Code of Conduct for Universities: A Comparison between USA and Vietnam

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Abstract: In the context of globalisation, codes of conduct are being increasingly adopted in universities worldwide; however their impacts on staff perceptions and behaviour have not been thoroughly addressed. As a tool of soft innovative management, several universities formulate a code of conduct in order to stimulate responsible behaviour among their members and enhance the social responsibilities of the organization.
Much time and effort is regularly spent fixing the content of the code but a lot of universities find it hard to implement and maintain the code and how to achieve its goals. The challenge of implementation is to utilize the dynamics which have emerged from the formulation of the code. By doing a comparison between codes of conduct of some US and Vietnam universities, this paper aims at scope, principles and standards included in a code of conduct and suggests a feasible way of implementing a code of conduct for Vietnam universities.

Keywords: Code of conduct, university, behaviour, social responsibility, soft management.

1. Introduction

A code of conduct (COC) is a set of rules outlining the social norms and rules and responsibilities of, or proper practices for, an individual, party, organization, institution or university. In its 2007 International Good Practice Guidance, "Defining and Developing an Effective COC for Organizations", the International Federation of Accountants provided the following working definition [4]: "Principles, values, standards, or rules of behaviour that guide the decisions, procedures and systems of an organization in a way that (a) contributes to the welfare of its key stakeholders, and (b) respects the rights of all constituents affected by its operations." A COC of an organization does not need to be complex or have elaborate policies, but the file needs a simple basis of what the organization expects from their members.

In the context of globalisation, COCs are being increasingly adopted in universities worldwide. As a tool of soft innovative management, several universities formulate a COC in order to stimulate responsible behavior among their members and enhance the social responsibilities of the organization. A COC of a university provides a clear statement of the university's expectations of its staff and affiliates in respect of their professional and personal conduct and must be complied with

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the relevant policies, standards, laws and regulations that guide the university's activities. It is a shared statement of commitment of all members of the university community to upholding and advancing the ethical, professional and legal standards [5], such as: freedom to pursue critical and open inquiry in a responsible manner; recognition of the importance of ideas and ideals; tolerance, honesty, respect, and ethical behavior; and understanding the needs of those the university serves. These values and standards are the basis for the university's daily, short-term and long-term decisions and actions [6].

In this paper, first, concepts and principles of COCs, for organizations in general, and for universities in particular, are reviewed. Then, a comparison study on COCs for universities in USA and in Vietnam is made in order to determine main sections and articles of a typical COC for Vietnam universities and its effective implementation. Next, results of a survey analysis of these sections and articles are reported. Finally, a possible proposal on design and implementation of a COC for Vietnam universities is discussed.

2. COC'S for organizations and universities: concepts, scopes, principles, standards and implementation

2.1. Concepts

The process of globalisation has come with fundamental challenges for the effective and legitimate governance of transboundary affairs. On the one hand, the transnational nature of many contemporary policy issues exceeds the regulatory capacities of territorially defined national regulation; on the other, the traditional mode of ordering global affairs through classic international 'hard law' faces the inherent limitations of achieving the necessary political consensus [7]. It should be noticed, in the context of globalisation, organizations in general and universities in particular need to be

operated with regulations based on / conformed to international standards.

COCs for organizations as well as for universities do not have any authorized definition. At a very basic level, they all aim to define standards and principles that ought to guide the behavior of the addressee in a particular way. As such, *COCs are regulatory instruments and fall into the broad normative realm of soft law, namely, of soft innovative management*. They are not of recent vintage, yet it was not until the second half of the twentieth century, i.e. in the context of globalisation, that they rose to prominence as regulatory responses to the challenges posed by the globalisation of the world economy and university education development. COCs for organizations and universities can be broadly defined as commitments voluntarily made by the organization or the university, which put forth standards and principles for the conduct of their activities in the marketplace. They purport to shape organization conduct in a certain way – through a catalogue of principles that define a set of relationships between the organization and its stakeholders / members on a range of topics [7].

