

《关于禁止发展、生产和储存细菌(生物)  
及毒素武器和销毁此种武器的公约》

15 November 2016

Chinese/English only

缔约国第八次审查会议

2016年11月7日至25日,日内瓦

临时议程项目12

第七次审查会议建议和决定的后续工作和《公约》的今后审查问题

关于制定《禁止生物武器公约》生物科学家行为准则范本的  
工作文件

中国和巴基斯坦提交

一、生物科技发展驶入“快车道”,研究深度与广度不断扩展,给全人类带来了福祉。但生物科技进步,特别是两用性生物研究可能产生难以预见的负面影响,技术误用、谬用风险不断累积,给全球生物安全治理带来挑战。

二、生物科研人员身处生物科技发展第一线,也是防范生物科技误用、谬用的首道防线。提高生物科研人员生物安全意识,加强道德自律,是防范生物科技误用、谬用的关键环节。

三、2006年第六次审议大会就加强公约第四条进行了讨论,并在最后文件表示“认识到行为准则及自律机制对提高有关从业人员生物安全意识的重要性,呼吁缔约国支持并鼓励有关行为准则与自律机制的制定、公布与施行”。

四、为实现公约宗旨与目标,加强公约对生物科技研究的指导与规范,提高全球生物安全治理水平,应在公约框架下制定生物科学家行为准则范本,促使生物科研人员及时评估生物科研风险,并采取可行措施对其自觉规避、妥善处置,避免误用、谬用发生。


五、2015年缔约国会上,中国代表团提交了关于制定《禁止生物武器公约》生物科学家行为准则范本的工作文件。巴基斯坦随后参与共提上述文件。截止到目前,该倡议获得了缔约国广泛支持与好评。鉴此,中方起草了生物科学家行为准则范本(草案),供各方作为讨论基础。

\* 因技术原因,重新印发。

GE.16-19860(E)



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六、为此,中、巴建议:

(一)将“制定公约框架下生物科学家行为准则范本”问题纳入公约第八次审议大会及后续会间会进程。

(二)推动公约八审会就制定准则范本做出决定,或授权后续会间会进程讨论并通过有关准则范本。

附件:生物科学家行为准则范本(草案)

附件:

## 生物科学家行为准则范本（草案）

当前，以基因编辑技术、合成生物学为代表的生物科技迅猛发展并快速融合，创造出新的发展机遇。同时，生物技术日趋易于操作，能够实现病原的感染能力、扩散能力、致死能力和逃逸能力的快速提高，使生产和加工生物武器门槛大大降低，生物技术的误用、谬用及生物恐怖活动的可能性在加大。上述形势为《禁止生物武器公约》履约带来新的挑战，对全球生物安全命运共同体构成潜在威胁。鉴于生物科技与人类生存息息相关，为面向未来，应当对生物技术的研发和应用行为予以规范，以应对生物安全挑战、实现人类社会的可持续发展。

生物科学家及所有相关人员，从事生物科学研究及相关活动，应当遵循以下行为准则。

- 1.（道德基准）尊重人的生命，尊重人的尊严，始终保持对生命的敬畏之心，自觉保护人权。尊重社会伦理、道德及公序良俗。自觉维护人类与生态系统之间的和谐关系，持续关注生态环境的保护。
- 2.（法律约束）自觉遵守法律关于科学研究活动的规则与标准。自觉抵制故意忽视、漠视法律法规、规避监管的违法行为。
- 3.（科研诚信）坚持严谨的治学态度和科研诚信。谨慎把握当前有争议的研究方向，认真研判生物科技可能带来的伦理、道德风险，努力使所有受到科学研究影响的人直接或间接受益，并最大限度减少可能带来的危害。
- 4.（实验对象的尊重）尊重生物科研对象，包括人类和非人类生物体。在涉及人体的研究中，应当充分保护受试人合法权益和个人隐私，保障其知情权和同意权。
- 5.（科研立项与过程）强化生物科研立项和执行过程的风险管控。对所从事的生物科研过程、成果可能造成的健康和社会威胁进行充分的风险评估和可行性论证，制定与风险管控相适应的预防和应急预案，形成有效的科研全过程监管。
- 6.（成果传播的约束）在公共安全和学术研究与言论自由之间保持平衡。采用准确清晰的表述进行科研成果的社会传播，避免引发社会公众的误解。限制或禁止可能被非国家行为体滥用、威胁公共卫生安全的学术成果的传播。对于学术不端的生物科研行为，学术界应予以公开谴责。
- 7.（科研普及）高度重视生物技术科普活动。生物科学家有义务、负责任地对全社会进行生物公共教育，提倡运用现代媒体及网络平台普及生物科学知识，客观

全面介绍生物科学发展的积极作用和潜在风险隐患，消除大众对新兴学科发展不了解所产生的恐慌。反对捏造与事实不符的生物科技事件和新闻炒作。

8.（所在机构）强化科研机构的监管责任。科研人员所在机构应当实时监控和定期评估生物科研活动的潜在风险与威胁。在机构内建立由各相关领域学者组成的独立的风险审查委员会，健全生物科技成果发表审核制度。

9.（国际交流）积极开展生物技术领域的国际合作。倡导在联合国框架下积极探索共享生物科技成果的模式与渠道，通过与世界各国生物科学家的合作，相互借鉴与启发，共同推动生物科学与技术的进步和创新，共同促进全人类的福祉与健康。

[Unofficial translation]

## **Proposal for the development of a model code of conduct for biological scientists under the Biological Weapons Convention**

### **Submitted by China and Pakistan**

1. With the ever increasing depth and scope of bio-research, the bio-science and technology has entered into the fast lane of development, which contributes to the well-being of humanity. However, the development of the bio-science and technology, especially the dual-use bio-science and technology research, may entail unpredictable negative impact, and the risks of misuse of bio-technology are increasing accordingly, posing challenges to the global bio-safety and security governance.

