

CORPORATE CODE OF ETHICS: POSITIONING FOR HIGHER EDUCATION INSTITUTIONS

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Abstract: The long-term successful functioning of any enterprise or institution should rely on well-defined ideological foundations. The most appropriate proof of that is functioning of such public institutions as the church and universities. While in case of the church the ideological foundations are based on the key document (the Bible in Christianity, the Talmud in Judaism, the Koran in Islam etc.), for universities there is no such unambiguity. Our approach is that for universities the ideological principles should find institutionalized design in form of a document, which is often called the Code of conduct or ethical code. The Code should be positioned as a small constitution for the university and members of university community. Internal documents regulating the peculiarities of implementation of external obligations of the university and internal university-wide policies are derivatives of the Code. The diversity of practices for naming the mission, values and principles of activity, norms of behaviour affects the effectiveness of activities of institutions of higher education and their positioning within the system of social and economic institutions across the region, country and globe. The modern paradigm of development of the knowledge economy implies not only the place of universities within it, but also its constant, dynamic adjustment and search for the ways to improve its efficiency. Therefore, the research of common and special paths of drafting and implementation of the university's Codes of conduct becomes a current task and interest. For the preparation of this work, the authors relied on research of numerous samples from different regions of the world, as well as studies of practical application of codes in general and their components. Significant regional differences in approaches to the regulation of ethical aspects have been traced. Thus, leading North-American and European universities rely on concise, up to 1 page, declaration of ethical principles. On the other hand, universities of the East-European countries take voluminous codes, which regulate many aspects, including duties of certain categories of workers and their responsibility for violation of ethical norms. Functioning of non-university business, educational and research

institutions often results in adoption by communities (associations, networks, unions, etc.) of the principles and standards of behaviour, which university representatives and graduates should adhere to. Sometimes model documents are also developed, they must act as models for universities throughout the country or region. At the same time, it should be understood that the culture and management of university activities is primarily governed by internal regulatory documents. The uniqueness of institutional missions and positioning in the markets of research and educational services determine the differences in definition of ethical standards. As a result of the research, it was revealed that a number of aspects find a common solution in most examples, however, there are several components that distinguish some institutions from others. In particular, ensuring the integrity of researchers and professors unites universities, whereas the attitude to openness of science – divides. According to the results of the study, two key models of regulation of conduct of members of the university community among themselves and in relations with external stakeholders could be distinguished: the adoption of an integrated Code and the adoption of separate documents defining the mission and features of university policies. The structure of the integrated Code should include the definition of the mission and tasks of the university, values, principles and norms (standards) of the ethical behaviour of members of the university community. The obligatory components of the ethical code should also include the definition and peculiarities of behaviour in case of a conflict of interests, the implementation and administration of the Code, including the responsibilities for its violation. In addition, we consider it expedient to classify ethical standards of behaviour into two groups - general and specific ethical standards. Despite its fundamental nature, the Code should be periodically reviewed and, if necessary, made changes for the fuller realization of the university's mission and adequately respond to new challenges. The study formed the basis for the preparation of the draft Code of Ethics of the Kyiv National Economic University named after Vadym Hetman.

Keywords: *code of ethics, higher education, standards of ethical behaviour, mission, university management*

КОРПОРАТИВНЫЙ ЭТИЧЕСКИЙ КОДЕКС: ПОЗИЦИОНИРОВАНИЕ ДЛЯ ИНСТИТУЦИЙ ВЫСШЕГО ОБРАЗОВАНИЯ

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Аннотация: Долгосрочное функционирование и развитие любых предприятий или учреждений должно опираться на четко определенные идеологические основы. Наиболее удачным доказательством этого является функционирование церкви, как общественного института, и университетов. Если в случае с церковью оформление идеологических основ базируется на ключевом носителе (Библии в христианстве, Талмуде в иудаизме, Коране в исламе и т.д.), то для университетов такой однозначности нет. Считаем, что для университетов идеологические принципы должны находить институционализированное оформление в виде документа, который чаще всего называют этическим кодексом. Этический кодекс следует рассматривать в качестве малой конституции развития университета и членов университетского сообщества. Производными от него есть внутренние документы, регламентирующие особенности реализации внешних обязательств университета и общеуниверситетские политики. Многообразие практик удостоверения миссии, ценностей и принципов деятельности, норм поведения в различных учреждениях высшего образования влияет на эффективность их деятельности и позиционирования в системе социальных институтов в масштабах региона, страны и мира. Современная парадигма развертывания экономики знаний предполагает не только место университетов в ней, но и постоянное, динамическое его уточнение и поиск путей повышения эффективности деятельности. Поэтому изучение закономерностей и особенностей составления и реализации положений этических кодексов университетов составляет актуальную задачу. Для подготовки данной работы