A COC of a university may be formulated to provide a clear statement of the university's expectations of its staff and affiliates in respect of their professional and personal conduct. The Code reflects, and is intended both to advance the object of the University, namely the promotion of scholarship, research, free inquiry, the interaction of research and teaching, and academic excellence, as well as to secure the observance of its values of: responsibility and service through leadership in the community; quality and sustainability in meeting the needs of the university's stakeholders; merit, equity and diversity in the university's student body; integrity, professionalism and collegiality in the university's staff; and lifelong relationship and friendship with the university's alumni [6].

In [1], a COC is a set of rules about how to behave and do business with other people (according the Cambridge dictionary) or, in

some other meaning, a set of standards that members of a particular profession agree to follow in their work (according the Oxford dictionary). And hence, a COC has, firstly, a scope to define individual's expected standards and conduct in relationship with other individuals, with the organization and its offices and departments; secondly, these expected standards are imposed on all individuals and offices and departments of the organization; thirdly, the COC can be considered as a soft management tool for managers to operate effectively all activities of the organizations and to achieve the objectives that have been set.

The COC of the Stanford University community includes the following topics [5]: Standards of integrity and quality, confidentiality and privacy, conflict of interest / commitment, human resources, financial reporting, compliance with laws, use of university resources, reporting suspected violation. Meanwhile, in the COC of the University of Sydney the topics include [6]: Personal and professional behavior, conflicts of interest, intellectual property, secondary employment and outside earnings, acceptance of gifts and benefits, public comment, use and security of official information, use of university resources, notification of wrongdoing, equity of access and prevention of harassment and discrimination, work health & safety. It can be observed that several topics of these COCs have the same name and other topics describe the same content. *COCs are lists of statements of the ethical and legal standards which are applied as the basis for decisions and actions [8] and are dedicated to advancing the university's core values [10].*

2.2. Scope and principles

In general, COCs of universities have the following sections: Scope, guiding principles, standards of conduct and related policies on how to ensure and maintain the standards [10].

A COC of a university is a shared statement of commitment to upholding the ethical, professional and legal standards that is used as the basis for the university's daily, short-term and long-term decisions and actions. *All the members of the university community* must be cognizant of and comply with the relevant policies, standards, laws and regulations that guide their work. They are each individually accountable for our own actions and, as members of the university community, are collectively accountable for upholding these standards of behavior and for compliance with all applicable laws and policies [5]. Therefore, the following *scope and guiding principles* are common to COCs of universities: Integrity and Compliance.

For illustration, the general principles of the Washington University's COC may be considered [8]:

"*Statement of General Principles:* This code applies to the following members of the Washington University community: (a) individuals who are paid by Washington University when they are working for the University—this category includes faculty and staff; (b) consultants, vendors, and contractors when they are doing business with the University; and (c) individuals who perform services for the University as volunteers. The COC refers to all these persons collectively as members of the University community or community members.

Integrity and Ethical Conduct: Washington University is committed to the highest ethical and professional standards of conduct as an integral part of its mission, the promotion of learning. To achieve this goal, the University relies on each community member's ethical behavior, honesty, integrity, and good judgment. Each community member should demonstrate respect for the rights of others. Each community member is accountable for his/her actions. This COC describes standards to guide us in our daily University activities, standards we believe are already being followed.

Compliance with Laws and University Policies: The University and each community

member must transact University business in compliance with all laws, regulations, and University policies supervisors are responsible for teaching and monitoring compliance in their areas, elated to their positions and areas of responsibility. Managers and supervisors are responsible for teaching and monitoring compliance in their areas."

Another illustration example may be the guiding principles of the University of Minnesota [10]:

"Scope

The COC applies to the following members of the University of Minnesota community: i) members of the Board of Regents; ii) faculty and staff; iii) any individual employed by the university, using university resources or facilities, or receiving funds administered by the university; and iv) volunteers and other representatives when speaking or acting on behalf of the university. The COC is intended to reflect other Board and University policies and procedures and does not create any additional or different rights or duties of a substantive or procedural nature.

Guiding principles

Values: In carrying out the institution's research, teaching, and public service mission, members of the University community (community members) are dedicated to advancing the University's core values. These values embrace commitment to: excellence and innovation; discovery and the search for truth; diversity of community and ideas; integrity; academic freedom; stewardship and accountability for resources and relationships; sharing knowledge in a learning environment; application of knowledge and discovery to advance the quality of life and economy of the region and the world; and service as a land grant institution to Minnesota, the nation, and the world.