2. Biological researchers are not only the front line of bio-science and technology development, but also the primary defense to prevent bio-technological misuse. It is the key aspect to prevent misuse by raising bio-safety and security awareness and enhancing moral self-regulation among biological researchers.

3. The 2006 Sixth Review Conference had discussion on strengthening the Article IV of the BWC, and in its Final Document, “the Conference recognizes the importance of codes of conduct and self-regulatory mechanisms in raising awareness, and calls upon States Parties to support and encourage their development, promulgation and adoption”.

4. In order to achieve the objective and purpose of the BWC, strengthen its guidance on bio-science and technology research, and improve the global bio-safety and security governance, it is of necessity to develop a model code of conduct for biological scientists under the framework of the BWC. Such a model code of conduct would encourage biological researchers to timely evaluate bio-research risk, consciously avoid and properly tackle possible negative research impact, preventing misuse of bio-technology.

5. At the 2015 MSP, China submitted a proposal for the development of a model code of conduct for biological scientists under the Biological Weapons Convention. Pakistan cosponsored this proposal. Until now, the proposal has been widely supported and well received by States Parties. In this respect, China has drafted a model code of conduct to serve as a basis for further discussion.

6. Hereby, we propose to:

- Include the issue “the development of a model code of conduct for biological scientists under the framework of the BWC” in the Eighth Review Conference and the following inter-sessional process.
- Promote the Eighth Review Conference to make a decision on the development of a model code of conduct for biological scientists, or authorize the following inter-sessional process to discuss and approve it.

Attachment: A Model Code of Conduct for Bio-scientists (draft)

**Annex**

[Unofficial translation]

**A Model Code of Conduct for Bio-scientists (draft)**

At present, biological science and technology represented by genetic engineering and synthetic biology goes through fast development and rapid synergy, which creates new opportunity for development. Meanwhile, biological technology becomes more easier to operate and manage to enhance the infectiousness, spreading, lethality and escaping capability of the pathogen. Therefore, the threshold for biological weapons production and process is lowered, and the possibility of misuse and abuse of biological technology and probability of bio-terrorism activity is increasing. These phenomena bring new challenges for the implementation of the Biological Weapons Convention and pose potential threats to Community of Shared Future for Mankind. Considering bioscience and technology is closely bound with the well-being of mankind, with a forward looking view, the global community should regulate the research and development of bioscience and technology so as to counter the challenge of biosecurity and realize the sustainable development of human society.

Bio-scientists and all the relevant personnel who conduct bioscience research and other related activities, shall follow the hereinafter code of conduct.

1. (Ethical benchmark) Respect human life, respect the dignity of human, always revere life and consciously protect human rights. Respect social ethics, morality and social norms and traditions. Maintain harmonious relations between mankind and the ecological environment, constantly pay attention to ecological environmental protection.
2. (Legal restraint) Abide by regulations and standards on scientific research in accordance with law. Consciously resist ignorance and indifference toward laws and regulations, and resist the illegal act of circumventing regulation.
3. (Research integrity) Adhere to the rigorous attitude of scholarship and research integrity. Hold the controversial research direction carefully, seriously study the possible ethics and moral risks brought by bioscience and technology, spare no effort to maximize the benefits of research for all people through direct or indirect ways and minimize the potential harms.
4. (Respect for the object of research) Pay respect to the object of bioscience research, including human and non-human organisms. In research involving human subject, the legal rights and personal privacy of the human subject shall be fully protected, and his or her right of informed consent be guaranteed.
5. (Applying for science research and its relevant process ) Enhance risk control during bioscience research application and its implementation process. Carry out sufficient risk evaluation and feasibility study on the possible threats emerging from the research process or brought by the research outcomes, make prevention and emergency plan to manage relevant risks, and realize effective regulation in the whole process of research.
6. (Constraint on the spread of research outcome) Make a balance between public security and the freedom of research and speech. Use accurate and clear language to disseminate the research outcome, and avoid causing misunderstanding from social public. Restrain or stop spreading academic achievements which might be abused by non-state actor or posing threats to public health. The academia community shall publicly denounce the academic misconduct in bioresearch.

7. (Popularizing science and technology) Attach great importance to popularization of bioscience and technology. Bio-scientists have the obligation to popularize bioscience and technology to public society in a responsible manner. It is advocated to make use of modern media and internet platform to popularize knowledge of bioscience, introduce both the positive role played by and potential risks brought by the development of bioscience in an objective and comprehensive way, and remove public panic toward new disciplines, due to lack of information. Oppose fabrication of bioscience incident which dose not fit the facts and news speculation.

8. (Organization's role) Strengthen regulatory responsibilities of the research organization. The organization shall real-time monitor and periodically evaluate the potential risks and threats of bioscience activities. The organization shall establish independent risk review committee composed of scholars from relevant fields, and improve censorship mechanism on publication of bioscience achievement.

9. (International exchanges) Participate actively in bioscience and technology international cooperation. It is advocated to explore models and channels to share bioscience achievements within the framework of United Nations, learn from and inspire each other through cooperation with bio-scientists around the world, and together promote development and innovation of bioscience and technology, jointly contributing to welfare and health of mankind.

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