авторы опирались на исследования многочисленных примеров университетов из различных регионов мира, а также исследования практики применения этических кодексов в целом и их отдельных составляющих. Прослеживаются существенные региональные различия в подходах к регламентации этических аспектов. Так, ведущие североамериканские и европейские университеты опирают свою деятельность на лаконичные, вплоть до 1 страницы, декларации этических принципов. С другой стороны, университеты стран СНГ принимают объемные своды, регламентирующих в т.ч. обязанности отдельных категорий работников и их ответственность за нарушение этических норм поведения. Результатами функционирования внеуниверситетских институтов часто становится принятие сообществами (ассоциациями, сетями, общинами, союзами и т.д.) принципов и стандартов поведения, которых должны придерживаться представители университетов или их выпускники. Иногда также принимаются модельные документы, которые должны выступать образцами для университетов всей страны или региона. Вместе с тем следует понимать, что управление деятельностью вузов, прежде всего, регламентируется внутренними нормативными документами. Уникальность институциональных миссий и позиционирование на рынках исследовательских и образовательных услуг обуславливают различия определения этических норм поведения. В результате исследования выявлено, что ряд аспектов находят общее решение в большинстве примеров, однако имеют место отдельные составляющие, которые отличают одни институты от других. В частности обеспечение честности поведения исследователей и преподавателей объединяет университеты, тогда как отношение к открытости науки является разным. По результатам исследования можно выделить две ключевые модели регламентации этики поведения членов университетского сообщества между собой и в отношениях с внешними стейкхолдерами: принятие комплексного этического кодекса и принятие отдельных документов, определяющих миссию и особенности университетских политик. Структура комплексного этического кодекса должна включать определение миссии и задач университета, ценностей, принципов и норм (стандартов) этического поведения членов университетского сообщества. К обязательным составляющим этического кодекса следует также отнести определение и особенности поведения при конфликте интересов, внедрение и администрирование кодекса, в том числе ответственность за его нарушение. Кроме того, считаем целесообразным разделение этических стандартов поведения на две группы - общие и специфические этические стандарты. Несмотря на фундаментальный характер, этический кодекс следует периодически пересматривать и, в случае необходимости, вносить изменения для более полной реализации миссии университета и адекватного реагирования на новые вызовы. Проведенное исследование легло в основу подготовки проекта Этического кодекса Киевского национального экономического университета имени Вадима Гетьмана.

Ключевые слова: этический кодекс, высшее образование, стандарты этического поведения, миссия, управление университетом

1. INTRODUCTION

The diversity and multidimensions of, often contradictory, practices in defining missions, values and principles of behaviour, norms of conduct in various institutions of higher education affects the economic efficiency of their activities and positioning within the system of social institutions across the region, country and the world. The modern paradigm of the deployment of the knowledge economy involves both the important place of universities in it, but also the constant, dynamic refinement and the search for ways to increase the efficiency of the activity. Therefore, studying the regularities and peculiarities of the compilation and implementation of the provisions of the ethical codes of universities is an urgent task.

Countries and the world community are interested in ensuring the ethics of the behaviour of universities and their communities, albeit on the assumption that in the global world graduates and clients could realize their intellectual capital in virtually any country. Adoption and adherence to the norms of the ethical code could in many cases prevent fraud and unfair behaviour with which students, clients for research and other stakeholders meet on internationalized markets for scientific and educational services. In addition, any pedagogical ideas, innovations and reforms can be introduced into educational practice only through their adoption, corresponding changes in the professional consciousness and behaviour of the professor [1].