Standards of Conduct: Community members must be committed to the highest ethical standards of conduct and integrity. The standards of conduct in this COC, supported

through policies, procedures, and workplace rules, provide guidance for making decisions and memorialize the institution's commitment to responsible behavior."

The main principles of COC's: Integrity and compliance are applied not only for universities but also for organizations, business corporations in general. As an illustrative case, the letter from Mr. Louis C. Camilleri, Chairman and CEO to the employees of Philip Morris International (PMI) printed on the first page of the PMI COC brochure mentioned [9]:

"There is a simple idea that stands behind everything we do: We pursue our business objectives with integrity and in full compliance with all laws. This is the right thing to do and it makes good business sense. By acting with integrity we earn the trust of our customers, consumers, shareholders, co-workers, regulators, suppliers and the communities where we live and work — those whose trust we must have to be successful… This PMI COC is a key resource in our commitment to integrity. The Code explains many of the basic rules that apply to our businesses and the personal responsibility each of us has to speak up if we have a good faith basis to believe that something doesn't seem right.

Read the Code carefully. This will help you make sure that your actions never fall short of PMI's commitment to do the right thing. Nothing is more important than our commitment to compliance and integrity — no financial objective, no marketing target, and no effort to outdo the competition. No desire to please the boss outweighs that core commitment. Our commitment to compliance and integrity must always come first. This Code is about who we are and who we choose to be. It is about how we do business — everywhere and all the time. Together, by following the letter and spirit of this Code, we can help ensure that working for Philip Morris International is a source of great pride."

2.3. Implementation of COCs

Implementation or operation of a COC may include the following contents [3], [11]: i) Promotion of best practices; ii) Review of proposals for creating or amending the COC; iii) Providing advice and information on the implementation of the COC; iv) Providing education on the COC; v) Producing and distributing training materials on the COC; vi) Seminar for officials in charge of the COC; vii) Investigation and monitoring of the COC. The most fundamental are two contents: Providing advice and information on the implementation of the COC and Investigation and monitoring of the COC.

For effective implementation / operation of a COC, as a typical example, one may consider the case of the Washington University and following measures [8]: i) COC; ii) Annual Certification Instructions; iii) Statement of General Principles; iii) Procedures for Reporting Violations or Concerns; iv) Questions and Answers; iv) Online Reporting Form. It can be observed, that Annual Certification Instructions, Questions and Answers are relevant to Providing advice and information on the implementation of the COC. Meanwhile, Procedures for Reporting Violations or Concerns, Oline Reporting Form are relevant to Investigation and monitoring of the COC.

Providing advice and information on the implementation of the code of conduct

In the Washington University, concerning conduct standards in protecting and preserving university resources, the members of the university community can read the following administrative policies: Finance/Accounting and Financial Oversight Guiding Principles; Outside Consulting and Other Commitments; Acceptable Use of Information Technology Resources; Traveling On University Business; Use of University Equipment and Services [8]. The Office of Compliance of the Washington states the policy of implementing the university COC in the Letter from the Chancellor Washington University Professor Mark S.

Wrighton to the university Community as follows:

"As members of the Washington University community, we are all responsible for maintaining the highest ethical standards in our community and our professions, and for complying with all relevant laws and regulations.

In April 2000, the university, with the encouragement and guidance of the Board of Trustees, established a University Compliance Office. As part of this effort, a Washington University COC has been created. The COC is not a list of rules. It is a statement of the ethical and legal standards we use as the basis for our decisions and actions. All members of the university community should integrate these standards into their daily university activities.

The code of conduct consists of this message, a Statement of General Principles, Procedures for Reporting Violations or Concerns and Questions and Answers. The COC may be revised from time to time. An up-to-date version of the code will always be available on this website.

If you have any questions about the COC, please contact the University Compliance Office at 314-362-4909 or university Compliance Office at 314-362-4909 or universitycompliance@wustl.edu. "

To clarify the meaning of sentence "COC is not list of rules" mentioned in the above letter, it should be emphasized that a COC is not list of "hard rules" to comply with but "soft rules" to promote expected standards of each member of the university community.

