Information, except when, and to the extent that, they are authorised to do so as a part of their normal duties, or when required or permitted to do so by Institute policy, law, court order or other legal instrument.
- Access or use Confidential Information, except for an authorised purpose.
- Destroy, or authorise the destruction of, Confidential Information other than in accordance with Institute policy and relevant legislation.
- Leave Confidential Information in cars or public places.

工作人员和合作人不得以任何方式（包括社交媒体）披露或承诺提供研究院的机密或私人记录或信息，但作为其正常义务或职责的一部分而获取相关授权的或者研究院的政策、国家或联邦法律、法院命令或其他法律文件要求或允许该等行为的除外；未经许可不得获取或使用信息，包括储存在电子系统和硬拷贝文件中的信息；亦不得销毁或授权销毁研究院

的记录，但研究院政策和相关法规另有要求的除外。不得将机密信息置于车里或公共场所。

Please also refer to the Institute's [Privacy Policy](#).

请参阅研究院的《隐私政策》。

12. INTELLECTUAL PROPERTY / COPYRIGHT

知识产权 / 版权

All Staff and Associates agree that ownership of all inventions, improvements, designs, creations and other developments which they may make either alone or with others in connection with the work being undertaken for the Institute are the sole and exclusive property of the Institute and constitute Confidential Information. Staff and Associates agree to notify the Institute immediately about any inventions, improvements, designs, creations or other developments. Staff and Associates agree that they will, at the Institute's expense, execute any documents and do any things which may be necessary to enable the Institute or its nominees to apply for patent, registered design, trade mark or other intellectual property protection.

所有工作人员和合作人均同意，其单独或与他人合作生成的且与为研究院开展的工作有关的所有发明、改进、设计、创作和其他开发的所有权，系研究院的专有财产并构成机密信息。工作人员和合作人同意立刻将任何发明、改进、设计、创作或其他开发告知研究院。工作人员和合作人同意签订必要文件并采取必要行动，以便研究院或其指定人员申请专利、注册外观设计、商标或其他知识产权保护，相关费用由研究院承担。

Please also refer to the Institute's [Intellectual Property Policy](#).

请参阅研究院的《知识产权政策》。

13. DISCRIMINATION AND HARASSMENT

歧视和骚扰

The Institute is committed to providing a workplace free from harassment and discrimination for all Staff.

研究院承诺，为所有员工提供无骚扰和无歧视的工作场所。

Staff members and Associates must not harass or discriminate against fellow Staff members, Associates, and other persons working within the same workplace, visitors to Institute premises or collaborators with the Institute for any reason including gender, physical appearance, pregnancy, race, age, sexual preference, religious or political conviction, marital status, physical or intellectual disability.

工作人员不得因任何原因（包括性别、外貌、怀孕、种族、年龄、性取向、宗教信仰或政治信念、婚姻状况、生理或智力缺陷）骚扰或歧视同事、在同一工作场所共事的其他人员、研究院的访客或合作伙伴。

The Institute does not tolerate any forms of sexual harassment. This includes the making of unwelcome sexual advances, requesting sexual favours or engaging in other forms of unwelcomed conduct of a sexual nature.

研究院对所有类型的性骚扰采取“绝不容忍”态度。包括令人厌恶的性冒犯、要求得到性施惠或者其他令人反感的、与性有关的行为。

Please also refer to the Institute's [Anti-Discrimination & Harassment Policy](#).

请参阅研究院的《反歧视与反骚扰政策》。

14. CORRUPT CONDUCT, MISMANAGEMENT AND SERIOUS WASTE OF RESOURCES

腐败行为、管理不善和严重浪费资源

The Institute is committed to conducting its activities with integrity, credibility, social responsibility and accountability. The Institute will take appropriate disciplinary action against any Staff member, and may terminate its contract with any Associate, who is found guilty of corrupt conduct, receiving or offering bribes, mismanagement or serious waste of Institute money or other resources.

研究院承诺以诚信、有信誉、有社会责任感和负责任的方式开展活动。研究院将与存在腐败犯罪行为、受贿或行贿、管理不善或严重浪费资金或其他资源的工作人员解除合同。

Staff members and Associates have an obligation to report any such instances of misconduct. The Institute is committed to protecting those who bring to the attention of the management evidence of misconduct and will ensure all disclosures are properly investigated in a timely manner.

工作人员有义务报告上述不当行为。研究院承诺，保护向管理层报告不当行为的员工，并确保及时对所有揭发的信息开展调查。

All reports by a Staff member about alleged misconduct must be channelled through to that person's immediate Manager unless it is an issue concerning the Manager, in which case it should be taken to that Manager's supervisor or, in the absence of such supervisor, directly to one of the Principal Directors.