2. UNIVERSITY ETHICAL CODE

The long-term operation and development of any institutional form, enterprise or institution is believed to be based on well-defined ideological foundations. The most successful proof of this is the functioning of the church as a public institution, and universities. If in case of the church, the design of ideological foundations is based on a key bearer (the Bible in Christianity, the Talmud in Judaism, the Koran in Islam, etc.), then for universities there is no such unambiguousness. It is the variability of universities and models of their behaviour in aggregate that creates the diversity on which the wealth of science, culture and education is based.

We assume that for universities, the history of development of which as important social institutions has several centuries, ideological principles should find institutionalized design in the form of a document, which is often referred to as the Ethical Code (also known as Code of Conduct). Such documents are found in practically all world-class universities, the materials of which websites have been studied. The Ethical Code should be considered as a small constitution for the development of the university and members of the university community. In fact, it is the basic document of the fixation and development of the university subculture [2]. Derivatives from it are internal documents regulating the peculiarities of the implementation of external obligations of the university and general university policies. For example, the list of university policies at Rochester Technological University, which is a strong leader in certain sectors of knowledge, reads at least 120 points [3].

The functioning of non-university institutions often stimulates the adoption of the principles and standards of behaviour by communities (associations, networks, fellowships, unions etc) that universities and their graduates must take on. Sometimes model documents are also accepted, which should serve as models for universities throughout the country, profession or region. At the same time, it should be understood that the management of the activities of institutions of higher education is, first of all, regulated by internal normative documents.

In some countries, especially developed, the practice of codification of academic ethics has a long history. At varying degrees, ethical norms are regulated in all key organizations that ensure the integrity and leadership of the US higher education system. These include the National Education Association, the Council for Advancement and Support of Education, the Association of Governing Boards of Universities and Colleges, the Association of Community College Trustees, the Association of Private Sector Colleges and Universities, the American Association of University Professors, the American Association of University Women, the American Federation of Teachers, the Council for Adult and Experiential Learning, state Institute of Education Sciences, Education Resources Information Center, National Center for Education Statistics and the Carnegie Foundation for the Advancement of Teaching. It is believed that the codification of academic ethics in the USA is associated with the activities of the American Association of University Professors (AAUP). Yet in the first half of the last century, it established the Committee on University Ethics (the first head of John Dewey), who also developed a number of documents rationalizing the professional ethics. But the basic provisions of academic ethics (as a practical regulatory system, not as a research discipline) were laid down in the Statement on Professional Ethics (1966), which, with a certain periodicity, is being revised in search for improvement (currently, the 2009 edition is in effect) [4]. In general, it describes various aspects of the professional duties of the professor [5]. In many codes and standards of conduct American universities, which fully utilize their autonomy, adopt the AAUP Statement as the basis for the introduction of their own standards of conduct. In addition, in many other cases its determining influence on the content of the preamble and the overall structure could be felt.

The evolution of professional and social requirements for the behaviour and results of the activities of higher education institutions in the USA has led to a well-structured criterion that determine the qualitative dimension of the functioning of universities and members of their communities. A similar development occurred in a number of other developed, as well as developing countries. So, in the US they are quite clearly defined as components of the leadership triad of educational criteria for the Baldrige Award (Table 1). It follows from them that the norms of ethical behaviour should be considered in the system of fundamental factors that ensure both the internal leadership of management and its' effectiveness, and the external leadership of the entire university and its social responsibility.

Table 1. Components of the leadership triad of educational criteria for the Baldrige Award [6]

Group of criterion	Group of indicators	Group of questions
Leadership	leadership of management	a) vision, values and mission , including: 1) vision and values; 2) promotion of legal and moral behaviour; 3) creation of sustainable organization; b) communication and organizational results , including: 1) communication; 2) focusing on actions
	Control and public responsibility	a) organizational management , including: 1) system of management; 2) evaluation of results; b) legal and moral behaviour , including: 1) legal behaviour, regulatory behaviour and accreditation; 2) ethical behaviour; c) public responsibility and support of key communities , including: 1) public well-being; 2) support of communities.