Questions and Answers

The Washington University COC includes Questions and Answers section with the following content [8]:

What are the various areas of university activity governed by federal laws and regulations?

Who is subject to the COC?

The university has been in existence for over 150 years. Why do we need a COC now?

How will my daily work be affected by the COC?

How will you know whether all members of the university community have received a copy of the COC?

If I am involved in purchasing decisions, may I accept gifts or favors from vendors even if I am confident that these gifts or favors have no influence on my purchasing decisions or recommendations?

Research faculty members complete conflict of interest disclosures annually. What is the requirement for other faculty and staff employees?

Will I get into trouble if I report what I believe is a potential violation of the COC and then the incident is judged not to be a violation?

Will I be penalized if I witness a violation of the COC and I report it even though my supervisor tells me not to report it?

I do not want my supervisor to know that I'm reporting a potential COC violation. Can I do so anonymously?

If I believe a violation has occurred but I don't report it, what could happen to me?

Who will investigate reported potential violations?

Who determines the appropriate disciplinary action for violations?

How much will I have to be involved in the investigations if I report a potential violation?

Will I be informed of the resolution of potential violations that I report?

(Answers are given appropriately)*".*

Investigation and monitoring of the code of conduct

In the Washington University, investigation and monitoring of the COC is conducted through the prescribed procedures as follows [8]:

"Procedures for Reporting Violations or Concerns: The University's compliance effort focuses mainly on teaching members of the university community the appropriate compliance standards for the areas in which they work. Nevertheless, violations may occur. In addition, members of the university community may have concerns about matters that they are not sure represent violations. This section describes community members' responsibilities for reporting violations or concerns, and how these responsibilities may be carried out. Each community member is expected to report violations or concerns about violations of this COC that come to his/her attention. Managers have a special duty to adhere to the standards set forth in this COC, to recognize violations and to enforce the standards. Disciplinary actions for proven violations of this Code, or for retaliation against anyone who reports possible violations, will be determined on a case-by-case basis and may include termination of employment. Individuals who violate the code may also be subject to civil and criminal charges in some circumstances.

How to Report a Violation or Discuss a Concern: You may report violations or concerns to your immediate supervisor or department head, if appropriate. You may also call the University Compliance Hotline at the number established for this purpose: 314-362-4998. Reports may be made anonymously to this number, if the caller so desires. This telephone line has no caller identification or number recognition. The Online Reporting Form can also be used to report violations or concerns.

For matters dealing with one of the specific areas below, you may call the number indicated, or you may call the University Compliance Office at 314-362-4909.

Animal Care Issues: Jennifer Lodge, Vice Chancellor for Research, 314-747-0515.

Computer Use & Security Policies: John Gohsman, Vice Chancellor and Chief Information Officer 314-935-7391.

Kevin Hardcastle, Chief Information Security Officer, 314-935-7986.

Michael Caputo, Asst. Dean-Chief Information Officer, Medical Computing Services, 314-747-4343.

Conflict of Interest Issues – Research: Jennifer Lodge, Vice Chancellor for Research, 314-747-0515.

Conflict of Interest – Clinical and Physician, Relationship with Drug and Medical Equipment or Device Companies: Dr. James Crane, Assoc. Vice Chancellor for Clinical Affairs, 314-362-6249

Conflict of Interest – Procurement: Alan Kuebler, Asst. Vice Chancellor for Resource Mgt. ,314-935-5727.

Environmental Health and Safety: Bruce Backus, Asst. Vice Chancellor for Environmental Health & Safety, 314-362-6816.

Export Control: Jennifer Lodge, Vice Chancellor for Research. (314) 747-0515.

Finance: Barbara Feiner, Vice Chancellor for Finance & CFO, 314-935-9018.

HIPAA (Health Insurance Portability and Accountability Act), HIPAA Privacy Issues: Sondra Hornsey, Privacy Officer, 314-747-4975.

HIPAA Security Issues: Kevin Hardcastle, Chief Information Security Officer, 314-935-7986.