工作人员有义务报告上述不当行为。研究院承诺，保护向管理层报告不当行为的员工，并确保及时对所有揭发的信息开展调查。

15. ANTI-BRIBERY AND ANTI-CORRUPTION

反贿赂和反腐败

The Institute must conduct its business in a lawful and ethical manner, in accordance with applicable laws and regulations, including the U.S. Foreign Corrupt Practices Act of 1977 (the **FCPA**). The FCPA prohibits making, promising, or authorising the making of a corrupt payment or providing anything of value to a government official to induce that official to make any governmental act or decision to assist a company in obtaining or retaining business. The FCPA also prohibits a company or person from using another company or individual to engage in any of the foregoing activities.

研究院必须按照相关法律和法规（包括 1977 年《美国海外反腐败法》（“FCPA”）的规定，以合法和合乎道德的方式开展业务。《美国海外反腐败法》禁止向政府官员提供、承诺或授权提供现金贿赂或提供其他有价物，诱使该等官员作出有利于该公司获得或保留业务的政府行动或决定。《美国海外反腐败法》还禁止公司或个人利用其他公司或个人从事前述活动。

The Institute requires that its Staff, Associates, and any person or entity acting on its behalf (collectively, **Business Associates**) comply with the principles of the FCPA and any similar local requirements or regulations.

研究院要求其员工、顾问、代理人、代表和代表研究院行事的任何公司（以下简称“商业伙伴”）遵守美国规定的原则以及类似本地规定或法规。

Definition of a Government Official

政府官员的定义

A "**government official**" is broadly interpreted and includes: (i) any elected or appointed government official (e.g., a member of a ministry of health); (ii) any employee or person acting for or on behalf of a government official, agency, or enterprise performing a governmental function; (iii) any political party, officer, employee, or person acting for or on behalf of a political party or candidate for public office; or (iv) an employee or person acting for or on behalf of a public international organisation (e.g., the United Nations). "**Government**" is meant to include all levels and subdivisions of governments (i.e., local, regional, or national and administrative, legislative, or executive).

按照广义的解释，“政府官员”包括：(i)任何获选或指定的政府官员（如卫生部的成员）；(ii)为了或者代表政府官员、机构或企业履行政府职能的任何员工或个人；(iii)为了或者代表政党或候选人履行公职的任何政党、官员、员工或个人；或(iv)为了或者代表国际公共组织（如联合国）行事的员工或个人。“政府”包括各级政府和政府的下设部门（如地方政府、区域政府或国家政府以及行政型、立法型或执法型政府机构）。

Because this definition of "government official" is so broad, it is likely that Business Associates will interact with a government official in the ordinary course of their business. For

example, doctors employed by state-owned hospitals could be considered "government officials".

由于“政府官员”的定义相当广泛，商业伙伴很可能在日常业务中与政府官员互动。例如，公立医院的医生也可以被视为“政府官员”。

FCPA, Anti-Corruption and Anti-Bribery Principles

《美国海外反腐败法》、反腐败和反贿赂原则

Business Associates may not directly or indirectly make, promise, or authorise the making of a corrupt payment or provide anything of value to any government official to induce that government official to make any governmental act or decision to help the Institute obtain or retain business.

商业伙伴不得直接或间接向任何政府官员提供、承诺或授权提供现金贿赂或提供其他有价物，诱使该等政府官员作出有利于研究院获得或保留业务的政府行动或决定。

Business Associates may never make a payment to or offer a government official any item or benefit, regardless of value, as an improper inducement for such government official to approve, reimburse, prescribe, or purchase a product or service of the Institute, to influence the outcome of a clinical trial, or otherwise improperly to benefit the Institute's business activities.

商业伙伴不得向政府官员提供现金贿赂、任何物品或利益（无论价值多少），诱使该等政府官员批准、报销、开具处方或购买研究院的产品或服务，从而对临床试验的结果造成影响，或者以其他不正当方式使研究院的业务活动获益。

Understand and Follow Local Laws

了解和遵守本地法律

Business Associates need to understand whether local laws, regulations, or operating procedures (including requirements imposed by government entities such as state-owned hospitals or research institutions) impose any limits, restrictions, or disclosure requirements on compensation, financial support, donations, or gifts that may be provided to government officials.