In the countries of Anglo-Saxon legal system and cultures the common principles, which are similar with AAUP Statement, were developed later and their attitude to codes of specific universities is the following: the principles perform as generalization of experience of codification and are used for perfection of regulation. In Canada they were adopted by The Society for Teaching and Learning in Higher Education (STLHE) [7]. This Canadian project could be named to be one of the most successful in the sense of generalizations of principles of academic ethics, although its disadvantage is that it concerns only teaching activities. We find interesting the processes that have unfolded in recent years in the UK, where attempts have been made to create a framework for centralized codification of ethical norms. British declarations were created specifically for the embodiment in the codes, and the developers of the declarations themselves tried to monitor and direct the process of such an embodiment. Thus, in the field of university science, universities were offered the declaration “Rigour, respect, responsibility: a universal ethical code for scientists”, prepared on behalf of the Royal Council for Science and Technology within the British Government by a group under the leadership of the Chief Scientific Adviser to the government of D. King in 2007. This declaration has been discussed for two years by teams of more than 40 universities to harmonize university systems for ethical regulation of scientific research with the code. Some universities (in particular, having accumulated considerable experience in regulating the processes and results of research) found their codes to be consistent with the declaration or even more accurately reflect modern ethical requirements, while less experienced - used the declaration as a reference [8].

According to the concept of the triple helix, the university is deeply integrated into the system of public relations, with the development of which both the different behaviours of subjects are possible, but also conflict situations in the external and internal environments. Following Y. Kazakov, in post-soviet countries there are many layers of probable conflicts that cannot be reduced to the intersection of professional ethics and corporate ethics, since university ethical code potentially deals with:

- the university as a quasi-corporation (conditionally autonomous, with a hierarchical structure: institute – department - professor); dependence from state administration and financing, from thoughts on market changes by ministerial higher education officials negatively affect the process and result of formation of the spirit of the university;
- the university as an organization that integrates interuniversity structures; this aspect remains outside the focus of the ethical code, but after all, the code could give university leaders a certain channel of morally motivated action: both predetermining positions and insuring against external pressure;
- the university as a community of teachers, for a significant part of which teaching is not the main one;
- the university as an innovation laboratory, promoting both specific scientific or technical-technological directions, and a separate direction of teaching specific disciplines;
- the university as a supplier of personnel for certain professions, i.e. a structure that should produce specialists with the idea of the professional and ethical foundations of the chosen specialty given at the university walls;
- the university as a socially responsible institution. The work of this university in the region should significantly influence its development (lifestyle, level of school education and culture; production infrastructure, nature of production and trade) [9].

When writing this paper, the authors relied on the study of numerous examples of universities from different regions of the world, as well as research into the practice of applying ethical codes in general and their individual components. It turned out that there are significant regional differences in approaches to the regulation of ethical aspects. Thus, the leading North American and European universities rely on concise (some up to 1 page) declarations of ethical principles. At the same time, universities in Eastern Europe take voluminous documents, which regulate many aspects, including duties of certain categories of workers and their responsibility for violation of ethical norms of behaviour. On the other hand, quite often Ethical codes deduce a student from the circle of subjects to which this document is addressed.

Often, the ethical codes of universities are created under the influence of external factors, and not in response to an internal request of the staff of the educational institution or community. The Bucharest Declaration concerning Ethical Values and Principles for Higher Education in the Europe Region has greatly influenced European universities for the past 15 years [10]. This document, if not having established an international standard, then undoubtedly became an important normative precedent for discussing ethical problems of higher education, in the broad sense of the word, including not only norms and values, but also institutional support for their practical

effectiveness. The Bucharest Declaration was adopted at a conference held with the participation of UNESCO, and this regulatory policy is carried out in all areas that have become the subject of UNESCO's ethical attention and ethical concern. However, an analysis of the existing ethical and regulatory practice, in particular, of codification experience, shows that the Bucharest Declaration turns out to have indirect influence on the emergence of university codes. Often, as can be seen from the content of specific codes or relevant regulatory documents, they were generated by a fashionable trend, the means for enhancing the image of the university or its leader, or in response to recommendations that have been made more than once by high-ranking politicians on the establishment of ethical committees and the introduction of ethical regulation in institutions and organizations, especially in state ones [11].