Human Studies: Jennifer Lodge, Vice Chancellor for Research, 314-747-0515.

Human Resources/Personnel Issues, All Campuses: Legail Chandler, Vice Chancellor for Human Resources, 314-935-4900; Apryle Cotton, Assistant Vice Chancellor for Human Resources, 314-935-8095….

Research Financial Management: Jennifer Lodge, Vice Chancellor for Research, 314-747-0515.

Research Integrity: Jennifer Lodge, Vice Chancellor for Research, 314-747-0515."

3. Comparison of COC for US and Vietnam universities

A comparison of COC for US and Vietnam Universities may indicate several similarities and differences and serve as a frame to build a feasible COC for a Vietnam university in the era of globalization when some top universities of Vietnam need to be operated with regulations based on / conformed to international standards.

It can be said that, each organization has specific shared values. They are operative beliefs that people of any description can apply in their labor toward a common vision. This common vision can be codified into a functional COC.

According to Bean, D and Bernardi, R [2] "The need for written "codes of conduct" for businesses is evident in the current literature. However, there is not sufficient evidence regarding the implication of codes of conduct in a college. Academic dishonesty has become an important issue in institutions of higher education. Codes of conduct can also provide a basis for ethical behavior in colleges and universities". By looking at some COCs for US universities, it can be found that these universities define sets of core, shared, ethical values. Sometimes these values sets become codes of conduct. Not surprisingly, the important values chosen by institutions tend to look rather similar in terms of five dominantly typical values: Honesty, Responsibility, Respect, Fairness and Compassion.

However, creating a code by seeking and listing the values is not enough. The sincere organization will request employees at all levels to decide how to apply those values in their everyday activities. They will look at how the values will affect planning and the process of determining organizational strategy. The values will also function as analytical tools in making mission decisions and in setting policy for personnel.

COCs for US Universities clearly state about the standards for all stakeholders including board of regents, faculties, staff and students and these standards are defined based on the core values of a university. However, for some Vietnam universities the major provisions of the COC essentially apply for staff,

employees, only a few announce Student COC but rather simple and incomplete. For example, the COCs of Hanoi Open University and the University of Agriculture and Forestry, Thai Nguyen University define clearly about what the officials and employees are doing and not be expressed in explicit terms as qualities, ethics and lifestyle; the COCs of Nha Trang University and Tan Tao University contain standards for both employees and students. By

analyzing the COC of Stanford University, Washington... one can find that the standards of conduct are behavior oriented for stakeholders based on the core values of a university such as integrity and quality; privacy and confidentiality; dispute resolution, human resources, financial statements, legal compliance, using the resources and individual report obligation when violations detected.

	US Universities	Vietnam Universities
Similarities	Compliance with laws and university policies and regulations	Compliance with laws and university policies and regulations
	Ethics	Ethics
	Integrity	Integrity
	Honesty	Honesty
Differences	Applicable to various stakeholders: leadership, staff, faculty, employee, student	Mainly applicable to staff and employee
	Behavior and attitude -oriented terms	Do's and Don'ts, oriented terms
	Confidentiality and Privacy	Centralized
	Conflict of Interest/ Conflict of Commitment	Lifestyle
	Human Resources	
	Report Obligation	Criticism
	Anti-bribery	
	Strong measures for implementation and operation of COC	Not enough measures for implementation and operation of COC measures

4. Main sections and articles of COC to be implemented in Vietnam

Based on the above comparison between some COCs for US and Vietnam universities and also on the review of concepts, scopes, principles, standards and implementation of COC that has been made in this paper, a COC applicable to an educational institution in Vietnam in the context of globalization may be proposed as follows:

SECTION I. SCOPE.

The COC (Code) applies to the following members of the University community:

• leadership;

• faculty and staff;

• students;

• any individual employed by the University, using University resources or facilities, or receiving funds administered by the University;

• volunteers and other representatives when speaking or acting on behalf of the University.

SECTION II. GUIDING PRINCIPLES.

Subd.1.

Values.   In carrying out the institution's research, teaching, and public service mission, members of the University community (community members) are dedicated to advancing the University's core values. These values embrace commitment to:

• excellence and innovation;

• discovery and the search for the truth;

• diversity of community and ideas;

- integrity;

- academic freedom;

- stewardship and accountability for resources and relationships;

- sharing knowledge in a learning environment;

Subd.2.