商业伙伴需了解本地法律、法规或操作规程（包括公立医院或研究机构等政府实体的要求）是否对可能向政府官员提供的补偿、经济支持、捐赠或赠礼规定了任何限制、限定或披露要求。

Business Associates must take into account and comply with any applicable restrictions in conducting their activities on behalf of the Institute. If a Business Associate is uncertain as to the meaning or applicability of any identified limits, restrictions, or disclosure requirements with respect to interactions with government officials, that Business Associate should consult with the Institute. A member of Staff must consult with his or her Manager before undertaking such activities.

商业伙伴在代表研究院开展活动时，必须考虑并遵守相关限制规定。如果商业伙伴对与政府官员交流活动相关的限制、限定或披露要求的意义或适用范围有疑问，应在开展活动前咨询经理。

16. PRIVACY

隐私

The Institute respects and is committed to protecting the privacy of its Staff and any third parties with whom it works (including Associates, clinicians, patients, and customers). The Institute requires all Staff and Associates to adhere to the Australian Privacy Principles described in the *Privacy Act 1988* (Cth) (as amended from time to time), the relevant State privacy legislation, as well as any relevant foreign privacy rules, as applicable to their activities.

乔治研究院尊重并承诺保护您的隐私以及与研究院合作的第三方（包括临床医生、患者、赞助方和客户）的隐私。研究院要求所有员工遵守《1988 年隐私法》（适用于澳大利亚籍员工——其他国家的员工需参考本地隐私条例）及其修订中规定的国家隐私原则，以及与其活动相关的国家隐私法规。

For all clinical research activities, Staff and Associates are required to adhere to the ICH Guidelines for Good Clinical Practice in respect to the use, protection and security of personal information collected from research subjects.

员工在临床研究活动中需遵守《药物临床试验质量管理规范之 ICH 指南》中与从研究受试者中收集到的个人信息之使用、保护以及安全有关的规定。

Please also refer to the Institute's [Privacy Policy](#).

请参阅研究院的《隐私政策》。

17. WORK HEALTH AND SAFETY

工作健康和安全

The Institute has an obligation to provide a workplace that is safe and without risk to health. However, Staff members (and Associates attending Institute premises) share this responsibility and must follow safety and security guidelines, keep work areas tidy and promptly raise potential safety issues. Staff members must raise these issues with their immediate Manager.

研究院有义务提供不会对健康造成风险的安全工作场所。工作人员以及进入办公场所的其他人员有责任遵守安全和安保指南，保持工作区域的干净整洁，以及立刻向直接主管报告安全隐患。

Smoking is prohibited in all Institute premises and at all Institute-sponsored meetings and functions. The misuse of alcohol and other drugs can affect work performance and jeopardise the safety and welfare of colleagues. Staff members and Associates must not remain in the workplace or undertake any work-related activities if impaired by alcohol or other drugs.

禁止在研究院的所有场所以及研究院举办会议和聚会的场所吸烟。滥用酒精和毒品将影响工作绩效并危害同事的安全和健康。服用了酒精或毒品的工作人员不得在工作场所逗留或开展与工作有关的活动。

Please also refer to the Institute's [Work Health and Safety Policy](#).

请参阅研究院的《工作健康和安全政策》。

18. CONDUCT OF FORMER STAFF MEMBERS AND ASSOCIATES

离职工作人员的行为

Staff members should not misuse their position with the Institute to gain opportunities for future employment nor be influenced in their work by plans for outside employment. On termination of employment, all Institute documentation, equipment and property within a Staff member's possession must be returned.

研究院的工作人员不得滥用其职务获取未来就业机会，亦不得使其工作受到其他就业计划的影响。雇佣终止时，工作人员必须归还其所拥有的研究院的所有文件、设备和财产。

Staff members and Associates are bound by their contracts with the Institute to observe the confidentiality of all Confidential Information even when they are no longer employed or engaged by the Institute.

所有工作人员均受雇佣合同约定，保证研究院所有资料的机密性，即使其不再受雇于研究院。

离职员工不得为盈利目的使用其在雇佣期间获得的信息，直至该等信息公之于众为止。

19. BREACHES OF THE CODE OF CONDUCT

违反《行为规范》的规定

Staff and Associates should report any breach or concerns about a breach of the Code to the Institute. Staff members must report such breaches or concerns to their Manager. If they are not comfortable reporting such concerns to their Manager, they should report the matter to a more senior Staff member. In some circumstances, such as allegations of corruption, there is mandatory requirement to report matters to external agencies.

工作人员和合作人应向经理报告任何违反或可能违反本规范的有关事宜。如果工作人员和合作人不便向经理报告此类事宜，则应向更高级别的工作人员报告。在某些情况下，腐败指控等事宜必须向外部机构报告。

The Institute management will take appropriate disciplinary action against any Staff member found to have engaged in unethical conduct, which could include dismissal and or referral of the matter to the police or other relevant government agency.