The ethical code of the university, ideally, is adopted for decades, and short-term needs or conflicts to which it responds at the time of development may be irrelevant after 3-5 years, especially considering the migration dynamics of the university staff. And therefore, universities could use the expert development of the ethical code and its adoption at the academic council of the university. However, the effectiveness of the code, its full inclusion in all aspects of university life, the transition to the model of ethical regulation (preferably, gradually replacing administrative regulation), the use of an ethical code to resolve conflicts of interest, behavioural deviations with the involvement of an ethical commission, as well as discussions to ensure accumulation of ethical-discursive experience of the university community and in the order of public control. The effectiveness of the code is not guaranteed by the content or manner of formulating its provisions, but is ensured by trust and organizationally formalized, transparent and well-known procedures. The university must have an authorized person or body responsible for the correct implementation of accepted procedures.

In post-Soviet countries, the emergence of university ethical codes in many cases could become the impetus for changing university spirit. The code can give a reason for the team to influence the administration and administrations to influence the staff, employees and other university stakeholders. The code can also be a reason for ethical discussions and reflections regarding conflicts that arise [11].

The uniqueness of institutional missions and positioning in the markets of research and educational services determine the differences in the definition of ethical standards of behaviour. As a result of the research, it was revealed that a number of aspects find a common solution in most of the examples; however, there are some components that distinguish some institutions from others. In particular, ensuring the integrity of the behaviour of researchers and teachers unites universities, whereas the attitude to the openness of science is different. According to the results of the study, two key models of regulation of ethical behaviour of members of the university community among themselves and in relations with external stakeholders can be distinguished: the adoption of an integrated ethical code and the adoption of separate documents defining the mission, tasks, standards, norms and features of university policies.

There are different ways to structure ethical code. The British recommendations mention three ways of structuring ethical documents (by role positions, by functions, by problems) and suggest highlighting the following semantic blocks of the university code: 1. Preamble. 2. Purposes and methods of use. 3. Teaching, learning and assess-

ment. 4. Student life. 5. Leadership and strategic management. 6. Operation management. 7. Communication with business and territorial communities. 8. Enforcement of the code. 9. Related documents [12]. In our opinion, the structure of the integrated ethical code should include the 1) definition of the mission and tasks of the university, 2) values, 3) principles and 4) norms (standards) of the ethical behaviour of the members of the university community. The mandatory components of the ethical code should also include 5) the definition and peculiarities of behaviour in case of a conflict of interests, 6) the implementation and administration of the code, including the responsibility for its violation. In addition, we consider it expedient to divide ethical standards of behaviour into two groups - general and specific ethical standards. Despite its fundamental nature, the ethical code should be reviewed cyclically and, if necessary, be amended to fully implement the university's mission and respond adequately to new challenges. The study and latter approach formed the basis for the preparation of the draft Ethical Code of the Kyiv National Economic University named after Vadym Getman [15].

Similar evidence is found in Europe, where the system for ensuring the quality of functioning of higher education is based on the EFQM Excellence Model [13]. In Europe, ensuring ethical behaviour relies directly on leaders in the process of their interaction with external and internal stakeholders, in contrast to American culture, where more attention is given to individuals and their independent behaviour. Although it should be recognized that there are no fundamental differences between the American and European approaches.

In addition, China is also introducing the practice of developing ethical components of behaviour in higher education. That is why the Chinese system of quality assessment of higher education (QAUE - Quality Assessment of Undergraduate Education) among the 19 indices includes one which is designed to evaluate the professional ethics of teachers [14].

3. CONCLUSION

According to the results of the study, two key models of regulation of ethical behaviour of members of the university community among themselves and in relations with external stakeholders can be distinguished:

- adoption of an integrated ethical code;
- adoption of separate documents defining the mission and particularities of university policies.

The structure of the integrated ethical code should include the definition of the mission and objectives of the university, the values, principles and norms of ethical behaviour of members of the university community. This approach was used in the preparation of the Ethical Code of the Kyiv National Economic University named after Vadym Getman [15]. The mandatory components of the ethical code should also include the definition and peculiarities of behaviour in case of a conflict of interests, the implementation and administration of the code, including the responsibility for its violation. It is advisable to divide ethical standards of behaviour into two groups -

general and specific ethical standards. Despite its fundamental nature, in order to fully implement the university's mission and adequately respond to new challenges, the ethical code should be periodically reviewed and, if necessary, modified.

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