Commitment to Ethical Conduct. Community members must be committed to the highest ethical standards of conduct and integrity. The standards of conduct in this Code, supported through policies, procedures, and workplace rules, provide guidance for making decisions and memorialize the institution's commitment to responsible behavior.

SECTION III. STANDARDS OF CONDUCT.

The University holds itself and community members to the following standards of conduct:

Subd.1.

Act Ethically and with Integrity. Ethical conduct is a fundamental expectation for every community member. In practicing and modeling ethical conduct, community members are expected to:

- act according to the highest ethical and professional standards of conduct;

- be personally accountable for individual actions;

- fulfill obligations owed to students, advisees, and colleagues;

- conscientiously meet University responsibilities; and

- communicate ethical standards of conduct through instruction and example.

Subd.2.

Be Fair and Respectful to Others. The University is committed to tolerance, diversity, and respect for differences. When dealing with others, community members are expected to:

- be respectful, fair, and civil;

- speak candidly and truthfully;

- avoid all forms of harassment, illegal discrimination, threats, or violence;

- provide equal Access to programs, facilities, and employment; and

- promote conflict resolution.

Subd.3.

Manage Responsibly. The University entrusts community members who supervise or instruct employees or students with significant responsibility. Managers, supervisors, instructors, and advisors are expected to:

- ensure access to and delivery of proper training and guidance on applicable workplace and educational rules,

- policies, and procedures, including this Code;

- ensure compliance with applicable laws, policies, and workplace rules;

- review performance conscientiously and impartially;

- foster intellectual growth and professional development; and

- promote a healthy, innovative, and productive atmosphere that encourages dialogue and is responsive to concerns.

Subd.4.

Protect and Preserve University Resources. The University is dedicated to responsible stewardship. Community members are expected to:

- use University property, equipment, finances, materials, electronic and other systems, and other resources only for legitimate University purposes;

- prevent waste and abuse;

- promote efficient operations;

- follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls; and

- engage in appropriate accounting and monitoring.

Subd.5.

Promote a Culture of Compliance. The University is committed to meeting legal requirements and to fostering a culture of ethics and compliance.

(a) Expectations – Community members are expected to:

• learn and follow the laws, regulations, contracts, and University policies and procedures applicable to University activities;

• be proactive to prevent and detect any compliance violations;

• report suspected violations to supervisors or other University officials; and

• ensure that reports of violations within their area of responsibility are properly resolved.

(b) Prohibition – Community members are prohibited from retaliating against another community member for reporting a suspected compliance violation.

Subd.6.

Preserve Academic Freedom and Meet Academic Responsibilities. Academic freedom is essential to achieving the University's mission. Community members are expected to:

• promote academic freedom, including the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to speak or write as a public citizen without institutional restraint or discipline; and

• meet academic responsibilities, which means to seek and state the truth; to develop and maintain scholarly competence; to foster and defend intellectual honesty and freedom of inquiry and instruction; to respect those with differing views; to submit knowledge and claims to peer review; to work together to foster education of students; and to acknowledge when an individual is not speaking for the institution.

Subd.7.

Ethically Conduct Teaching and Research. University researchers have an ethical obligation to the University and to the larger global community as they seek knowledge and understanding.

Community members are expected to:

• propose, conduct, and report research with integrity and honesty;

• protect people and humanely treat animals involved in research or teaching;

• learn, follow, and demonstrate accountability for meeting the requirements of sponsors, regulatory bodies, and other applicable entities;

• faithfully transmit research findings;

• protect rights to individual and University intellectual property;

• ensure originality of work, provide credit for the ideas of others upon which their work is built, and be responsible for the accuracy and fairness of information published; and

• fairly assign authorship credit on the basis of an appropriate array of significant intellectual contributions, including: conception, design, and performance; analysis and interpretation; and manuscript preparation and critical editing for intellectual content.

Subd.8.