研究院的管理层将对存在不道德行为的任何工作人员采取相应惩戒措施，包括辞退及 / 或向警察或其他政府机构报告此等事宜。

While Associates may not be subject to disciplinary action, conduct that is assessed to be a serious breach of the Code may result in the termination of their contract.

非正式员工可能不涉及纪律处分行为，但被评估为严重违反本准则的行为可能导致合同终止。

20. DECLARATION

声明

I have read and understand the above Code and agree to comply with its provisions at all times while working with the Institute. I acknowledge my commitment to achieving the best outcomes for the Institute and contributing to a safe and productive working environment.

本人已阅读和理解上述《行为规范》，并同意在为研究院服务期间始终遵守研究院的规定。本人承诺为研究院取得最佳工作结果，并致力于创造安全、高效的工作环境。

If I believe I have a Conflict of Interest, or a perceived Conflict of Interest, I will complete the attached Schedule 1 – **Conflict of Interest Disclosure Notice**, and provide a copy to the Chief Operating Officer and Legal Office immediately.

如果我认为我有利益冲突或感知利益冲突，我将填写附表 1 - 利益冲突披露声明，并立即向首席运营官和法务办公室提供副本。

Advice in relation to this Code may be obtained from the Chief Operating Officer and/or Legal Office.

有关本守则的建议可从首席运营官和/或法律办公室获得。

21. REVISION HISTORY

Version	Replaces	Date and Description of change / reason
5.0	N/A	29 March 2018 - Annual review cycle: minor corrections and updates (e.g. typographic, formatting, footer descriptions etc.)
5.0	4.0	29 June 2016
2.0 – 4.0	-	-
1.0	N/A	December 2012

SCHEDULE 1

CONFLICT OF INTEREST DISCLOSURE NOTICE

Name 姓名	
Job Title/Association 职位名称	
Division 部门	
Reporting To 汇报线	
I am here by declaring an: <input type="checkbox"/> Actual <input type="checkbox"/> Potential <input type="checkbox"/> Perceived Conflict of Interest and/or a 我要在此声明一件: <input type="checkbox"/> 实际的 <input type="checkbox"/> 潜在的 <input type="checkbox"/> 有可能的利益冲突	
<input type="checkbox"/> Close Personal Relationship 亲密关系 <input type="checkbox"/> Financial Interest 经济利益 <input type="checkbox"/> External Business Activities 外部商业活动 <input type="checkbox"/> Gift / Other Benefit 礼物或其他利益 <input type="checkbox"/> Secondary Employment 借调	
Please outline briefly the nature of the conflict / interest (the following details may be included in a separate confidential envelope if appropriate). 请列出利益冲突经过（若需要，以下事件细节将单独保密保存）	
Please outline proposed arrangements for eliminating or managing the conflict / interest (attach separately if appropriate). 请写出此次事件的安排（若需要，请单独附件）	

DECLARATION**声明**

I agree:

- To update this disclosure on an annual basis or until such time as the conflict of interest ceases to exist
- To cooperate in the development of a conflict of interest management plan, if applicable; and
- To comply with any conditions or restrictions imposed by the Institute in order to eliminate or manage the conflict of interest

我同意:

- 每年更新事情经过, 或直至事件结束
- 在需要的情况下积极配合相关工作
- 遵守研究院为消除或处理利益冲突所施加的任何条件或限制

Signature**签名****Date****日期****ENDORSEMENTS****我保证**

I have reviewed this disclosure and:

我已经阅读并决定公开:

- I do not believe that the Staff member or Associate has a material personal, financial or external interest that creates a conflict of interest 我和相关工作人员或同事是否有重大的个人、财务或外部利益, 造成利益冲突。
- I do not believe that the conflict of interest has the capacity (or might by a dispassionate observer be seen as having the capacity) to influence the conduct of the Staff member or Associate 我不认为利益冲突会 (或可能) 影响工作人员或同事的行为。
- I believe that it will be possible to develop and execute a conflict of interest management plan to eliminate or manage the conflict of interest 我确信可以制定和执行利益冲突管理计划, 以消除或管理利益冲突
- I have endorsed the following required action: 我已经采取以下必要行动

Principal Director 执行总监		
Signature 签字		Date 日期
Chief Operating Officer 首席运营官		
Signature 签字		Date 日期
<input type="checkbox"/> Original to Conflict of Interest Register 原始登记 <i>File copies to:</i> <input type="checkbox"/> Staff member / Associate <input type="checkbox"/> Divisional Director		