Avoid Conflicts of Interest and Commitment. Community members have an obligation to be Objective and impartial in making decisions on behalf of the University. To ensure this objectivity, Community members are expected to:

• avoid actual individual or institutional conflicts of interest;

• disclose potential conflicts of interest and adhere to any management plans created to eliminate any conflicts of interest; and

• ensure personal relationships do not interfere with objective judgment in decisions affecting University employment or the academic progress of a community member.

Subd.9.

Carefully Manage Public, Private, and Confidential Information. Community members are the creators and custodians of many types of

information. The public right to access and the individual's right to privacy are both governed by laws and University policies. To meet these responsibilities, community members are expected to:

• learn and follow laws and University policies and agreements regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information;

• follow document preservation and retention guidelines; and

• maintain data security using electronic and physical safeguards.

Subd.10.

Promote Health and Safety in the Workplace. Community members have shared responsibility to ensure a safe, secure, and healthy environment for all University students, faculty, staff, volunteers, and visitors. Community members are expected to:

• follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations;

• maintain security, including securing University assets and facilities;

• report suspicious activities; and

• protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials, or conditions.

5. Observation case

An observation has been carried out using a questionnaire for a sample of 30 interviewees including faculties, students and staff inside and outside VNU-IS. Questions are designed based on divided areas and appropriate principles as follows:

COC Area	COC Principles
a) People and Community	1) Respect for Others 2) Individual Responsibility and Accountability 3) A Service Ethos 4) Protection and Promotion of Fundamental Rights
b) Honesty and Integrity	5) Responsible Conduct of Academic Activities 6) Academic Freedom 7) Avoidance of Conflicts of Interest 8) Responsible Use of Resources
c) Protection and Care	9) Well-being, Health and Safety 10) Sustainability and the Appropriate Use of Resources 11) Information Privacy, Confidentiality and Security
d) Duty and Responsibility	12) Compliance with Law, Regulations and University Policies 13) Obligation to Report

6. Preliminary conclusions

In this paper, an attempt has been made to explore scope, principles and standards of COCs, to compare COCs of US and Vietnam universities with the aim to build a COC applicable for a Vietnam university.

The paper is only a snap-shot of the COC, the findings obviously are preliminary and not without limitations, and as a result of this it cannot provide comprehensive insights into similarities and differences of COCs for US and Vietnam universities. Therefore, it is suggested that future investigation about COC can be carried out with a larger sample, thus testing the

extent to which the findings can be generalized effectively. It also would then be reasonable to study over a period of time in different Vietnam universities, thereby giving more clear insights into the dynamic of the concept of COC for Vietnam universities (state-owned as well as private ones).

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Appendix. Questionnaire

1. Please indicate the extent of agreement that you agree or disagree.

Entirely agree — Entirely disagree

11	As part of a community dedicated to creating, supporting the creation of and communicating knowledge, the people who work and learn at the University rely on each other. The way that individuals conduct themselves in relation to others is the cornerstone of ethical conduct in the University.	1	2	3	4	5
22	Honesty and Integrity are fundamental in a community committed to the pursuit of knowledge and performing to the highest professional standards. Staffs are expected to conduct their work in an open, honest, responsible manner and in compliance with all applicable laws and regulations.	1	2	3	4	5
33	The protection of the University community and the environment that sustains activities and well-being is a key priority for the University.	1	2	3	4	5
44	Ethical conduct is one of a core value of the University and part of its culture. The University will ensure that legal requirements are embedded within policies and practices and that this information is readily available to staff, students and individuals acting on behalf of the University or in the name of the University including those who hold an honorary status with the University or former employees who have been conferred privileges at the University.	1	2	3	4	5

2. Please tick standard(s) that you consider most important in a Code of Conduct

	1. Respect for others
	2. Individual Responsibility and Accountability
	3. A service ethos
	4. Protection and promotion of fundamental rights
	5. Responsible conduct of academic activities
	6. Academic freedom
	7. Avoidance of Conflicts of Interest
	8. Responsible use of resources
	9. Well-being, Health and Safety
	10. Sustainability and the Appropriate Use of Resources
	11. Information Privacy, Confidentiality and Security
	12. Compliance with Applicable Laws, Regulations and University Policies
	13. Obligation to report